

**Family Health Teams
Governance and Compliance Attestation**

2015-2016

Organization Name:

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.

FHTs that are not incorporated will need to explain the arrangement and the safeguards in place to ensure FHT resources are governed appropriately. 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.

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 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.

FHTs wishing to apply for ARI must declare their interest in Section 4.0, Accountability Reform Initiative.

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.

Board Practices:

Date of last Annual General Meeting	
Frequency of Board meetings	
Date of Board's most recent strategic planning/operational review meeting	
Does the Board regularly review and update bylaws? How often?	
Has the FHT secured the required level of insurance as per the funding agreement? (Yes/No)	
Does the organization have a public complaints and dispute resolution policy/process in place?	
Does the organization have a conflict of interest policy/process in place?	

Board Structures:

Does the Board have committee structures that focus on:	Yes/No
Quality Improvement	
Audit	
Human Resources/Personnel	
Information Management	
Other (please specify)	

Strategic Planning:

		Date of latest update	If 'No', please provide an explanation
FHT has a current strategic plan with clear goals,	<input type="checkbox"/> Yes		

objectives and monitoring?			
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 ongoing basis?	<input type="checkbox"/> Yes		
*FHT has a current Financial Policies document that outlines the process for budget approval and ongoing	<input type="checkbox"/> Yes		

monitoring?			
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 not, please explain
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 not, please explain
FHT has documented staff recruitment and retention?	<input type="checkbox"/> Yes		

3.0 Compliance Attestation

		If not, please explain	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	<input type="checkbox"/> Yes		

approval prior to reallocating funds			
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

4.0 Accountability Reform Initiative

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

Name of Organization:

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