

## Whittington Health Trust Board

5<sup>th</sup> November 2014

<b>Title:</b>	<b>NHS Trust Development Authority (TDA) – Self-Certification</b>						
<b>Agenda item:</b>	<b>14/163</b>		<b>Paper</b>			<b>8</b>	
<b>Action requested:</b>	<b><i>For approval</i></b>						
<b>Executive Summary:</b>	The NHS TDA has published their Accountability Framework for NHS Trust Boards which details a clear set of rules and principles under which NHS Trusts should all operate. Within the framework, the NHS TDA describes their monthly self-certification process, which is based on compliance to a number of the conditions within Monitor's Provider Licence and a set of Board Statements.						
<b>Summary of recommendations:</b>	Under the NHS TDA assurance process, a self certification submission is required each month. Therefore the Board is asked to retrospectively sign-off the return for September 2014, which was submitted to the TDA on 27 October 2014 and agree the status for the October 2014 return.  The Trust Board is also asked to discuss and agree any reporting issues in anticipation of the November 2014 and future returns.						
<b>Fit with WH strategy:</b>	n/a – regulatory requirement.						
<b>Reference to related / other documents:</b>	Self-Certification is monthly.						
<b>Reference to areas of risk and corporate risks on the Board Assurance Framework:</b>							
<b>Date paper completed:</b>	October 2014						
<b>Author name and title:</b>	Ursula Grueger DDOF			<b>Director name and title:</b>	Simon Pleydell, Chief Executive		
<b>Date paper seen by EC</b>	-	<b>Equality Impact Assessment complete?</b>	n/a	<b>Quality Impact Assessment complete?</b>	n/a	<b>Financial Impact Assessment complete?</b>	n/a



## OVERSIGHT: Monthly self-certification requirements - Compliance Monitor Monthly Data.

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### CONTACT INFORMATION:



Enter Your Name:

Enter Your Email Address

Full Telephone Number:

Tel Extension:

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### SELF-CERTIFICATION DETAILS:



Select Your Trust:

Submission Date:

Reporting Year:

Select the Month

April

May

June

July

August

September

October

November

December

January

February

March

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### COMPLIANCE WITH MONITOR LICENCE REQUIREMENTS FOR NHS TRUSTS:



1. **Condition G4** – Fit and proper persons as Governors and Directors (also applicable to those performing equivalent or similar functions).
2. **Condition G5** – Having regard to monitor Guidance.
3. **Condition G7** – Registration with the Care Quality Commission.
4. **Condition G8** – Patient eligibility and selection criteria.
  
5. **Condition P1** – Recording of information.
6. **Condition P2** – Provision of information.
7. **Condition P3** – Assurance report on submissions to Monitor.
8. **Condition P4** – Compliance with the National Tariff.
9. **Condition P5** – Constructive engagement concerning local tariff modifications.
  
10. **Condition C1** – The right of patients to make choices.
11. **Condition C2** – Competition oversight.
  
12. **Condition IC1** – Provision of integrated care.

Further guidance can be found in Monitor's response to the statutory consultation on the new NHS provider licence: [The new NHS Provider Licence](#)

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## COMPLIANCE WITH MONITOR LICENCE REQUIREMENTS FOR NHS TRUSTS:



Comment where non-compliant or at risk of non-compliance

### 1. Condition G4

Fit and proper persons as Governors and Directors.

Timescale for compliance:

### 2. Condition G5

Having regard to monitor Guidance.

Timescale for compliance:

### 3. Condition G7

Registration with the Care Quality Commission.

Timescale for compliance:

Comment where non-compliant or at risk of non-compliance

### 4. Condition G8

Patient eligibility and selection criteria.

Timescale for compliance:

Comment where non-compliant or at risk of non-compliance

**5. Condition P1**

Recording of information.

Timescale for compliance:

**6. Condition P2**

Provision of information.

Timescale for compliance:

**7. Condition P3**

Assurance report on submissions to Monitor.

Timescale for compliance:

**8. Condition P4**

Compliance with the National Tariff.

Timescale for compliance:

Comment where non-compliant or at risk of non-compliance

**9. Condition P5**

Constructive engagement concerning local tariff modifications.

Timescale for compliance:

Comment where non-compliant or  
at risk of non-compliance

**10. Condition C1**

The right of patients to  
make choices.

Timescale for compliance:

**11. Condition C2**

Competition oversight.

Timescale for compliance:

**12. Condition IC1**

Provision of integrated  
care.

Timescale for compliance:

## OVERSIGHT: Monthly self-certification requirements - Board Statements Monthly Data.

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### CONTACT INFORMATION:



Enter Your Name:

Enter Your Email Address

Full Telephone Number:

Tel Extension:

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### SELF-CERTIFICATION DETAILS:



Select Your Trust:

Submission Date:

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### BOARD STATEMENTS:



The NHS TDA's role is to ensure, on behalf of the Secretary of State, that aspirant FTs are ready to proceed for assessment by Monitor. As such, the processes outlined here replace those previously undertaken by both SHAs and the Department of Health.

In line with the recommendations of the Mid Staffordshire Public Inquiry, the achievement of FT status will only be possible for NHS Trusts that are delivering the key fundamentals of clinical quality, good patient experience, and national and local standards and targets, within the available financial envelope.

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## BOARD STATEMENTS:



### For CLINICAL QUALITY, that

1. The Board is satisfied that, to the best of its knowledge and using its own processes and having had regard to the TDA's oversight model (supported by Care Quality Commission information, its own information on serious incidents, patterns of complaints, and including any further metrics it chooses to adopt), the trust has, and will keep in place, effective arrangements for the purpose of monitoring and continually improving the quality of healthcare provided to its patients.

