

Board of Directors Meeting

Subject: CQC Quality Report
Date: Thursday 28 July 2014
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<p>Executive Summary</p> <p>This report provides an update on the CQC Inspection and Report.</p>
<p>Recommendation</p> <p>The Board is asked to note the content of this paper and specifically where verbal updates will be given at the Board meeting.</p>

Relevant Strategic Objectives (please mark in bold)	
Achieve the best patient experience	Achieve financial sustainability
Improve patient safety and provide high quality care	Build successful relationships with external organisations and regulators
Attract, develop and motivate effective teams	

Links to the BAF and Corporate Risk Register	
Details of additional risks associated with this paper (<i>may include CQC Essential Standards, NHSLA, NHS Constitution</i>)	N/A
Links to NHS Constitution	N/A
Financial Implications/Impact	N/A
Legal Implications/Impact	N/A
Partnership working & Public Engagement Implications/Impact	
Committees/groups where this item has been presented before	N/A
Monitoring and Review	N/A
Is a QIA required/been completed? If yes provide brief details	N/A

CQC Quality Report

Introduction

In 2013 the Trust was identified nationally as having high mortality rates and it was 1 of 14 Hospital Trusts to be investigated by Sir Bruce Keogh (the Medical Director for NHS England) as part of the Keogh Mortality Review in July of that year. Following the Keogh Rapid Response Review, the Trust entered Special Measures in July 2013. The Care Quality Commission (CQC) carried out its planned Quality Inspection on 24th and 25th April 2014, together with unannounced out of hours visits on the 29th April and 9th May 2014. The report from the CQC includes separate analysis of services on the King's Mill and Newark sites, along with a collective Trust wide report which on the scale of inadequate to outstanding, rates the services offered by the Trust against the CQC's 5 key assessment domains as follows:

- Are services at this Trust safe?
Requires Improvement;
- Are services at this Trust effective?
Requires Improvement;
- Are services at this Trust caring?
Good;
- Are services at this Trust responsive?
Requires Improvement;
- Are services at this Trust well led?
Requires Improvement.

A full copy of the Quality Reports for the Trust and the 2 named individual sites can be found at Appendices 1 – 3 of this report.

Headline Findings

The CQC's Quality Report clearly identifies a journey of improvement for the Trust that began at the Risk Summit in July 2013 following the Keogh Rapid Response Review. The report praises the Trust's Hospitals as being consistently caring, it outlines several areas of outstanding practice and identifies areas of poor practice where improvements are needed. The CQC has recommended that the Trust remains in Special Measures for a further 6 months.

The CQC found areas of outstanding practice in:

- Maternity;
- Emergency Department;
- Children & Young Peoples Services;
- Surgery at Newark.

The key findings to support observations of outstanding practice included:

- Multi-disciplinary working in the Maternity & Children's departments;
- Junior Doctors who felt well supported in the Emergency department;
- An effectively managed surgery service at Newark;
- The smoking reduction programme for women during pregnancy, which was acknowledged as producing good results;
- the gynaecology department which was identified as well led with staff passionate about the care and service that they provide;

- Inspectors found services across the Trust were caring and rated these as Good. Nursing staff were seen to be compassionate and patients said staff were caring, kind and respected their wishes.

The report identifies that improvements must be made in the following areas:

- Staff mandatory training and appraisals must be completed to meet Trust targets;
- Ensure there are appropriate numbers of staff in place for the care required in Newark Hospital;
- Accurate record keeping should be maintained with regard to patient observations and hydration;
- Ensure there are secure systems in place for storing medicines and that people are given medicines according to their prescription.

Ratings

On pages 29 and 30 of the consolidated Trust Wide Quality Report, found at Appendix 1, the overview of ratings for the Trust are given. Separate ratings have been provided for King's Mill Hospital and Newark Hospital against the 5 key domains described above. The domains are measured against 8 service areas at King's Mill Hospital (A&E; Medical Care; Surgery; Critical Care; Maternity and Family Planning; Children & Young People; End of Life and Outpatients) but against just 4 services at Newark (MIU; Surgery; End of Life and Outpatients).

Overall ratings are given by specialty and by domain at both King's Mill Hospital and Newark Hospitals. Finally, an overall set of ratings against the 5 domains for the Trust is given, along with a single overall rating for each of the 2 sites inspected and the Trust overall. The highlights for the Trust within the ratings are that the caring domain scores consistently Good across every area of the Trust that has been inspected. There are also 3 entire services that score Good ratings consistently against every domain. These are Critical Care, Maternity & Family Planning and Children & Young People. The majority of other ratings are Requires Improvement, with some further Good ratings, 4 areas of the affected domain not rated by the CQC, but 1 inadequate rating for the safety of medical care at King's Mill Hospital.

Appendix 4 shows our summary of each of the 8 specialty areas, each split into areas of good practice, headline feedback and an improvement plan.

Special Measures Status

In the press release which accompanies the report Professor Sir Mike Richards, the CQC's Chief Inspector of Hospitals says

"I recognise Sherwood Forest Hospitals NHS Foundation Trust has been working hard over the last year to make improvements. While we saw signs of improvement, the Trust still has some way to go before it reaches the required standard. That is why I have recommended to Monitor that the Trust remains in Special Measures for a further 6 months. I am hopeful that in 6 months' time the Trust will be able to demonstrate sufficient further improvement for me to review this again. So far, the Trust has proven that they can continue in the right direction, so I hope this will continue".

