

Family Health Team

Annual Operating Plan Submission: 2017-2018

Part C:

2017-2018 Family Health Team Governance and Compliance Attestation

FHT Name: Barrie and Community Family Health Team

Date of Submission:

Primary Health Care Branch
Ministry of Health and Long-Term Care



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1.0 Introduction

As part of efforts to strengthen organizational capacity to support quality improvement, all Family Health Teams are required to complete and submit this attestation beginning the 2015-2016 fiscal year. The purpose of this document is to demonstrate sound governance practices and compliance with terms of the FHT funding agreement with the Ministry of Health and Long-Term Care.

The **governance assessment** (section 2.0) requests confirmation that key governance practices are in place within the organization, along with supporting information. This is to reflect the key role that governance plays in accountability and the overall functioning of an organization. Key areas covered include: Strategic Planning, Board Self Evaluation, Board Fiduciary Functions, Governance Policies and Operational Maturity.

The **compliance assessment** (section 3.0) evaluates the degree of compliance that the FHT has exhibited with respect to its funding agreement with the ministry. Any supporting documentation should be included with the submission.

Please note the ministry may follow up with requests for substantiating documentation and other validation activities as part of this review. Your cooperation with this process would be greatly appreciated.

Note for FHTs that do not have a formal corporate structure: FHTs that are not incorporated or that operate under non-standard corporate structures will need to explain the arrangement and the safeguards in place to ensure FHT resources are governed appropriately.

These FHTs are asked to provide responses that demonstrate the FHT has in place governance and accountability measures equivalent to those of an incorporated entity. Where the information requested is not applicable, please indicate this in your response and provide further rationale or explanation if needed.

As such, the decision-making processes, financial policies and safeguards and management of the FHT should reflect strong governance, regardless of the corporate structure. The purpose of this attestation is for all FHTs to demonstrate sound governance and the organizational maturity to ensure public funds are spent appropriately.

2.0 Governance Attestation

The Governance Assessment Attestation below must be signed by the individual who has the authority to bind the corporation, typically the Chair of the Board of Directors. It is recommended that the Governance Assessment Attestation involve the participation of all members of the Board of Directors and others, as appropriate.

A part of the ministry's assessment of the attestation, the following documents must be submitted with the Annual Operating Plan. Please check the following boxes to attest that each of the documents is included in the submission:

- Strategic Plan
- Risk Management Plan
- Financial Policy

Board Practices:

1. Date of last Annual General Meeting	June 1, 2016
2. Frequency of Board meetings	Monthly
3. Date of Board's most recent strategic planning/operational review meeting	October 2016
4. Does the Board regularly review and update bylaws? How often?	Yearly


Board Structures:







Does the Board have committee structures that focus on:	Yes/No
5. Quality Improvement	No
6. Finance/Audit	Yes
7. Human Resources/Personnel	No
8. Information Management	Yes
9. Governance	Yes

Strategic Planning:

	Yes/ No	Date created	Date of latest update	Comment	If 'No', please provide an explanation
10. FHT has a current strategic plan with clear goals, objectives and monitoring?	Yes	October 2015	April 2017	 Strategic Plan Board Presentation updatec	
11. Latest Strategic Plan progress report has been approved by the board?	Yes	April 2017	April 2017		


Board Governance:




	Yes/ No	Date created	Date of latest update	Comment	If 'No', please provide an explanation
12. A third of the Board members have experience serving on boards (or have received training)?	Yes				
13. FHT has a current Board Policy manual?	Yes	2007	2017		
14. FHT has a current document outlining the Board members' roles?	Yes	2007	2017	 Board Member Roles and Responsibilities.p	

15. FHT has a current Board recruitment strategy document?	Yes	2007	2014	 Recruiting a High Performing Board of I	
16. FHT has a signed agreement with Board members acknowledging the Conflict of Interest and Code of Conduct Policies?	Yes			 Board Conflict of Interest Policy - review  BCFHT Board Code of Conduct - reviewed	
17. FHT has policies that reflect a systematic approach to Board performance monitoring, including method and frequency?	Yes	2014	2017	 Board Structures and Processes Calendar.p	
18. FHT has a Board performance self-evaluation tool? Please indicate date of last use in 'Comment' section.	Yes	2014	April 2016	 BCFHT Board Self Evaluation - reviewed	
19. FHT uses a skills matrix to identify gaps on the Board	Yes	April 2017	April 2017	 Skills Matrix and Inventory Form - Apr	


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Board Fiduciary Functions:

	Yes/ No	Date created	Date of latest update	Comment	If 'No', please provide an explanation
20. FHT has a current document outlining the Executive Director's job description?	Yes	2007	2016	 Executive Director Position and Compete	
21. FHT has an Executive Director's performance evaluation tool/process? Please indicate date of last evaluation in 'Comment' section.	Yes	November 2016	November 2016	An evaluation was completed in November 2016.	
22. FHT has a current FHT Performance Measures document (beyond required ministry quarterly and QIP annual reporting) monitored by the Board on an ongoing basis? Please provide brief description of document in 'Comment' section.	Yes	2007	Bi-Monthly	Each manager makes a written Board report every other month on the status of their department or any special projects. Once a year each manager makes a presentation in person to the Board.	