#### 1. CLINICAL QUALITY

Indicate compliance.

Timescale for compliance:

RESPONSE:

Comment where non-compliant or at risk of non-compliance

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## BOARD STATEMENTS:



**For CLINICAL QUALITY, that**

2. The board is satisfied that plans in place are sufficient to ensure ongoing compliance with the Care Quality Commission's registration requirements.

**2. CLINICAL QUALITY**

Indicate compliance.

Timescale for compliance:

RESPONSE:

Comment where non-compliant or at risk of non-compliance

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**BOARD STATEMENTS:**



**For CLINICAL QUALITY, that**

3. The board is satisfied that processes and procedures are in place to ensure all medical practitioners providing care on behalf of the trust have met the relevant registration and revalidation requirements.

**3. CLINICAL QUALITY**

Indicate compliance.

Timescale for compliance:

RESPONSE:

Comment where non-compliant or at risk of non-compliance

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**BOARD STATEMENTS:**





**For FINANCE, that**

4. The board is satisfied that the trust shall at all times remain a going concern, as defined by the most up to date accounting standards in force from time to time.

**4. FINANCE**

Indicate compliance.

Timescale for compliance:

RESPONSE:

Comment where non-compliant or at risk of non-compliance

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**BOARD STATEMENTS:**



**For GOVERNANCE, that**

5. The board will ensure that the trust remains at all times compliant with the NTDA accountability framework and shows regard to the NHS Constitution at all times.

**5. GOVERNANCE**

Indicate compliance.

Timescale for compliance:

RESPONSE:

Comment where non-compliant or at risk of non-compliance

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**BOARD STATEMENTS:**



**For GOVERNANCE, that**

6. All current key risks to compliance with the NTDA's Accountability Framework have been identified (raised either internally or by external audit and assessment bodies) and addressed – or there are appropriate action plans in place to address the issues in a timely manner.

**6. GOVERNANCE**

Indicate compliance.

Timescale for compliance:

RESPONSE:

Comment where non-compliant or at risk of non-compliance

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**BOARD STATEMENTS:**



**For GOVERNANCE, that**

7. The board has considered all likely future risks to compliance with the NTDA Accountability Framework and has reviewed appropriate evidence regarding the level of severity, likelihood of a breach occurring and the plans for mitigation of these risks to ensure continued compliance.

**7. GOVERNANCE**

Indicate compliance.

Timescale for compliance:

RESPONSE:

Comment where non-compliant or at risk of non-compliance

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**BOARD STATEMENTS:**



**For GOVERNANCE, that**

8. The necessary planning, performance management and corporate and clinical risk management processes and mitigation plans are in place to deliver the annual operating plan, including that all audit committee recommendations accepted by the board are implemented satisfactorily.

**8. GOVERNANCE**

Indicate compliance.

Timescale for compliance:

RESPONSE:

Comment where non-compliant or at risk of non-compliance

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**BOARD STATEMENTS:**



**For GOVERNANCE, that**

9. An Annual Governance Statement is in place, and the trust is compliant with the risk management and assurance framework requirements that support the Statement pursuant to the most up to date guidance from HM Treasury ([www.hm-treasury.gov.uk](http://www.hm-treasury.gov.uk)).

**9. GOVERNANCE**

Indicate compliance.

Timescale for compliance:

RESPONSE:

Comment where non-compliant or at risk of non-compliance

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**BOARD STATEMENTS:**



**For GOVERNANCE, that**

10. The Board is satisfied that plans in place are sufficient to ensure ongoing compliance with all existing targets as set out in the NTDA oversight model; and a commitment to comply with all known targets going forward.

**10. GOVERNANCE**

Indicate compliance.

Timescale for compliance:

RESPONSE:

Comment where non-compliant or at risk of non-compliance

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**BOARD STATEMENTS:**



**For GOVERNANCE, that**

11. The trust has achieved a minimum of Level 2 performance against the requirements of the Information Governance Toolkit.

**11. GOVERNANCE**

Indicate compliance.

Timescale for compliance:

RESPONSE:

Comment where non-compliant or at risk of non-compliance

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**BOARD STATEMENTS:**



**For GOVERNANCE, that**

12. The board will ensure that the trust will at all times operate effectively. This includes maintaining its register of interests, ensuring that there are no material conflicts of interest in the board of directors; and that all board positions are filled, or plans are in place to fill any vacancies.

**12. GOVERNANCE**

Indicate compliance.

Timescale for compliance:

RESPONSE:

Comment where non-compliant or at risk of non-compliance

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**BOARD STATEMENTS:**



**For GOVERNANCE, that**

13. The board is satisfied that all executive and non-executive directors have the appropriate qualifications, experience and skills to discharge their functions effectively, including setting strategy, monitoring and managing performance and risks, and ensuring management capacity and capability.

**13. GOVERNANCE**

Indicate compliance.

Timescale for compliance:

RESPONSE:

Comment where non-compliant or at risk of non-compliance

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**BOARD STATEMENTS:**



**For GOVERNANCE, that**

14. The board is satisfied that: the management team has the capacity, capability and experience necessary to deliver the annual operating plan; and the management structure in place is adequate to deliver the annual operating plan.

**14. GOVERNANCE**

Indicate compliance.

Timescale for compliance:

RESPONSE:

Comment where non-compliant or at risk of non-compliance