

TRUST BOARD
30th January 2014

TITLE	Monitor Quarter 3 2013/14 submission
EXECUTIVE SUMMARY	In accordance with Monitor's <i>Risk Assessment Framework 2013/14</i> , the Trust is required to make a quarterly submission to Monitor on the Trust's performance in both financial, quality and operational terms. This includes performance against various national targets and indicators.
BOARD ASSURANCE (RISK)/ IMPLICATIONS	<p>The Finance Committee scrutinises the financial reports on a monthly basis with minutes of the meeting presented in the open Board meeting. The operational performance report is presented in the open Board meetings and regularly scrutinised.</p> <p>The recommended declarations were approved by the Integrated Governance and Assurance Committee and Finance Committee at their respective meetings in January.</p>
LINK TO STRATEGIC OBJECTIVE	The Monitor submission links to all Trust Strategic Objectives.
STAKEHOLDER/ PATIENT IMPACT AND VIEWS	None taken.
EQUALITY AND DIVERSITY ISSUES	None known.
LEGAL ISSUES	Insufficient or inaccurate declaration of future risk to Monitor can impact the Trust's regulatory ratings and potentially our Licence.
The Trust Board is asked to:	<p>The Board is asked to review and agree the content of the Q3 submission as:</p> <ul style="list-style-type: none"> ▪ Governance Declaration: 2 ▪ Finance Declaration: 1
Submitted by:	Valerie Bartlett, Deputy Chief Executive Simon Marshall, Director of Finance and Information
Date:	23 rd January 2014
Decision:	For Approval

Risk Assessment Framework-In year Monitoring Quarter 3 2013/14 Submission

1 Introduction

The Trust is required to submit the Quarter 3 Compliance Return to Monitor by 31st January 2014.

The Compliance Return comprises the following: -

- Governance Declaration;
- Finance Declaration;
- Elections;
- Targets and Indicators;
- Quality Governance;
- Capex reforecast trigger; and
- Financial Returns for the Quarter.

The full draft Q3 2013/14 submission is available for review by contacting the Head of Corporate Affairs. However the Monitor Risk Assessment Framework summary sheet is attached.

2 Governance declaration

The Integrated Governance and Assurance Committee (IGAC) reviewed the Governance aspects of the Monitor Compliance Return for Quarter 3 at its meeting held on 21st January 2014.

Background

The Governance declaration relates to the performance against national targets and indicators with the Board needing to certify that it:

“is satisfied that plans in place are sufficient to ensure on-going compliance with all existing targets (after the application of thresholds) as set out in Appendix A of the Risk Assessment Framework; and a commitment to comply with all known targets going forwards”

Performance against national targets and indicators

In Q3 2013/14 all national targets and indicators have been met bar the Admitted Referral to Treatment Time target which was failed with performance of 88.58% for the quarter against the threshold of 90%.

Governance Risk Rating

The Trust's Governance rating is currently Green. As a result of this declaration the Governance rating will either remain as Green or be replaced by written concerns by Monitor which will also detail the actions being taken by Monitor to rectify these concerns.

Recommended Q3 2013/14 declaration

A&E waiting time target:

The Trust achieved the waiting time target in quarter 3 2013/14 with performance of 95.77%. All three months in the quarter were achieved (October: 95.17%; November: 96.01%; December: 96.12%). As with quarter 2 despite achievement in quarter 3 it is proposed the Trust declare a risk of failing to achieve the waiting time target. As well as a number of actions and challenges which remain outside of the Trust's control this is predominantly due to the quarter 4 performance to date of 93.39% (at 20th January) meaning the Trust is failing the 95% target at present.

Referral to Treatment Time target:

The Trust did not meet the 18 weeks standards for the admitted target (90%) in November or December 2013 with performance of 85.33% and 85.63% respectively. The Non-Admitted target (95%) was achieved in quarter 3 with performance of 97.36%.

There is a risk of failure of the admitted, non-admitted and incomplete pathway targets in quarter 4 (failure of any month in the quarter leads to a failure of the quarter under Monitor's framework) and hence it is recommended that a risk is declared.

Further detail on the actions to mitigate these risks to performance are included within the Performance Report elsewhere on the agenda.

3 Finance Declaration

The Finance Committee reviewed the financial aspects of the Monitor Compliance Return for Quarter 3 2013/14 at its meeting held on 22nd January 2014.

The submission to Monitor comprises the Statement of Comprehensive Income, Statement of Financial position and Cashflow Statement as at 31st December 2013. These drive the Continuity of Service Risk Rating for the quarter (year to date). At 31st December 2013 the Trust has a Continuity of Service Risk Rating of '3' this is against a plan of '3' based on the revised plan submitted in December 2013 that Monitor is now measuring the Trust against.

With the Introduction of the Risk Assessment Framework on 1st October 2013, Monitor no longer measures the Trust against ten Financial Risk Indicators. Instead, apart from the Continuity of Service Risk Rating the Trust is measured against its capital expenditure. The Trust was within the set tolerances for this measure at quarter 3.

