



Department
of Health

Department of Health Guidance for laying Annual Reports and Accounts before Parliament

April 2017

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April 2017

Department of Health Guidance for laying Annual Reports and Accounts before Parliament

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Introduction

- 1 This guidance applies to DH group bodies required to lay their annual report and accounts (ARA) before Parliament. This includes NHS foundation trusts, DH agencies, special health authorities, DH non-departmental public bodies (NDPBs), including NHS England, and the core department, but does not include NHS trusts, clinical commissioning groups (CCGs), consolidated limited companies or NHS charities.

Statutory requirement

- 2 Entities falling within the sectors referred to above are required to lay their ARA, with any report of the auditor on them, before Parliament.
- 3 The ARA laid before Parliament must include the full statutory accounts, not summarised information, and must be one document. It might be that this is formed from two electronic files but the final PDF and bound hard copies must be presented as one document.
- 4 Once laid before Parliament the content of the ARA cannot be changed. If preparing a "glossy" annual report and accounts, this must be the final version, including all graphics. Entities have the discretion, after laying the document before Parliament, to publish a condensed performance report with supplementary material in lieu of local publication of the full ARA.
- 5 Until the ARA has been laid before Parliament, nothing can be published. Any online version must be identical to the printed version.

The process of laying papers before Parliament

- 6 Entities must follow the guidance for laying papers in the House of Commons Journal Office document *Guide to laying papers (May 2016)*¹. Note that this guidance is updated annually. Note also that the Journal Office guidance is aimed at government departments as well as organisations such as NHS bodies.
- 7 The physical act of laying the report before Parliament can only be undertaken by the Department of Health Parliamentary Clerk, who will arrange this on behalf of DH group bodies and will also arrange for laying letters to be prepared. NHS Foundation Trusts and DH ALBs must therefore follow the guidance below for preparing and submitting their documents.
- 8 Documents laid before the house must be in a standard format:
 - A4 size
 - legible text in a font size of 10 point or greater
 - monochrome printing is acceptable, and is likely to reduce cost – graphical information should have sufficient contrast to enable it to be read

¹ <http://www.parliament.uk/documents/upload/laying-papers.pdf>

- colours used on title pages and on copyright statements should have enough contrast between the text and the background
 - primarily portrait orientation (tables, etc. may be in landscape orientation but printing the whole document in landscape is not allowed, even if the paper is bound along the side)
 - the report must be securely bound, i.e. it must be saddle stitched (stapled through the spine) or perfect bound (glued into the cover) – *comb binding is permissible for NHS Foundation Trusts only, but saddle stitched or perfect bound reports are preferred*
 - no foldouts or inserts are allowed
 - no laminated or plastic covers (laminated covers, even if biodegradable, are not recyclable).
- 9 The submitted ARA will be bound together in a series of reports by the House authorities and will be stored in perpetuity. It is therefore very important that reports are produced in the correct format for laying in Parliament. Reports that are not in the correct format will not be accepted for laying and you may be required to undertake re-printing.

Requirements for NHS Foundation Trusts and DH ALBs

- 10 Please note the requirements in the following paragraphs.
- 11 The report must have a front and back cover and title page. The front and back cover must be a normal paper/card cover, not plastic or transparent. There must not be a plastic cover on the document.
- 12 The title page is page 3 (the front cover is page 1 and the reverse of the front cover is page 2) and is the first inside facing page of the document. The title page must contain, in the following order:
- the full statutory name of the entity, and
 - the title of the document (for instance Annual Report and Accounts 2017-18).
- 13 **NHS foundation trusts** must additionally include the wording:
- “Presented to Parliament pursuant to Schedule 7, paragraph 25 (4) (a) of the National Health Service Act 2006”.
- 14 **DH ALBs** must additionally include the relevant wording under which the entity is required to present accounts before Parliament:
- “Presented to Parliament pursuant to Schedule WW, paragraph XX (Y) (Z) of the [insert name of applicable Act of Parliament]” and underneath “Ordered by the House of Commons to be printed on xx month year” followed by the HC number.

- 15 The HC number must be towards the bottom left of the title page, and in a size no smaller than 10 point font (ideally 12 point or larger). The number must be preceded by the abbreviation “HC”. Ideally, this should also appear on the front cover of the paper.
- 16 In the rare case where an entity has changed its name after the end of the reporting period, the statutory name of the entity must be the name that was in place at the end of the reporting period. If, for example, the entity changes its name on 1 April 201X, an extra line must be included on the title page “From 1 April 201X now known as...”.
- 17 The title of the document must be the same on the front cover as on the title page. The title must reflect the contents of the document, for instance ‘Annual Report and Accounts 2017-18’. Additional wording on the front cover (such as a short slogan) is permissible but this must be less prominent and not allowed to be confused with the title of the document.
- 18 The title page must not be combined with a contents page, preface, or contain any other text or images.
- 19 For **DH ALBs** only: The title verso page must include the following information:
 - Copyright re-use statement, including the year of publication. The current Crown statement will be supplied by the contractor as part of its production service to departments. The statements are also available on The National Archives website.
<http://www.nationalarchives.gov.uk/information-management/our-services/how-copyright-applies.htm>
 - Open Government Licence symbol to appear directly underneath the copyright re-use statement (for Crown copyright publications). The symbol is provided as part of the Crown statement above.
 - Web and print ISBNs to appear below the OGL symbol.
 - Department’s contact details.
 - Recycled paper statement.
 - Any third party copyright acknowledgements.
 - Printed in the UK statement.
 - No images or colour fills.
- 20 For **NHS Foundation Trusts** only: Copyright text must be added to the bottom of the reverse of the title page, in font size 10pt or above (for instance © 2018 [trust name] NHS Foundation Trust).
- 21 The following must also be considered:
 - Back covers: must include the barcode and print ISBN.
 - Title and copyright pages must not have colour fills.
 - The paper should have a contents page, which is not normally combined with other information.
 - Text must not appear on either the inside front, or inside back covers.

