

2-4 MOHLTC Accountability Reform Initiative

**Family Health Team
Accountability Reform Application Package**

2014-2015

FHT Name:

Date of Submission:

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



TABLE OF CONTENTS

1.0 INTRODUCTION

2.0 INSTRUCTIONS

3.0 GOVERNANCE ASSESSMENT

4.0 ACCOUNTABILITY ASSESSMENT

1.0 Introduction

Since the inception of the family health team program nearly ten years ago, significant advancements have been made in the delivery of primary health care to patients in communities across the province. Throughout this period, several program changes have been introduced to enable Family Health Teams (FHTs) to adapt to evolving provincial and local priorities and to patient need. These include the inclusion of new interdisciplinary health providers (IHPs), supports to enhance quality improvement capacity, initiatives to enhance collaboration such as Health Links and others. Although similar adaptive program enhancements will continue to occur, the ministry is now introducing measures to change the accountability relationship it has with each FHT to reflect that state of maturity many FHTs have attained in the evolution of your organizations over the past decade.

The Accountability Reform Initiative, in short, involves the removal of certain administrative barriers associated with how FHTs manage their budgets in an effort to enable FHTs to support the needs of their patients and communities in a more flexible and efficient manner. By moving to a more flexible budget, this reform also 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 funded 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 discharging their mandate. It is also important to note that this exercise is fiscally neutral but is expected to enhance each FHTs ability to maximize the use of its current approved budget allocation.

2.0 Instructions

FHT budget and accountability reform must balance the benefits of flexibility with the expectation and need to maintain a high degree of accountability. To this end, eligibility to participate is based on a ministry assessment of each FHT's **governance** practices and an assessment of each FHT's **compliance** with their funding agreement with the ministry.

The **governance assessment** (section 3.0) requires each interested FHT to provide information and attest that key governance practices are in place within the organization. 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 4.0) is to evaluate the degree of compliance that each FHT has exhibited with respect to its funding agreement with the ministry. Although the review will be undertaken based on available evidence such as reports and other documentation related to funding agreement requirements, FHTs are requested to populate the template and provide any supporting documentation in Section 4.0.

This is a voluntary process and all FHTs, even those that have not been incorporated, are welcome to apply. FHTs that are not incorporated will need to explain the arrangement and the safeguards in place to ensure FHT resources are governed appropriately. Requests for substantiating documentation and other validation activities may take place throughout the assessment period. Your cooperation in this process would be greatly appreciated.

Final decisions on which FHTs will participate in the Accountability Reform Initiative rests with the ministry. Once approved, continued participation in the initiative will be at the discretion of the ministry.

FHTs that have been deemed ineligible through this assessment process will be offered targeted improvement programs and feedback. They will also have the opportunity to re-apply in the future. For FHTs that have been deemed eligible, an information package describing budget flexibility parameters will be issued.

The Accountability Reform Application Package must be submitted electronically to the FHT's Senior Program Consultant no later than **5 p.m. on March 14, 2014**. Priority will be given to materials that are complete, accurate and submitted on-time.

3.0 Governance Assessment

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.

Strategic Planning:

		Date of latest update	If 'No', please provide an explanation
FHT has a current strategic plan with clear goals, objectives and monitoring?	<input type="checkbox"/> Yes		
Latest progress report has been reviewed by the Board?	<input type="checkbox"/> Yes		
FHT has established linkages with other community partners and/or organizations	<input type="checkbox"/> Yes		

Board Self-Evaluation:

		Date of latest update (* date of last use)	If 'No', please provide an explanation
A third of the Board members has experience serving on boards (or has received training)?	<input type="checkbox"/> Yes	n/a	
FHT has a current document outlining the Board members' roles?	<input type="checkbox"/> Yes		
FHT has a current recruitment strategy document?	<input type="checkbox"/> Yes		
*FHT has a Board performance self-evaluation tool?	<input type="checkbox"/> Yes		

