

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 - Condition FT4

Doncaster and Bassetlaw Teaching Hospitals NHS Foundation Trust



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

*Corporate Governance Statement - in accordance with Foundation Trust condition 4 (Foundations Trusts and NHS trusts)*  
*Certification on training of Governors - in accordance with s151(5) of the Health and Social Care Act (Foundation Trusts 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.

Corporate Governance Statement (FTs and NHS trusts)

The Board are required to respond "Confirmed" or "Not confirmed" to the following statements, setting out any risks and mitigating actions planned for each one

| Corporate Governance Statement |   | Response  | Risks and Mitigating actions  |
|--------------------------------|---|-----------|---|
| 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 | <p>The Trust monitors and reviews its systems and processes to ensure they comply with good governance. They were subject to internal audit and Core &amp; Well Led CQC's inspections in 2019 and positive feedback was received with the Trust achieving overall CQC Good status.</p> <p>The Board is assured over its systems of corporate governnce from the work of the Audit Committee, its Internal and External Auditors and their opinions received during the year. The Board's view as to its governance processes is also reflected within the Trust's Annual Governance Statement.</p>  |
| 2                              | The Board has regard to such guidance on good corporate governance as may be issued by NHS Improvement from time to time  | Confirmed | <p>New requirements are highlighted through national and regional networks and the Board is appraised through the CEO's and Chairs report on a monthly basis.</p> <p>The Board through its development programme has engaged with the relevant ICS's to understand the changing landscape and the Trust taskes an active role within each ICS at both Executive level but also through reporting to each Committee and direct to the Board.</p>   |
| 3                              | The Board is satisfied that the Licensee has established and implements:<br>(a) Effective board and committee structures;<br>(b) Clear responsibilities for its Board, for committees reporting to the Board and for staff reporting to the Board and those committees; and<br>(c) Clear reporting lines and accountabilities throughout its organisation.  | Confirmed | <p>The Board has clear terms of reference as detailed in the Trusts Standing Orders.The Board agreed a revised scheme of delegation, SFIs and standing orders in July 2022. Each of the Board Committees has agreed Terms of Reference which are regularly reviewed and each Board-Committee has a NED chair with NEDs being in the majority in each Committee. There are clear responsibilities for Board and Sub-Committees in place with Chairs of Sub-Committees clearly highlighting key risks/mitigations as required, as well as minutes of the meetings being received once approved. There are clear reporting lines throughout the organisation with a clear structure in place Accountability structures for corporate and clinical divisions are in place. Individual accountabilities are understood through job descriptions, contracts and appraisals.</p> <p>These processes were referred to and their effectiveness was considered by the Accounting Officer when drafting the Trusts Annual Governance statement with this descritpion then considered by the Audit &amp; Risk Committee as it endorsed the AGS for submission to the Auditors.</p>  |
| 4                              | The Board is satisfied that the Licensee has established and effectively implements systems and/or processes:<br><br>(a) To ensure compliance with the Licensee's duty to operate efficiently, economically and effectively;<br>(b) For timely and effective scrutiny and oversight by the Board of the Licensee's operations;<br>(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;<br>(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);<br>(e) To obtain and disseminate accurate, comprehensive, timely and up to date information for Board and Committee decision-making;<br>(f) To identify and manage (including but not restricted to manage through forward plans) material risks to compliance with the Conditions of its Licence;<br>(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<br>(h) To ensure compliance with all applicable legal requirements. | Confirmed | <p>The committee architecture gives assurance to the Board that the Trust is operating effectively. The committees scrutinise areas of performance around finance, operations, quality and workforce and escalate appropriately. There are no conditions placed on the Tusts Licence.</p> <p>The Board of Directors monitors a series of quality measures and objectives on a monthly basis. Risks to the quality of care are managed and monitored through robust risk management and assurance processes. The committees of the Board, particularly the Quality and Effectiveness Committee and People Committee, play a key role in quality governance, receiving reports and using internal audit to test the processes and quality controls in place. This enables rigorous challenge and action to be taken to develop services to enable improvement. The Board gives regular consideration to ensuring service quality in all aspects of its work, including changes to services and cost improvement plans. The Board proactively works to identify and mitigate potential risks to quality. The Trust received a Good CQC rating in 2020.</p> <p>The Finance and Performance Committee provides assurance on the systems of control and governance specifically in relation to operational performance, workforce and financial planning and reporting. In the year the Committee has, on behalf of the Board has provided assurance on:</p> <ul style="list-style-type: none"><li>- Current financial, workforce and operational performance,</li><li>- Financial forecasts, budgets and plans in the light of trends and operational expectations,</li><li>- Plans and processes for the implementation of Effectiveness and Efficiency Improvement plans,</li><li>- Any specific risks in the Board Assurance Framework relevant to the committee.</li><li>- Reviewed and developed strategy in relation to clinical site development, estates and facilities, IT and information and finance.</li><li>- Undertaken deep dives into key service areas, effectiveness and efficiency plans and areas of performance.</li></ul> <p>The Audit Committee's provides the Board of Directors with a means of independent and objective review of internal controls and risk management arrangements relating to: financial systems; the financial information used by the Trust; controls and assurance systems, risk management arrangements, compliance with law, guidance and codes of conduct, counter fraud activity. The Trust has clear SFIs and Scheme of Delegation that determines the framework for financial decision-making, management and control. Systems of internal control are subject to regular audit and the Audit and Risk Committee provides independent oversight and challenge. There are robust accountability systems in place to monitor effectiveness and efficiency schemes. The Trust has an annual planning process that ensures business plans are developed and supported.</p> <p>The Board committee calendar ensures up-to-date information is provided to meetings for scrutiny and assurance. The Trust has a Risk Identification and Management Policy in place and the Board Assurance Framework and Corporate Risk Register provide the framework through which high-level risks are considered. The Board and committees receive and review the BAF and CRR on a frequent basis. The governance, risk and control processes in place ensure the Trust remains compliant. A new Risk managment Board was introduced in October 2022 to furterh enhance the risk manangement processes with in the Trust.</p> |

