

Trust Board

12th May 2022

Paper title:	NHS England & NHS Improvement Quarterly Return Declaration	Agenda item 24
Presented by:	Mike Woodhead, Director of Finance, Contracting & Estates	
Prepared by:	Claire Risdon, Deputy Director of Finance	

Purpose of the report		
The purpose of this report is to share the recommendation from the Finance Business and Investment Committee that the Trust Board formally approve the Quarter 4 NHS England & NHS Improvement financial submission.	For approval	X
	For discussion	
	For information	

Executive summary		
<p>The purpose of this report is to request that the Finance, Business and Investment Committee endorse the Quarter 4 NHS England & NHS Improvement financial submission and recommend this to Trust Board.</p> <p>Key headlines are as follows:</p> <ul style="list-style-type: none"> Revenue: Trust performance for the period April 2021 to March 2022 is a surplus of £1.365m compared to a planned breakeven position. This includes the receipt of national funding to support COVID costs for the vaccination centre in Bradford and PPE supplied nationally of £3.21m. Capital: Capital funding has been secured through the year amounting to £7.775m (£6.03m ICS CDEL and £1.745m in year PDC approved). Total Trust capital expenditure for the year is £6.011m, resulting in a planned underspend of £1.764m which has been used to support wider ICS capital priorities. Closing cash balance at the end of March of £34.7m. 		
Do the recommendations in this paper have any impact upon the requirements of the protected groups identified by the Equality Act?	State below 'Yes' or 'No'	If yes please set out what action has been taken to address this in your paper
	No	

Recommendation
<p>The Trust Board is asked to:</p> <ul style="list-style-type: none"> Retrospectively approve the Q4 quarterly submission made to NHS England & NHS Improvement

Strategic vision				
Providing excellent quality services and seamless access	Creating the best place to work	Supporting people to live to their fullest potential	Financial sustainability growth and innovation	Governance and well-led
			X	X

Care Quality Commission domains				
Please mark those that apply with an X				
Safe	Effective	Responsive	Caring	Well Led
	X			X

Relationship to the Board Assurance Framework (BAF)	<p>The work contained with this report links to the following strategic risk(s) as identified in the BAF:</p> <ul style="list-style-type: none"> SO6: To make effective use of our resources to ensure that services are clinically, environmentally, and financially sustainable
Links to the Corporate Risk Register (CRR)	<p>The work contained with this report links to the following corporate risk(s) as identified in the CRR:</p> <ul style="list-style-type: none"> 2536 If we do not make effective use of our resources this may result in regulatory interventions, as well as impacts on quality of services.
Compliance and regulatory implications	<p>The following compliance and regulatory implications have been identified as a result of the work outlined in this report:</p> <ul style="list-style-type: none"> NHS Foundation Trusts were required to make quarterly submissions to NHSEI to confirm their Risk Rating under the Single Oversight Framework (SOF). From August 2019 the NHS Oversight Framework replaced the provider SOF and the clinical commissioning group (CCG) Improvement and Assessment Framework (IAF) and will inform assessment of providers in 2021/22 and beyond. For providers, the Risk Assessment Rating reflects a single consolidated rating which is 'Use of Resources' (UoR). This paper considers the UoR and outlines key issues which the FBIC is specifically asked to consider in endorsing the risk assessment and to be taken into account when the Board considers the NHSEI submission. Adverse performance compared to plan and/or a high risk rating generates closer support/scrutiny.

Meeting of the Trust Board

12th May 2022

NHS England & NHS Improvement Quarterly Return and Declaration

1. Background and Context

NHS Foundation Trusts are required to make quarterly submissions to NHS England & NHS Improvement to confirm their Risk Rating under the Single Oversight Framework (SOF). From August 2019 the NHS Oversight Framework replaced the provider SOF and the clinical commissioning group (CCG) Improvement and Assessment Framework (IAF) and will inform assessment of providers in 2021/22. For providers, the Risk Assessment Rating reflects a single consolidated rating which is 'Use of Resources' (UoR).

The Systems Oversight Framework is being developed and is expected to be operational for 2022/23.

This paper considers the UoR and outlines key issues which the FBIC is specifically asked to consider in endorsing the risk assessment and to be taken into account when the Board considers the NHS England & NHS Improvement submission.

The Trust is not currently reporting an UoR rating as reporting is suspended due to COVID-19.

2. Considerations

The key points are that the Trust has delivered the following financial indicators for quarter 4 of 2021/22:

- Trust performance for the period April 2021 to March 2022 is a surplus of £1.37m compared to a planned breakeven position resulting in a favourable variance of £1.37m. This figure excludes the technical adjustment for impairments.
- Capital outturn expenditure is £6.0m against a plan of £6.0m and additional PDC approved in year of £1.745m which gives a planned underspend of £1.764m which has been used to support wider ICS capital priorities.
- Cash – Closing cash balance at the end of March of £34.7m.
- UoR – reporting is currently suspended due to COVID-19

The M12 financial templates were submitted to NHSEI on the 25th April 2022 as part of the unaudited accounts submission and in line with national timescales.

3. Implications

3.1 Legal and Constitutional

There are no legal or constitutional requirements in relation to this paper.

3.2 Resource

There are no direct financial implications / costs associated with this paper.

3.3 Quality and Compliance

Financial performance is a key measure under the NHS England & NHS Improvement Single Oversight Framework. Any cost improvements planned by the Trust are subject to a Quality Impact Assessment process overseen by the Medical Director and the Chief Operating Officer.

4. Communication and Involvement

The Board was sighted on key plan risks and additional scrutiny of key assumptions, risks and mitigation takes place at every Finance, Business and Investment Committee. Key messages are discussed through the Trust's Senior Leadership Team and through the Trust's current command structures.

5. Monitoring and review

The Finance, Business and Investment Committee review and formally recommend the NHS England & NHS Improvement Quarterly submission to Trust Board following each quarter end.

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