

## Appendix 1 Summary of each relevant licence condition

### General Conditions & Trust response

#### **G4: Fit and proper persons - YES**

This condition requires that licensees do not allow unfit persons to become or continue as governors or directors. 'Unfit persons' are: undischarged bankrupts, individuals who have served a prison sentence of three months or longer during the previous five years, and disqualified directors. A company may also be an unfit person.

#### **G5: Having regard to Monitor guidance - YES**

The Licensee shall at all times have regard to guidance issued by Monitor and where the Licensee decides not to follow the guidance it shall inform Monitor of the reasons for that decision.

#### **G7: Registration with the Care Quality Commission - YES**

This condition reflects the obligation in the Act for licensees to be registered with the CQC. This condition allows Monitor to withdraw the licence from providers whose CQC registration is cancelled and who therefore cannot continue to lawfully provide services.

#### **G8: Patient eligibility and selection criteria – N/A:**

This condition requires licensees to set and publish transparent patient eligibility and selection criteria and to apply these in a transparent manner. This includes criteria for determining patient eligibility for particular services, for accepting or rejecting referrals, or determining the manner in which services are provided to that person.

### Pricing Conditions & Trust response

#### **P1: Recording of information - YES**

Under this licence condition, Monitor may require licensees to record information, particularly information on their costs, in line with approved guidance. [Monitor] recently published a draft of this guidance for the collection of 2012/13 costs. The licence condition is worded in a way that any cost and other information that may be required can be collected from both licensees and their sub-contractors.

#### **P2: Provision of information - YES**

Having recorded the information in line with Pricing Condition 1 above, Monitor can then require licensees to submit this information.

#### **P3: Assurance report on submissions to Monitor - YES**

Monitor may require licensees to submit an assurance report confirming the accuracy of the information they have provided.

#### **P4: Compliance with the National Tariff - YES**

The Health and Social Care Act 2012 requires commissioners to pay prices corresponding to those in the National Tariff and, where prices aren't specified, to pay prices in line with the rules contained in the National Tariff. This licence condition imposes a similar obligation on licensees, that is, the obligation to charge for NHS health care services in line with the National Tariff.

#### **P5: Constructive engagement concerning local tariff modifications - YES**

[Monitor] will seek to make prices more reflective of the efficient cost of providing a service, but even so, in some circumstances it may be uneconomic for a provider to offer a particular service without additional funding over and above that allowed for in the National Tariff. For this purpose, the Act allows for local modifications, or adjustments, to prices.

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## **Choice and Competition & Trust response**

### **C1: Patient choice - YES**

This condition:

- requires licensees to notify their patients when they have a choice of provider, and to tell them where they can find information about the choices they have. This must be done in a way that is not misleading;
- requires that information and advice that licensees provide to patients about their choice of provider does not unfairly favour one provider over another and is presented in a manner that helps patients to make well-informed choices; and
- prohibits licensees from offering gifts and benefits in kind for patient referrals or for the commissioning of services.

### **C2: Competition oversight - YES**

This condition prohibits the licensee from entering into or maintaining agreements that have the object or effect of preventing, restricting or distorting competition to the extent that it is against the interests of health care users.

## **Integrated Care Condition & Trust response**

### **IC1: Provision of integrated care - YES**

In most cases, [Monitor] would expect integrated care to be delivered locally by commissioners specifying their requirements and working with providers. The requirement for care to be delivered in an integrated way would be captured in contracts... [Monitor's] policies in areas such as pricing would act as our main tools for enabling integrated care. The purpose of this licence condition is to enable Monitor to step in where integrated care is not being delivered, in spite of decisions and efforts made by commissioners.

## **Appendix 2 Self-Certification Board Statements**

### **1 CLINICAL QUALITY – YES**

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.

### **2 CLINICAL QUALITY – YES**

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

### **3 CLINICAL QUALITY – YES**

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.

### **4 FINANCE – YES**

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 at the time and subject to continuing support from the Trust Development Authority.

### **5 GOVERNANCE – NO.**

- Based upon the Monitor continuity of services risk rating, the Trust is presently described as having a 'material level of financial risk'.
- A&E performance against the 95% target in June was 93.11%
- Admitted RTT in May was 82.44% against the target of 90%,
- RTT Open Clocks under 18 Weeks was 89.78% in May against the target of 92%
- Trajectories have been agreed with the NTDA and Commissioners to deliver the relevant RTT targets at a specialty level.
- Cancer under-achieved against the 62 Day Urgent Referral to Treatment and 62 Day Referral to Treatment from Screening targets during June
- There were 4 C-Diff cases in June

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.

### **6 GOVERNANCE – YES**

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.

### **7 GOVERNANCE – YES**

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.

### **8 GOVERNANCE – YES**

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.

### **9 GOVERNANCE – YES**

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)).

**10 GOVERNANCE – YES**

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.

**11 GOVERNANCE – YES**

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

**12 GOVERNANCE – YES**

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.

**13 GOVERNANCE – YES**

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.

**14 GOVERNANCE – YES**

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.