

## Self-Certification 2017/18 – NHS Provider Licence

No.	Requirement	Response (Confirmed /not confirmed)	Assurance (or in the case of non-compliance, the reasons why)	Risk and mitigating actions to ensure full compliance
<b>Condition G6 – Systems for compliance with licence conditions</b>				
1	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.	Confirmed	The Board is not aware of any departures or deviations with Licence conditions and requirements. The effectiveness of internal control systems and processes are reviewed on an annual basis and documented within the Annual Governance Statement as presented to the Audit & Risk Committee and incorporated within the Annual Report. In addition, assurance to the Board is supported by opinions from Internal Auditors and External Auditors.	
<b>Condition FT4 – Governance Arrangements</b>				
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.	Confirmed	The Board is not aware of any departures from the requirements of this condition. The Board considers and adopts corporate governance standards, guidance and best practice as appropriate.	
2	The Board has regard to such guidance on good corporate governance as may be issued by NHS Improvement from time to time.	Confirmed	The Board is not aware of any departures from the requirements of this condition. The Board considers and adopts corporate governance standards, guidance and best practice as appropriate, including that issued by NHSI.	
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	Confirmed	The Board is not aware of any departures from the requirements of this condition. On an annual basis the Trust has implemented a process of governance reviews (via the Governance and Nominations Committee) including; - Reviewing composition, skill and balance of the Board and its Committees - Reviewing Terms of Reference - The completion of an Annual Report for each Board Committee incorporating a reflection on the achievement of objectives and business conducted in year. A mid-year review of each Committee is also conducted. The Composition of Committees is also kept under constant review to take into consideration and periods of unscheduled /planned leave or the impact of vacancies effecting quoracy. The Trust's wider governance structure is also regularly considered and refreshed to ensure efficiency and clear lines of reporting.	



<p>4</p> <p>The Board is satisfied that the Licensee has established and effectively implements systems and/or processes:</p> <ul style="list-style-type: none"> <li>(a) To ensure compliance with the Licensee's duty to operate efficiently, economically and effectively;</li> <li>(b) For timely and effective scrutiny and oversight by the Board of the Licensee's operations;</li> <li>(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;</li> <li>(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);</li> <li>(e) To obtain and disseminate accurate, comprehensive, timely and up to date information for Board and Committee decision-making;</li> <li>(f) To identify and manage (including but not restricted to manage through forward plans) material risks to compliance with the Conditions of its Licence;</li> <li>(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</li> <li>(h) To ensure compliance with all applicable legal requirements.</li> </ul>	<p>Confirmed</p>	<p>External Auditors have issued a Section 30 letter to the Secretary of State in relation to the Trusts deficit position, which shows a cumulative deficit for the three year period to 31 March 2017. However, for the financial years ended 31 March 2015/16 and 2016/17, the Trust has recorded deficits smaller than the amounts agreed with NHS Improvement.</p> <p>The Board is not aware of any other departures from the requirements of this condition.</p> <p>Internal control processes has been established and are embedded across the organisation as outlined within the Annual Governance Statement. The agreed annual Internal Audit programme deliberately focuses on key areas where testing may identify the need for strengthened controls.</p>	<p>Concerning CQC compliance: / comprehensive action plan is in place and being monitored in response to the CQC comprehensive inspection during 2016.</p> <p>The external auditors are in the process of finalising their VFM opinion. The draft opinion shared with Solent is that the accounts for 2016/17 will be unqualified on this point.</p>
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<p>5</p> <p>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:</p> <p>(a) That there is sufficient capability at Board level to provide effective organisational leadership on the quality of care provided;</p> <p>(b) That the Board's planning and decision-making processes take timely and appropriate account of quality of care considerations;</p> <p>(c) The collection of accurate, comprehensive, timely and up to date information on quality of care;</p> <p>(d) That the Board receives and takes into account accurate, comprehensive, timely and up to date information on quality of care;</p> <p>(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</p> <p>(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.</p>	<p>Confirmed</p>	<p>The Board is not aware of any departures from the requirements of this condition.</p> <p>The Trusts' goals; Great Care, Great Place to Work and Great Value for money, demonstrate the organisations focus and emphasis on 'quality' being the overriding principle for everything we do.</p> <p>The Board's agenda has a notable weight towards quality of care, supported by data and information owned and presented by the Executive Directors.</p> <p>There is clear accountability for quality of care throughout the organisation from executive leadership by the Chief Nurse working with the Chief Medical Officer.</p> <p>Established escalation processes allow staff to raise concerns as appropriate.</p>	<p>Concerning Board level capability- appointment has been made to the Chief Nurse position and COO Southampton and County and transition arrangements/handovers are being implemented.</p> <p>The Board will also actively recruiting to a NED vacancy with support from the NHSI, post purdah as the current NED post holder leaves at the end of May 2017.</p>
<p>6</p> <p>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.</p>	<p>Confirmed</p>	<p>The Board is not aware of any departures from the requirements of this condition.</p> <p>Details of the composition of the Board can be found within the public website.</p> <p>Qualifications, skills and experience are taken into consideration, along with behavioural competencies as part of any recruitment exercise for Board vacancies.</p>	

**Signed on behalf of the Board of Directors;**

Signature *Alister Skober*  
Title *Chairman*  
Date *30th May 2017*

Signature *SJH*  
Title *CEO*  
Date *30/05/17*