Formally the decision on Special Measures is made by Monitor and I hope to be able to give a verbal update on Monitor's decision at the Board meeting. It would be appropriate however for the Trust to continue to plan for the future based on an assumption that Professor Sir Mike Richard's recommendation to Monitor will be accepted.

The ratings themselves are not enough to justify the Trust remaining in Special Measures. This becomes clear once an analysis of the detailed ratings of other Trusts, which are being taken out of Special Measures is analysed. These clearly have more inadequate ratings than Sherwood Forest.

Tim Cooper, the Head of Hospital Inspection at the Care Quality Commission gave the rationale for staying in Special Measures as being a “combination of challenges, and the requirement to maintain the pace of change on these issues that contributed to the decision to recommend the Trust remains in Special Measures”.

Next Steps

One of the objectives of the Trust’s Quality Summit held on the 14th July 2014 was to agree the main principles of an Action Plan to address the requirements identified in the CQC’s Quality Report. On the day of the Quality Summit however, the final report had not been agreed and therefore could not be addressed by all of the Quality Summit partners. The Trust therefore now has 3 weeks from the date of publication of the report (i.e. 3 weeks from the 22nd of July) to finalise its Action Plan and submit it to Monitor. The Action Plan will include all actions taken since the 25th April which are relevant to matters described within the report. The Action Plan will also take any issues that remain outstanding from the Keogh Rapid Response Review in June 2013, so that there is one overall consolidated Action Plan. The Trust will report through every Board meeting on its progress against this consolidated Action Plan, at least until the Trust is taken out of Special Measures. Professor Sir Mike Richards has said that he is hopeful that the Trust can emerge from Special Measures and is open to the Trusts interpretation of whether or not a 6 month re-inspection date should be counted from the date of the original inspection at the end of April, or from the date of publication of the report earlier this week. There is also a clear signal from Professor Sir Mike Richards that any re-inspection is likely to target the areas that are specifically identified as requiring actions as a result of their Inadequate or Requires Improvement rating.

In creating an Action Plan, the Trust will concentrate on 6 key principles, as follows:

1. The safety domain in medicine was the only area in which the Trust was deemed Inadequate (1 out of 90 different ratings applied across the whole of the Trust). The Action Plan will aim to improve this rating over time to Good;
2. All areas that are rated as Requires Improvement will be targeted with the aim of raising their rating to Good;
3. All 8 of the specialty areas inspected at King’s Mill and all 4 of the specialty areas inspected at Newark have Good ratings, these ratings being consistent across all domains for Critical Care, Maternity & Family Planning and Children & Young People. We will aim to take key positive areas of good practice from each of these areas and spread them more consistently across the Requires Improvement and Inadequate areas of the Trust;
4. Our challenge to any area identified as Good will be to identify national best practice so that in time, an aspirational Outstanding for these areas can be realised;
5. Any “must do’s” or “should do’s” identified in the Quality Report will be addressed in the Action Plan;
6. Whilst the ratings and the Special Measures status are quite specifically directed at the Trust, there are many issues of health economy wide performance that have impacted on the CQC’s Quality Report. Where appropriate therefore, the Action Plan will address actions that need to be taken by other partners across the health economy.

Existing Conditions and Other Regulatory Matters

The Trust has written to the CQC identifying compliance actions against 5 of the CQC outcomes from the “old regime” i.e. compliance actions that were in existence prior to the April 2014 inspection. The July 2013 CQC inspection resulted in 5 compliance judgements of which 1 indicated a “warning notice” in respect of outcome 16, “Assessing and Monitoring of the quality of service provision”. The judgement the Trust received for the outcomes assessed was as follows:

1. Care and welfare of people who use the service - minor impact to patients;
2. Meeting nutritional needs – moderate impact to patients;

3. Cooperating with other providers – standard met;
4. Cleanliness and infection control – standard met;
5. Staffing – moderate impact to patients;
6. Supporting workers – standard met;
7. Assessing and monitoring the quality of service provision – moderate impact “enforcement action”, N.B. A warning notice was issued with a specific deadline for meeting this standard by 31st October 2013;
8. Complaints – moderate impact to patients.

These judgements were issued to the Trust in September 2013 in the CQC’s formal report, with a separate issue of a warning notice. The Trust was revisited on 4th December 2013 to assess the Trust’s position against the warning notice. Following this visit, the CQC felt that sufficient improvements had been made to enable the warning notice to be reduced to a compliance action.

Given the current position described above, the Trust has now asked the CQC under its new regime, what the impact of the current Quality Report is on the above 4 judgements and the appropriate description that the Trust needs to use in fulfilling its quarterly Monitor Compliance Declaration. If this is available by the time of the Board meeting I will update the Board with a verbal report.

Reflections and Summary

Whilst I am pleased that the continued improvement journey of the Trust has been recognised in the CQC’s Inspection Report, I am extremely disappointed that the Trust remains in Special Measures. Whether in or out of Special Measures, our determination to continue our improvement programmes will continue, but the reputational impact on the Trust of staying in Special Measures and our consequent ability to be able to attract the highest calibre clinical and managerial staff to drive the further improvements forward cannot be underestimated. The onus now is on producing an Action Plan and delivering it consistently across the whole of the Trust. Our aim must be to turn the following statement from Professor Sir Mike Richards into a reality for the Trust.

“I am hopeful that in 6 months time the Trust will be able to demonstrate sufficient future improvements for me to review this again. So far the Trust has proven that they can progress in the right direction, so I hope this will continue”.

(Professor Sir Mike Richards, Chief Inspector of Hospitals)

Paul O’Connor
Chief Executive