Care Quality Commission: Compliance Inspection March 2014
Report and Action Plan

Public Board
31 July 2014

Presented for: Information and Discussion
Presented by: Professor Suzanne Hinchliffe CBE, Chief Nurse
Author: Craig Brigg, Director of Quality
Corporate objective: To achieve the best possible clinical outcomes for every patient every time

Key points

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<td>1.</td>
<td>The Trust was included in the second phase of inspections in March 2014, following publication of the first Intelligent Monitoring report in October 2013.</td>
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<td>2.</td>
<td>The inspection took place w/c 17 March 2014; an unannounced follow-up visit was undertaken at LGI and SJUH on Sunday, 30 March 2014.</td>
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<td>3.</td>
<td>The draft report of the inspection was received on Thursday, 5 June 2014; comments on factual accuracy were submitted to the CQC on Friday, 13 June 2014.</td>
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<td>4.</td>
<td>The Quality Summit meeting was held with the CQC and partner organisations on Friday, 20 June 2014. The draft action plan in response to the recommendations from the inspection was discussed at the Quality Summit.</td>
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<td>5.</td>
<td>The final report of the inspection was received and published on Tuesday, 1 July 2014 and action plan submitted to the CQC on 18 July 2014.</td>
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Information
1. SUMMARY

In October 2013 the CQC published a new model it had developed to review key indicators about NHS hospitals, known as the Intelligent Monitoring Tool.

The Trust was placed in Band 1 (highest risk) and was included in the second wave of inspections that started in January 2014. The inspection visit took place w/c 17 March 2014 following a period of extensive preparation, including the submission of a wide range of documents in advance of the visit in February 2014 to inform the inspection.

2. BACKGROUND

The CQC, led by its new Chief Executive, consulted on proposed changes to the way it regulates, inspects and monitors care, publishing its consultation document *A New Start* in June 2013. This was supported by a series of local and national listening events to consult with the public and healthcare organisations on the proposals.

The new approach involved identifying the key questions to ask about the quality and safety of care, based on the things that matter to people. The CQC adopted 5 key questions that will be used for the inspection of all service areas:

- Is it safe
- Is it effective
- Is it caring
- Is it responsive to peoples’ needs
- Is it well led

The new programme of inspection included the introduction of ratings for healthcare organisations to support the process of regulation. The CQC committed to phasing-in ratings from December 2013. Ratings would be at service level, hospital level, domain level (relating to the 5 key questions) and Trust level. This would be on a 4-point scale:

| Outstanding | Good | Requires Improvement | Inadequate |

The CQC confirmed that key services would be inspected and rated involving the following 8 clinical areas and pathways that were identified as priorities to address by the chief inspector of hospitals:

<table>
<thead>
<tr>
<th>Outpatients</th>
<th>Critical Care</th>
<th>Acute Medical Pathways</th>
<th>Acute Surgical Pathways</th>
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<tbody>
<tr>
<td>Paediatrics</td>
<td>A&amp;E</td>
<td>Maternity</td>
<td>End of Life Care</td>
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3. FINDINGS OF THE INSPECTION

The Trust received the draft report of the findings from the inspection on 5 June 2014. The draft report was produced by location and judgements made against the 5 key questions and each of the 8 core services. An overall summary quality report was provided that set out the judgements that had been made following conclusion of the inspection. The report described the CQC’s judgement of the quality of care at the Trust. It was based on a combination of what the CQC found when they visited the Trust in March, information from their Intelligent Monitoring system and information provided to them from patients, the public and other organisations.

The Trust was invited to provide comments on factual accuracy and a response was sent to the CQC on 13 June 2014. The final report and judgements from the inspection was received on 30 June 2014 and published on 1 July 2014. The report was made publically available on the CQC and Trust website.

The judgements made by the CQC following their inspection relating to the 5 key questions for the Trust overall were:

<table>
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<th>Overall rating for this Trust</th>
<th>Requires Improvement</th>
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<tr>
<td>Are services at this Trust safe?</td>
<td>Requires improvement</td>
</tr>
<tr>
<td>Are services at this Trust effective?</td>
<td>Good</td>
</tr>
<tr>
<td>Are services at this Trust caring?</td>
<td>Good</td>
</tr>
<tr>
<td>Are services at this Trust responsive?</td>
<td>Requires improvement</td>
</tr>
<tr>
<td>Are services at this Trust well-led?</td>
<td>Requires improvement</td>
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</table>

The Trust was given an overall rating of Requires Improvement. The final report is included as Appendix 1 and was discussed in detail at the Quality Committee on 3 July 2014.

