

Board of Directors (in Public) Item 5.5

Subject: Mock CQC Update and Planning Assurance/EECS Process
Date of meeting: Tuesday 27th July 2021
Prepared by: Sue Pemberton, Director of Nursing, Quality & Safety
Presented by: Sue Pemberton, Director of Nursing, Quality & Safety
Purpose of Report: To Note

BAF Reference	Impact on BAF
BAF 1	Update against BAF action regarding EECS and CQC mock inspections process

Level of assurance (please tick one)

To be used when the content of the report provides evidence of assurance

<input checked="" type="checkbox"/>	Acceptable assurance Controls are suitably designed, with evidence of them being consistently applied and effective in practice	<input type="checkbox"/>	Partial assurance Controls are still maturing – evidence shows that further action is required to improve their effectiveness	<input type="checkbox"/>	Low assurance Evidence indicates poor effectiveness of controls
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1. Executive Summary

During the covid pandemic, the CQC has been carrying out virtual meetings with LHCH to assess the Trusts performance in relation to Infection prevention standards and provided the Trust with a BAF document, to support this, which the Trust duly completed. A virtual meeting was held with the Dipc and members of the Executive team, with the CQC inspection lead, to review the document and the Trusts standards. No issues were raised at this meeting.

In addition, the Trust has undergone reviews of both medicine and surgery over the past year, virtually with the CQC. The one area that was highlighted for improvement was the robustness of an action plan from a serious incident, which was duly reviewed, and improvements made and fed back to the CQC.

In May 2021, the CQC has published its new 5-year strategy which outlines their key priorities which are based on 4 themes:

- People and communities: regulation that is driven by people's needs and experiences, focusing on what is important to them as they access, use and move between services.

- Smarter regulation: a more dynamic and flexible approach that provides up-to-date and high-quality information and ratings, easier ways of working with CQC, and a more proportionate regulatory response.
- Safety through learning: an unrelenting focus on safety, requiring a culture across health and care that enables people to speak up and in this way share learning and improvement opportunities.
- Accelerating improvement: encouraging health and care services, and local systems, to access support to help improve the quality of care where it's needed most.

Running through each of these themes are two core ambitions:

- Assessing local systems: giving the public independent assurance about the quality of care in their area
- Tackling inequalities in health and care: pushing for equality of access, experiences and outcomes from services.

The Trust needs to continue to assess its own standards in relation to quality and safety as we continue to recover following the covid pandemic. The previous programme of internal assessments was paused when covid commenced in February 2020. It is now timely to re-introduce our internal inspections to ensure we have assurance on the standards Trust wide, to ensure we are prepared for a CQC inspection.

In addition, the current EECS assessment framework has been reviewed and has been combined with the Trust's plans to assess itself in relation to the CQC standards. At the end of 2019 all ward areas, Theatres, Catheter Labs and Community Services had achieved Gold EECS status, except for Rowan Suite as this was a new ward.

The department assessments are always well received, they complete a peer review and seven out of eight have EECS Gold status, the exception being The Radiology department which was last assessed in March 2021, which was rated requires improvement. A full action plan is in place.

The approach to assessment has been reviewed and the ambition is to provide a comprehensive assessment of our clinical areas together with feedback from other members of the multi-disciplinary team, on the standards of care and practice within the areas. To do this we have brought together the CQC internal assessments with our EECS assessments. The outcome of both the EECS and the self-assessment of CQC KLOES will be triangulated in each division to generate an internal overall rating in line with the CQC KLOES. The well led element will be assessed in each division and this will be combined with an overall internal well led assessment of the Trust. The outcome of these individual assessments will feed into the overall well led review for the organisation. (Appendix one).

For 2021/22 it is not proposed to conduct the EECS assessments in the corporate areas however, it is expected that each Executive responsible for a corporate team, will review their services in line with the CQC well led criteria, supported by the Director of Corporate affairs.

2. CQC sustainability of standards and continuous improvements

The new assessment framework for LHCH in 2021/22 will include:

- A self-assessment from each service line of the CQC standards for the five key lines. These will include Surgery, Medicine, and Critical care, End of life services,

Outpatients, and Diagnostics. This will include areas of outstanding practice and areas for improvement.

