

## **Appendix 4**

### **Provider Licence self-certification - statements required to be confirmed by Board by May and June 2022**

#### **1. Statements required to be confirmed by Board by 31 May 2022**

##### **G6 Declaration**

Following a review for the purpose of paragraph 2(b) of licence condition G6, the Directors of the Licensee are satisfied that, in the Financial Year most recently ended, the Licensee took all such precautions as were necessary in order to comply with the conditions of the licence, any requirements imposed on it under the NHS Acts and have had regard to the NHS Constitution.

##### **CoS7 Declarations**

After making enquiries the Directors of the Licensee have a reasonable expectation that the Licensee will have the Required Resources available to it after taking account distributions which might reasonably be expected to be declared or paid for the period of 12 months referred to in this certificate.

**OR**

After making enquiries the Directors of the Licensee have a reasonable expectation, subject to what is explained below, that the Licensee will have the Required Resources available to it after taking into account in particular (but without limitation) any distribution which might reasonably be expected to be declared or paid for the period of 12 months referred to in this certificate. However, they would like to draw attention to the following factors (as described in the text box below) which may cast doubt on the ability of the Licensee to provide Commissioner Requested Services.

**OR**

In the opinion of the Directors of the Licensee, the Licensee will not have the Required Resources available to it for the period of 12 months referred to in this certificate.

#### **2. Statements required to be confirmed by Board by 30 June 2022**

##### **FT4 Declaration**

1. The Board is satisfied that the Licensee applies those principles, systems and standards of good corporate governance which reasonably would be regarded as appropriate for a supplier of health care services to the NHS.
2. The Board has regard to such guidance on good corporate governance as may be issued by NHS Improvement from time to time
3. The Board is satisfied that the Licensee has established and implements:
  - a. Effective board and committee structures;
  - b. Clear responsibilities for its Board, for committees reporting to the Board and for staff reporting to the Board and those committees; and
  - c. Clear reporting lines and accountabilities throughout its organisation.
4. The Board is satisfied that the Licensee has established and effectively implements systems and/or processes:

- a. To ensure compliance with the Licensee's duty to operate efficiently, economically and effectively;
  - b. For timely and effective scrutiny and oversight by the Board of the Licensee's operations;
  - c. To ensure compliance with health care standards binding on the Licensee including but not restricted to standards specified by the Secretary of State, the Care Quality Commission, the NHS Commissioning Board and statutory regulators of health care professions;
  - d. For effective financial decision-making, management and control (including but not restricted to appropriate systems and/or processes to ensure the Licensee's ability to continue as a going concern);
  - e. To obtain and disseminate accurate, comprehensive, timely and up to date information for Board and Committee decision-making
  - f. To identify and manage (including but not restricted to manage through forward plans) material risks to compliance with the Conditions of its Licence;
  - g. To generate and monitor delivery of business plans (including any changes to such plans) and to receive internal and where appropriate external assurance on such plans and their delivery; and
  - h. To ensure compliance with all applicable legal requirements.
5. The Board is satisfied that the systems and/or processes referred to in paragraph 4 (above) should include but not be restricted to systems and/or processes to ensure:
- a. That there is sufficient capability at Board level to provide effective organisational leadership on the quality of care provided;
  - b. That the Board's planning and decision-making processes take timely and appropriate account of quality of care considerations;
  - c. The collection of accurate, comprehensive, timely and up to date information on quality of care;
  - d. That the Board receives and takes into account accurate, comprehensive, timely and up to date information on quality of care;
  - e. That the Licensee, including its Board, actively engages on quality of care with patients, staff and other relevant stakeholders and takes into account as appropriate views and information from these sources; and
  - f. That there is clear accountability for quality of care throughout the Licensee including but not restricted to systems and/or processes for escalating and resolving quality issues including escalating them to the Board where appropriate.
6. The Board is satisfied that there are systems to ensure that the Licensee has in place personnel on the Board, reporting to the Board and within the rest of the organisation who are sufficient in number and appropriately qualified to ensure compliance with the conditions of its NHS provider licence.

### **3. Certification on Training of Governors in accordance with s151(5) of the Health and Social Care Act 2012**

The Board is satisfied that during the financial year most recently ended the Licensee has provided the necessary training to its Governors, as required in s151(5) of the Health and Social Care Act, to ensure they are equipped with the skills and knowledge they need to undertake their role.