

This template may be used by Foundation trusts and NHS trusts to record the self-certifications that must be made under their NHS Provider Licence.
You do not need to return your completed template to NHS Improvement unless it is requested for audit purposes.

Self-Certification Template - Conditions G6 and CoS7

The Robert Jones and Agnes Hunt Orthopaedic Hospital NHS Foundation Trust

Insert name of organisation



Foundation Trusts and NHS trusts are required to make the following self-certifications to NHS Improvement:

Systems or compliance with licence conditions - in accordance with General condition 6 of the NHS provider licence

Availability of resources and accompanying statement - in accordance with Continuity of Services condition 7 of the NHS provider licence (Foundation Trusts designated CRS providers only)

These self-certifications are set out in this template.

How to use this template

- 1) Save this file to your Local Network or Computer.
- 2) Enter responses and information into the yellow data-entry cells as appropriate.
- 3) Once the data has been entered, add signatures to the document.

Declarations required by General condition 6 and Continuity of Service condition 7 of the NHS provider licence

The board are required to respond "Confirmed" or "Not confirmed" to the following statements (please select 'not confirmed' if confirming another option). Explanatory information should be provided where required.

1 & 2 General condition 6 - Systems for compliance with licence conditions (FTs and NHS trusts)

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 OK

3 Continuity of services condition 7 - Availability of Resources (FTs designated CRS only)

EITHER:

3a 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.

Please Respond

OR

3b 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.

Please Respond

OR

3c 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.


Please Respond


Statement of main factors taken into account in making the above declaration

In making the above declaration, the main factors which have been taken into account by the Board of Directors are as follows:

- The Trust has in place an approved Risk Management Policy and approach to identifying, managing and escalating risk.
- The Audit and Risk Committee monitors the effectiveness of internal controls across the organisation.
- The Board reviews the Board Assurance Framework on a quarterly basis and particular entries are overseen by Committees of the Board to provide additional focus. Corporate Risks are also reviewed at the Board and its committees.
- Internal and External Audit reviews on regulatory compliance are undertaken throughout the year.
- In May 2022 NHS England & NHS Improvement confirmed that that the Trust was in breach of licence in relation to infection, prevention and control (IPC) following an outbreak within the organisations relating to eight hospital acquired infections. As a result, the Trust was moved from segment 2 ("Plans that have the support of system partners in place to address areas of challenge. Targeted support may be required to address specific identified issues") to segment 3 ("Significant support needs against one or more of the five national oversight themes and in actual or suspected breach of the licence") on the System Oversight Framework. In response to the identified IPC issue, the Trust devised and delivered a comprehensive improvement plan and established an IPC Quality Assurance Committee. The Committee met on eleven occasions and the Committee Chair presented an assurance report to the Board following each meeting.
- The Trust received a compliance certificate from NHSE/I on 27th January 2023 which stated that "NHS England hereby certifies that it is satisfied that the Trust has complied with all the Trust's Enforcement Undertakings accepted by NHS Improvement / England on 26 January 2023".
- The Trust's Head of Internal Audit provides an annual opinion on the assurance framework and for the financial year to 31 March 2023 this can be summarised as follows: "Moderate Assurance, can be given that there is an adequate system of internal control, however, in some areas weaknesses in design and/or inconsistent application of controls puts the achievement of some of the organisation's objectives at risk." At an Audit and Risk Committee meeting on 30 March 2023, attended by the internal auditors, the Committee noted that it was satisfied that good progress had been made in addressing the high and moderate level risks identified during the internal audit reviews.

Signed on behalf of the board of directors, and, in the case of Foundation Trusts, having regard to the views of the governors

Signature 
 Name
 Capacity
 Date

Signature 
 Name
 Capacity
 Date

Further explanatory information should be provided below where the Board has been unable to confirm declarations under G6.

Point 3 is not applicable to the Trust.