Board Fiduciary Functions:

		Date of latest update (* date of last use)	If 'No', please provide an explanation
FHT has a current document outlining the Executive Director's job description?	<input type="checkbox"/> Yes		
FHT has an Executive Director's performance evaluation tool/process?	<input type="checkbox"/> Yes		
*FHT has a current Performance Measures document monitored by the Board on an on-going basis?	<input type="checkbox"/> Yes		
*FHT has a current Financial Policies document that outlines the process for budget approval and on-going monitoring?	<input type="checkbox"/> Yes		
FHT has a current Quality Improvement Plan?	<input type="checkbox"/> Yes		
FHT has a current Risk Management plan?	<input type="checkbox"/> Yes		
FHT has policies that reflect a systematic approach to Board performance monitoring, including method and frequency?	<input type="checkbox"/> Yes		

Governance Policies:

		Date of latest update	If 'No', please provide an explanation
FHT has a current Board Policy manual?	<input type="checkbox"/> Yes		
FHT has a signed agreement of Board members acknowledging the Conflict of Interest and Code of Conduct Policies?	<input type="checkbox"/> Yes		

Organizational Maturity and Track Record:

		Date of latest update (* date of last use)	If 'No', please provide an explanation
FHT has documented staff recruitment and retention?	<input type="checkbox"/> Yes		

Name of FHT:

Name of Authorized Signatory:	
Role of Authorized Signatory:	
Signature of Authorized Signatory:	<i>I have the authority to bind the Corporation</i>
Date:	

4.0 Compliance Assessment

The criteria the ministry will review as part of the compliance assessment are included below. Please populate the below template, as instructed. Note that the results of this assessment will take many factors into consideration, such as the length of time that FHT has been operational, ministry-authorized exemptions or extensions, etc. As such a “no” response to any one of the following may not itself result in exclusion from the accountability reform initiative. The ministry may also use additional criteria as part of the overall assessment.

		If ‘No, please provide an explanation	Comments
All members of the affiliated physician group are members of the FHT Corporation	<input type="checkbox"/> Yes		
FHT has provided ministry with proof of incorporation (letters patent)	<input type="checkbox"/> Yes		
FHT has provided ministry with contact information for the two elected officers who are able to bind the corporation	<input type="checkbox"/> Yes		
All patients of the affiliated physicians have equal access to FHT services.	<input type="checkbox"/> Yes		
FHT has provided ministry with timely submissions of their last 4 quarterly reports	<input type="checkbox"/> Yes		
FHT has provided the ministry with Annual Operating Plan Submission by the established deadline for the past 2 years.	<input type="checkbox"/> Yes		
FHT has provided ministry with Audited Financial Statements and Audited Statement of Expenditures Report within the allotted timeframe outlined in their funding agreement	<input type="checkbox"/> Yes		
FHT has repaid all funds owing to ministry and is in good standing	<input type="checkbox"/> Yes		
FHT maintains a public complaint and dispute resolution process	<input type="checkbox"/> Yes		

All positions funded are employees of the FHT or an exemption attestation to this requirement has been executed	<input type="checkbox"/> Yes		
FHT has provided ministry with proof of adequate insurance coverage	<input type="checkbox"/> Yes		
FHT has demonstrated sound financial practices including: transparent financial reporting of revenues and expenditures, reasonable forecasting, securing approval prior to reallocating funds	<input type="checkbox"/> Yes		
FHT does not operate in a deficit	<input type="checkbox"/> Yes		
FHT has an average vacancy rate of less than 20% over the past 2 years	<input type="checkbox"/> Yes		
FHT has registered specialists if utilizing specialist sessional funding	<input type="checkbox"/> Yes		

*please submit relevant documentation as required

Name of FHT:

Name of Authorized Signatory:	
Role of Authorized Signatory:	
Signature of Authorized Signatory:	<i>I have the authority to bind the Corporation</i>
Date:	