Recommended Q3 2013/14 declaration

The Finance Committee discussed the recommendation that a declaration 1 should be made confirming that the Trust would continue to maintain a 'continuity of service' risk rating of at least '3' over the next 12 months and approved that this should be recommended to the Board.

4 Elections

The Trust is required to report the outcome of any elections as part of the quarterly submission.

Details of the elections held in the constituencies of Guildford & Woking, Spelthorne and Trust Staff Volunteers in Q3 2013/14 have been included within the return.

5 Recommendation

The Board is asked to review and approve the Q3 2013/14 Monitor submission as:

- Governance Declaration: 2 ('not confirmed')
- Finance Declaration: 1 ('confirmed')

Appendix 1: Monitor Risk Assessment Framework indicators.

Monitor Risk Assessment Framework - Governance Indicators Financial Risk Ratings as at December 2013

Safety:		13/14 Threshold	Weighting	Monitoring Period	13/14 YTD Plan	Q1	Q2	Q3	Q4	YTD
Clostridium Difficile - meeting the Clostridium Difficile objective		13	1.0	Quarterly	10	1	3	2		6
Quality:		Threshold	Weighting	Monitoring Period	13/14 Plan	Q1	Q2	Q3	Q4	YTD
All Cancers: 31 day wait for second or subsequent treatment (surgery)	Surgery	94%	1.0	Quarterly	94%	100%	100%	100%		100%
	anti-cancer drug treatments	98%			98%	100%	100%	100%		100%
All Cancers: 62 day wait for first treatment from urgent GP referral to treatment	urgent GP referral	85%	1.0	Quarterly	85%	90.2%	88.1%	89.4%		89.7%
	NHS Cancer Screening Service	90%			90%	100.0%	100.0%	98.0%		97.4%
All Cancers: 31 day wait from diagnosis to first treatment		96%	0.5	Quarterly	96%	100.0%	99.6%	98.8%		99.49%
Cancer: 2 week wait from referral to date first seen	all urgent referrals (cancer suspected)	93%	0.5	Quarterly	93%	97.3%	96.7%	97.0%		96.99%
	symptomatic breast patients	93%			93%	97.9%	97.0%	95.8%		97.01%
A&E (maximum wait time of 4 hours from arrival to admission/ transfer/ discharge)		95%	1.0	Quarterly	95%	95.43%	96.33%	95.70%		95.84%
Patient Experience:		Threshold	Weighting	Monitoring Period	13/14 Plan	Q1	Q2	Q3	Q4	YTD
Referral to treatment waiting times - admitted		90%	1.0	Quarterly	90%	91.08%	92.62%	88.62%		90.74%
Referral to treatment waiting times - non admitted		95%	1.0	Quarterly	95%	98.39%	97.79%	97.39%		97.84%
Referral to treatment waiting times - Incomplete pathways		92%	1.0	Quarterly	92%	98.11%	98.33%	96.83%		97.75%
Governance*:			Weighting	Monitoring Period	13/14 Plan	Q1	Q2	Q3	Q4	Yr End
Failure to comply with requirements regarding access to healthcare for people with a learning disability			0.5	Quarterly	No	No	No	No		
Risk of, or actual, failure to deliver mandatory services			4.0	Quarterly	No	No	No	No		
CQC compliance action outstanding (as at 31st Dec 2013)			Monitor Discretion	Quarterly	No	No	No	No		
CQC enforcement action within last 12 months (up to 31st Dec 2013)			Monitor Discretion	Quarterly	No	No	No	No		
CQC enforcement notice currently in effect (as at 31st Dec 2013)			4.0	Quarterly	No	No	No	No		
Minor CQC concerns or impacts regarding the safety of healthcare provision (as at 31st Dec 2013)			Monitor Discretion	Quarterly	No	No	No	No		
Moderate CQC concerns or impacts regarding the safety of healthcare provision (as at 31st Dec 2013)			Monitor Discretion	Quarterly	No	No	No	No		
Major CQC concerns or impacts regarding the safety of healthcare provision (as at 31st Dec 2013)			2.0	Quarterly	No	No	No	No		
Unable to maintain, or certify, a minimum published CNST level of 1.0 or have in place appropriate alternative arrangements			2.0	Quarterly	No	No	No	No		
Trust unable to declare ongoing compliance with minimum standards of CQC registration			Monitor Discretion	Quarterly	No	No	No	No		
Has the Trust has been inspected by CQC (in the quarter ending 31st Dec 2013)			Monitor Discretion	Quarterly	No	No	No	No		
If so, did the CQC inspection find non compliance with 1 or more essential standards			Monitor Discretion	Quarterly	No	No	No	No		
Indicative Governance risk rating						G	G	G		
Financial Risk Score		Forcast Score	Weighting	Monitoring Period	Current Score	Q1	Q2	Q3	Q4	Yr End Forecast
1. Debt Service Cover		2.50	50%	Annual	2.33			3		4
2. Liquidity		-3.32	50%	Annual	-2.46			3		3
Continuity of Service Risk Rating			100					3		4