23. FHT has a current Financial Policies document that outlines the process for budget approval and ongoing monitoring?	Yes	2007	January 2015	 FIN-001 Finance Policy January 2015.†	
24. FHT has a current Risk Management plan?	Yes	2012	2014	 Risk Management Framework - review	
25. FHT has policies that reflect a systematic approach to Board performance monitoring, including method and frequency?	Yes	2014	2017	 Board Structures and Processes Calendar.†	

3.0 Compliance Attestation

	Yes/ No	If "No", please explain	Comments
26. All members of the affiliated physician group are members of the FHT Corporation	Yes		
27. FHT has provided ministry with proof of incorporation (letters patent)	Yes		
28. FHT has provided ministry with contact information for the two elected officers who are able to bind the corporation	Yes		
29. All patients of the affiliated physicians (enrolled and non-enrolled) have equal access to FHT services	Yes		
30. FHT has a conflict of interest policy/process in place?	Yes		 Board Conflict of Interest Policy - review
31. Does the organization have a public complaints and dispute resolution policy/process in place? If yes, how has this policy been communicated to FHT staff and patients?	Yes		We have a Public Complaints/ Feedback tab on our Website. Staff were notified by email.
32. FHT has provided ministry with timely submissions of their last 4 quarterly reports	Yes		
33. FHT has provided the ministry with Annual Operating Plan Submission by the established deadline for the past 2	Yes		

years.			
34. FHT has provided ministry with Audited Financial Statements and Audited Statement of Expenditures Report within the allotted timeframe outlined in their funding agreement	Yes		
35. FHT has repaid all funds owing to ministry and is in good standing	Yes		
	Yes/ No	If "No", please explain	Comments
36. All positions funded are employees of the FHT or an exemption attestation to this requirement has been executed	Yes		
37. FHT has provided ministry with proof of adequate insurance coverage as per the Funding Agreement	Yes		
38. FHT has demonstrated sound financial practices including: transparent financial reporting of revenues and expenditures, reasonable forecasting, securing approval prior to reallocating funds	Yes		
39. FHT does not operate in a deficit	Yes		
40. FHT has an average vacancy rate of less than 20% over the past 2 years	Yes		
41. FHT has registered specialists if utilizing specialist sessional funding	Yes		

4.0 Accountability Reform Initiative

Introduced in the 2014-15 fiscal year and ongoing in the years ahead, the Accountability Reform Initiative (ARI) is one of several recent program changes introduced to help FHTs adapt to evolving provincial and local priorities and to patient need. Recognizing the organizational maturity many FHTs have achieved, ARI entails the removal of certain administrative barriers that change the financial accountability relationship between the FHT and the ministry.

By moving to a more flexible budget, this reform allows FHTs to support patient and community needs in a more flexible and efficient manner. Furthermore, ARI changes the focus of the ministry-FHT accountability relationship from one centred on line-by-line budget management to one that focuses on the impacts that FHT programs and services are having on their patients and in the communities they serve.

The key features of this reform include:


- A semi-global budget, whereby each FHT will be allocated five broad budget categories of funding: (i) Operating Overhead; (ii) Salaries and Benefits; (iii) Specialist Sessionals; (iv) Physician Consulting, and; (v) One-Time;
- Enhanced flexibility to move funds between these categories, with certain restrictions;
- Budgets that are premised on the funding required to deliver existing programs and services, with built-in flexibility to manage existing funding in a manner that sustains and/or improves these;
- Financial and accountability reporting focused more on the programs and services delivered by the FHT to enhance Access, Quality and Integration/ Collaboration, and less on the line items for which they are funded.

Ministry oversight of the FHT program will not weaken as a result of these changes but will shift in its focus, while at the same time will remove administrative barriers that FHTs may encounter in operationalizing their mandate. It is also important to note that this exercise is fiscally neutral but is expected to enhance each FHT's ability to maximize the use of its current approved budget allocation.

We wish to apply for enhanced budget flexibility under the Accountability Reform Initiative
(Check if yes)

**We have already been approved for this from previous
years.**

Name of Organization:

Name of Board Chair:	Bruce Bound
Role of Board Chair:	<p>Duties of the Chair</p> <p>The Chair shall,</p> <p>(A) preside at meetings of the Board or in his or her absence at any meeting the Vice-Chair shall preside thereat, or in the absence of both the Chair and the Vice-Chair, any Director appointed by the Directors at the meeting shall preside at that meeting;</p> <p>(B) report to each annual meeting of Members of the Corporation concerning the management and operations of the Corporation;</p> <p>(C) report regularly and promptly to the Board issues that are relevant to their governance responsibilities;</p> <p>(D) ensure that the annual review of the Executive Director's performance and compensation is done in accordance with Board approved policy;</p> <p>(E) represent and speak on behalf of the Corporation;</p> <p>(F) be an Ex officio member of any committees of the Board;</p> <p>(G) preside at meetings of the Executive Committee; and</p> <p>(H) perform such other duties as may from time to time be determined by the Board.</p>
Signature of Board Chair:	 <p><i>I have the authority to bind the Corporation</i></p>
Date: April 28, 2017	