- A well led interview with all 3 divisional triumvirate teams
- Desk top review of divisional governance in each division
- A new EECS process for all clinical areas which includes a one-day assessment in the relevant clinical area (this includes staff survey, review of the culture, harms, IPC standards, patient feedback, complaints, end of life care, nutrition standards, training compliance, leadership and budgetary management).
- Virtual/face to face discussion groups with a selection of junior doctors and corporate team members to gain their feedback on working at LHCH, what we do well and what we can improve.
- Review of our role in the STP, Specialist Trust collaboration and CVD partnership work.
- Staff experience – including health and well-being, Inclusion, and engagement.

3. Summary

The Trust has been rated outstanding twice in 2016 and 2019. The programme of Trust-wide mock inspections coupled with our embedded approach to ward and departmental assessments will continue, as they have provided good assurance that the Trust is aware of where improvements need to be made, alongside recognising the outstanding care and practice in place.

The sharing and learning forum is the vehicle for all staff to interact and hear first hand the improvements and learnings from other areas – this forum will recommence in September 2021, bi-monthly. In addition there will be a CQC forum BiMonthly to meet with staff across the hospital to update them on learnings from inspections and self assessment.

4. Recommendations

The Board of Directors are asked to:

- Receive and agree the planned self assessment/inspection programme for the Trust commencing in October 2021.
- Agree the recommended changes to the EECS assessments.

Appendix 1

		Oct 2021	Nov 2021	Dec 2021	Jan 2022	Feb 2022	Mar 2022	Apr 2022	May 2022	Jun 2022	Jul 2022	Aug 2022	Sept 2022
Clinical Services													
EECS Radiology	AM/TM	✓											
CQC review End of Life Services	JS/SO	✓											
EECS Outpatients	Peer		✓										
EECS Therapies	Peer		✓										
EECS Critical Care	EECS team			✓									
EECS Pharmacy	Peer			✓									
Staff discussion clinical services division (date TBC)	OD lead												
Desk top review governance clinical services division	HK/LL			✓									
Well led interview triumvirate	LL/SP			✓									
CQC self-assessment clinical services division	Division	✓											
Finalise report clinical services	SP/TM				✓								
Report to Execs	SP				✓								
Report to Board	SP				✓								
Surgery													
EECS Cedar Ward	EECS team				✓								
EECS Theatres	EECS team					✓							
EECS Rowan Suite	EECS team						✓						
EECS Oak Ward	EECS team						✓						
Desktop review of governance surgery	LL/HK						✓						
CQC self-assessment surgery	Division				✓								
Staff discussion surgery (TBC)	OD lead												
Well led interview triumvirate	LL/SP						✓						
Finalise report surgery	SP/TM							✓					

		Oct 2021	Nov 2021	Dec 2021	Jan 2022	Feb 2022	Mar 2022	Apr 2022	May 2022	Jun 2022	Jul 2022	Aug 2022	Sept 2022
Report to execs	SP							✓					
Report to Board	SP							✓					
Medicine													
EECS Birch Ward	EECS team							✓					
EECS ACU	EECS team								✓				
EECS Holly Suite	EECS team									✓			
EECS Catheter Labs	EECS team									✓			
EECS Maple Ward	EECS team							✓					
EECS Cherry Ward	EECS team								✓				
EECS KCRS	Peer							✓					
EECS KCVD	Peer							✓					
EECS Cardiac Diagnostics	Peer								✓				
EECS Pulmonary Function	Peer								✓				
Well led interview triumvirate	SP/LL									✓			
CQC self-assessment medicine division	Division							✓					
Desk top review governance medical division	HK/LL									✓			
Staff discussion medicine division (TBC)	OD lead												
Finalise medicine report	SP/TM										✓		
Report to Execs	SP										✓		
Report to Board	SP										✓		
Corporate													
EECS Medical Engineering	Peer										✓ 2022		
EECS Estates	Peer										✓ 2022		
EECS Support Services	Peer											✓ 2022	
Staff discussions corporate teams (TBC)	OD lead												
Trust level report to Board	LL/SP	✓ 2022											
Well led Trust assessment	LL/SP	✓ 2022											