The summary quality report includes details about the inspection process and how this was carried out, together with narrative to support the judgements that had been made for each of the key questions. Further detailed reports were also provided for each of the locations that sets out judgements against the key questions and 8 core services.

The summary quality report also includes a list of recommendations about what the Trust must do to improve quality and safety of care and also a further list of recommendations about what it should do. The report concludes with a summary of compliance actions that the Trust is required to take relating to the essential standards of quality and safety that were not being met at the time of the inspection visit in March. These are mapped against the specific Regulations set out in The Health and Social Care Act 2008 (Regulated Activities) Regulations 2010. The Trust is required to send a report to the CQC that describes the actions that are going to be taken to meet these essential standards.

A framework and action plan has been developed in response to the recommendations and the compliance actions identified in the report. This is included with this summary report.
4. QUALITY SUMMIT MEETING 20 JUNE 2014

The CQC inspection team arranged a Quality Summit meeting to take place on Friday, 20 June 2014 to review the findings of the report and consider the Trust’s response and action plan. The meeting was co-ordinated by the CQC and attended by senior representatives from the Trust and partner organisations, including the TDA, CCG, Healthwatch Leeds, Health and Social Care and Local Authority.

At the meeting the CQC provided an overview of the inspection process and the methodology used together with a summary of their findings and rational for the judgements that they had made. The Trust’s Chief Executive provided a response and feedback to the CQC regarding the Trust’s experience of the inspection. The response from the Trust was that the report was fair and balanced overall and was a good reflection of where we were as an organisation and that it would help with future development. The report also recognised the improvement work that had been undertaken, including risk, complaints, ward healthcheck, staff engagement and communication and there were no surprises in the report.

The Trust requested some clarity regarding the scoring methodology that had been used as there had been a number of queries raised by staff about this when the draft report was circulated for review. The Trust had fed back to the CQC regarding the report on children’s and younger people’s services at the LGI location. The Trust acknowledged that there were improvements required in the services, however, the overall judgements relating to the 5 key questions was considered to be disproportionate based on the narrative summary and local knowledge of the services. A teleconference subsequently took place on 26 June 2014 with the CQC to discuss the report on children and young people’s services. Additional evidence was submitted to support this for the CQC to consider and this was reflected in the ratings in the final publication.

The draft action plan in response to the recommendations from the inspection was reviewed at the second part of the Quality Summit meeting, led by the TDA. The Trust had produced a framework and response to the actions that needed to be taken to improve quality and safety. Partner organisations were given opportunity to consider the Trust’s response and to offer ways in which they could provide support to enable these actions to be implemented. It was recognised that some of the actions would require some investment both in the medium and longer-term, particularly relating to staffing and equipment replacement.

The Trust’s response to the inspection report was positively received and the actions identified to date were supported.

5. NEXT STEPS

The Trust was required to submit an action plan to the CQC by Friday, 18 July 2014. It was agreed at the Quality Summit that this would focus specifically on those recommendations about what the Trust must do to maintain quality and safety, taking particular account of the recommendations that were related to a compliance action, as identified in the report. The action plan was shared with partner organisations the week before submission (11 July 2014) and comments received
before the action plan was finalised and submitted to the CQC on 18 July 2014. The action plan would be overseen by the TDA and progress discussed with the CCG at the monthly quality meeting. The governance arrangements for assurance have been agreed, including the Sub-Committees of the Board that will receive reports on progress to ensure that actions are implemented.

6. COMMUNICATIONS AND INVOLVEMENT

The report has been reviewed with partner organisations and communicated to all staff within Leeds Teaching Hospitals NHS Trust.

7. PUBLICATION UNDER THE FREEDOM OF INFORMATION ACT

This paper has been made available under the Freedom of Information Act 2000.

8. RECOMMENDATIONS

Trust Board is asked to:

- Receive the final report from the CQC following their inspection in March 2014
- Note the Trust’s response and outcomes of the Quality Summit meeting with the CQC and partner organisations on 20 June 2014
- Receive the action plan that was submitted to the CQC on 18 July 2014.

9. SUPPORTING INFORMATION

The action plan that was submitted to the CQC on 18 July 2014 is included with this cover paper. The final reports of the CQC inspection are included as an appendix in the blue folder.

Craig Brigg
DIRECTOR OF QUALITY

July 2014