

## Report to Trust Board of Directors

<b>Date of Meeting:</b>	2 June 2015
<b>Enclosure Number:</b>	21
<b>Title of Report:</b>	Trust Development Authority (TDA) Monthly Self-Certification Requirements Board Statements
<b>Author:</b>	Helen Ray, Chief Operating Officer
<b>Executive Lead:</b>	Helen Ray, Chief Operating Officer
<b>Responsible Sub-Committee (if appropriate):</b>	n/a
<b>Executive Summary:</b>	<p>The NHS Trust Development Authority (TDA) published the accountability framework for NHS Trust Boards in April 2013. The framework outlines the TDA's approach to:-</p> <ul style="list-style-type: none"> <li>▪ Oversight of NHS Trusts</li> <li>▪ Development and support for organisations moving to FT status</li> <li>▪ Approval of FT applications, transactions and business cases or capital investment.</li> </ul> <p>A key element of the oversight regime is the self-certification process which is based on compliance with a number of the conditions within Monitor's Provider Licence and a set of Board Statements.</p> <p>As agreed by the Board of Directors the Chair and Chief Executive sign off this compliance statement for the months where no Board meeting occurs.</p> <p>The appended statements provide the current view of compliance and sources of assurance to the Board sub-committees.</p>
<b>Risk Rating (high, medium, low risk) and any recommended changes to risk rating:</b>	<p>High</p> <p>Risks and Mitigations are reviewed and discussed within these sub-committees.</p>

<b>Board Assurance Framework Reference:</b>	Strategic Priority 3	
<b>Compliance, legal and national policy regulatory requirements:</b>	CQC Outcomes	
<b>Financial Implications:</b>	n/a	
<b>Actions required by the Board:</b>	<b>To approve:</b>	Discussion and decision
	<b>To note:</b>	Where the Board is made aware of key points but no decision is required
	<b>For information:</b>	For reading and consideration and for discussion by exception only
	The Board is requested to approve the recommended RAG ratings and discuss and approve the level to allocate for the monthly submission.	
<b>Data quality:</b>	<b>Source:</b>	Trust internal information. Reviewed by Executive Directors  Subject to internal audit review
	<b>Validated by:</b>	Helen Ray
	<b>Date:</b>	21 May 2015

Trust Development Authority (TDA) Monthly Self-Certification  
Requirements  
Board Statements

**Executive Summary**

The NHS Trust Development Authority (TDA) published the accountability framework for NHS Trust Boards in April 2013 and this framework outlines the TDA's approach to:-

- Oversight of NHS Trusts
- Development and support for organisations moving to FT status
- Approval of FT applications, transactions and business cases or capital investment.

A key element of the oversight regime is the self-certification process which is based on compliance with a number of the conditions within Monitor's Provider Licence and a set of Board Statements.

This process replaced the Single Operating Model Self-certification previously approved by the Board.

The TDA requires the Trust to submit two returns covering Licensing and Board Statements at the end of each month. (Appendices 1 and 2)

The Chair and Chief Executive should sign, on a monthly basis, the compliance statement on behalf of the Board who should be confident that the rating applied and the statements made are an accurate reflection of the current position.

As the Board of Directors meets bi monthly the Chair and Chief Executive approve alternate submissions on behalf of the Board.

**Governance Controls**

To ensure there is a level of assurance that the statements made are an accurate reflection of the current position there is, prior to Board paper submission, an opportunity for all Executive Directors to comment on the proposed submission.

The Self Certification Statement reflects the collective comments on assurance and actions.

There is a high level of trust associated with this submission and it has been agreed that independent checks will be made in 2015/16 linked to the audit cycle.

## **Changes from previous submission**

There are no changes to previous submission.

There are 2 appendices for review.

1. Board Self Certification Statements

Partial compliance is noted against CQC registration requirements.

2. Monitor Provider Licence Conditions

This is described as fully compliant.

For clarity the RAG rating of the compliance statements are as follows

Green	Compliant
Amber	Risk to Compliance
Red	Non Compliant