- Certificates from the Comptroller and Auditor General must be dated. Entities are strongly encouraged to check that the date has been included before printing the Report.

Deadlines for laying documents before Parliament

22 All ARAs must be sent to arrive at the Parliamentary Relations Unit to allow sufficient time for laying before the Parliamentary summer recess. Laying reports in good time before the Parliamentary recess ensures that there is opportunity for appropriate Parliamentary scrutiny. ARAs will be welcomed for laying before the submission date. It is the responsibility of the entity to ensure its ARA is laid.

23 Papers including ARAs which the House will order to be printed may be laid only on days on which both Houses sit, not on days when either House is adjourned or on which Parliament is prorogued or dissolved. Note that the House of Commons does not normally sit on Fridays except those on which Private Members' bills are taken.

Submitting accounts for laying before Parliament

For NHS foundation trusts (paragraphs 24 to 26)

24 NHS foundation trusts must follow the steps below:

Step 1 You must check that the format of your report is acceptable before printing the final copies of the report. Please send a PDF copy of the report with your full contact details (email address and direct telephone number) to MB-SI@dh.gsi.gov.uk. In the subject line, please give the name of your entity and the words "for checking". Before sending, make sure you can answer 'yes' to all the points in the checklist at the end of this note. You will receive a response to confirm that the format is acceptable and you can then proceed with printing.

Step 2 When your ARA is ready to be laid and it has been confirmed that the format is correct, you must send five bound copies to:

The Parliamentary Clerk
Department of Health
Room 402
Richmond House
79 Whitehall
London, SW1A 2NS

On the package label, please clearly state the name of your entity and also include a named contact, telephone number and email address, in case of queries. Please also make sure that the package is secure so that it is not damaged in the post.

You must also email a final PDF of the report to be laid to the Department of Health Parliamentary team mailbox MB-SI@dh.gsi.gov.uk. In the subject line, please give the name of your entity and the words "final version". Your report will not be laid until

this PDF has been received.

- 25 Your report will normally be laid within a few days of it being received by the Parliamentary Clerk. The period may be longer if a high volume of reports are received at the same time.
- 26 To check that your ARA has been laid before Parliament, visit the [Parliament website](#). Select a date and go to 'Votes and Proceedings' (either the webpage or PDF) and look in the appendix for a list of papers laid that day. You may have to trawl through a number of dates until you find your document.

For DH ALBs (paragraphs 27 to 29)

- 27 Once you have arranged a suitable laying date, contact the Journal Office in the House of Commons to obtain a House of Commons (HC) number for your report. To request an HC number you should email journaloffice@parliament.uk with the words "HC Number Request from" followed by the name of the organisation in the subject header. You must indicate in the body of the email the date on which you intend to lay the document. If your request is urgent please contact the Journal Office on 020 7219 3361/3318. If the expected date for laying changes you must inform the Journal Office. Please also notify DH Parliamentary of the intended laying date.
- 28 You will also need to contact APS, the print framework provider (from 1 August 2017) for Command and House of Commons papers (email: commandandhousepublishing@theapsgroup.com), about producing and distributing your document. Although you can produce and print your document yourselves, it is often easier to engage the services of APS as they can ensure that the document is correctly formatted for laying purposes and arrange for distribution of copies to DH Parliamentary and Parliament. If you chose to produce the document in-house then you will need to follow the formatting guidance as laid down in the Guide to laying papers and ask the Journal Office to check the formatting.
- 29 Once correctly formatted and printed, arrange for 5 laying copies to be sent to DH Parliamentary Relations Unit, ideally by the day before for formal laying before Parliament.

Checklist of publishing formatting requirements

30 Make sure you **can answer ‘yes’** to each question below. If the **answer is “no”** to any question below, your report is likely to be **rejected for laying**.

31 Note there are different requirements for NHS foundation trusts and DH ALBs.

	FT	ALB
Is the report laid out in A4 (tables may be in landscape if necessary)?		
Does the report have a front and back cover made of paper or card?		
Have you ensured that there is no plastic cover on the document?		
Does the title page only contain, and in this order: <ul style="list-style-type: none"> a) the full statutory name of the entity; and b) the title of the document ('Annual Report and Accounts 2017 to 2018'); and c) (1) NHS foundation trusts: the wording "Presented to Parliament pursuant to Schedule 7, paragraph 25 (4) (a) of the National Health Service Act 2006." (Please use Ariel 14pt for all text on the title page); or c) (2) DH ALBs: include the relevant wording under which the entity is required to present accounts before Parliament – "Presented to Parliament pursuant to Schedule WW, paragraph XX (Y) (Z) of the 'insert name of applicable Act of Parliament'" and underneath "Ordered by the House of Commons to be printed on XX month year", followed by the HC number? 	Not Applicable	Not Applicable
Does the title page contain no other text or images?		
Does the reverse of the title page have at the bottom, in at least 10pt font: ©year (Trust Name) NHS Foundation Trust or for ALB accounts the correct copyright text?		

Is the title of the document exactly the same on the front cover as on the title page and is the font size on both a reasonable size?		
Are the reverse of the front cover and the reverse of the back cover blank?		
Does the back cover contain no substantive text?		
Will the annual report and accounts be produced both as a single printed document and as a PDF?		
Will the printed document be perfect bound, saddle stitched or (FTs only) comb bound?		

32 Please remember to clearly state the full name of the entity on the package label when sending the hard copies.