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| 5 | <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> | Confirmed | <p>There is clear leadership and accountability for the delivery of high quality and safe services within the Trust. This detailed within the Trusts Annual Report and the statements contained therein. The Trusts quality priorities continue to be set having regard to feedback from our patients, carers, the Governors and other stakeholders with regular reporting to the Board, Council of Governors and to our Commissioners.</p> <p>There is an effective and robust objective setting and performance review process in place for board members, portfolios are reviewed on an annual basis and skills are refreshed and kept up to date through a range of development opportunities.</p> <p>Board members are actively involved in quality initiatives including ward walkabouts and membership of strategic and operational committees. One non-executive has taken on responsibility as a Freedom to Speak Up Guardian. As set out above the Board of Directors monitors a series of quality measures and objectives on a monthly basis. Risks to the quality of care are managed and monitored through robust risk management and assurance processes. The committees of the Board, particularly the Quality and Effectiveness Committee, play a key role in quality governance, receiving reports and using internal audit to test the processes and quality controls in place. This enables rigorous challenge and action to be taken to develop services to enable improvement. The Board gives regular consideration to ensuring service quality in all aspects of its work, including changes to services and cost improvement plans. The Board proactively works to identify and mitigate potential risks to quality.</p> <p>There are clear escalation routes throughout the Trust to ensure matters can be escalated and referred up to the Board and Board -Committees. Board committees Chair also have a standing item on each Board agenda allowing them to escalate to the Board.</p> |
| 6 | <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>Signed on behalf of the Board of directors, and, in the case of Foundation Trusts, having regard to the views of the governors</p> <div><div><p>Signature </p><p>Name Richard Parker - Chief Executive</p></div><div><p>Signature </p><p>Name Suzy Brain England - Chair</p></div></div>   | Confirmed | <p>The Trust has established a rigorous process that ensures that all Board Members are "fit and proper" persons and there is an annual review of all Board members continuation as fit and proper persons.</p> <p>The Board and its Committees through its receipt of Workforce reports has been assured over the actions being taken to manage the workforce risks in relation to recruitment and retention complimented and the Board's review of people BAF risks. Regular reporting is also provided to the Board on the Trust's compliance with the nursing safer staffing levels and the revalidation of its nursing and medical workforce. All transformation schemes are subject to a detailed quality impact assessment and this rigor includes those schemes which include any workforce reduction and through this process the Board is assured that the Trust retains an appropriately qualified workforce to deliver its services. The Trust has a number of established Executive and Senior Management development programmes and these activities are designed to support and strengthen the personnel on the Board, those reporting to the Board and those within the rest of the Trust</p>   |

Further explanatory information should be provided below where the Board has been unable to confirm declarations under FT4.

|   |                        |    |
|---|------------------------|----|
| A | <p>Not applicable.</p> | OK |
|---|------------------------|----|

Worksheet "Training of governors"

Financial Year to which self-certification relates

2022/23

Certification on training of governors (FTs only)


The Board are required to respond "Confirmed" or "Not confirmed" to the following statements. Explanatory information should be provided where required.


Training of Governors

- 1 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.

ConfirmedOK

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

Signature  
  
NameRichard Parker  
  
CapacityChief Executive  
  
Date20 June 2023

Signature  
  
NameSuzy Brain England  
  
CapacityChair of the Board  
  
Date20 June 2023

Further explanatory information should be provided below where the Board has been unable to confirm declarations under s151(5) of the Health and Social Care Act

A Not applicable