

Board of Directors

24 September 2020

Paper title:	Update on Well-led Preparations	Agenda item 20
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Prepared by:	Paul Hogg, Director of Corporate Affairs	

Purpose of the report		
To update the Board of Directors on arrangements for the next phase of preparations for the Trust's well-led inspection by the Care Quality Commission (CQC).	For approval	X
	For discussion	X
	For information	

Executive summary		
<p>The Trust has completed four areas of work since the last report: receipt of a desktop review of well-led documents from MIH Solutions and a facilitated Board development webinar; consideration of the results of an evaluation questionnaire seeking views on the Board's readiness for a well-led inspection; undertaking the majority of 'check, challenge and coaching sessions' with individual Board and SLT members; and discussion of the results from the corporate governance effectiveness review, one of the workstreams from the recovery and resilience programme. Actions from these pieces of work have now been drawn together in a proposed action plan, at Appendix 1, which if approved, would provide the next phase of well-led preparations between October and December 2020.</p>		
Do the recommendations in this paper have any impact upon the requirements of the protected groups identified by the Equality Act?	<p>State below 'Yes' or 'No'</p> <p>No</p>	If yes please set out what action has been taken to address this in your paper

Recommendations
<p>The Board of Directors is asked to:</p> <ul style="list-style-type: none"> Note the work undertaken between July and September; Note the approach in reviewing the desktop review via Compliance Group and Quality and Safety Committee; Discuss and confirm the nine key areas that will form part of the well-led briefing pack; Note that a final 'wash-up' session with MIH Solutions is arranged for 2 November 2020; and Consider the draft action plan and suggested timescales at Appendix 1.

Strategic vision				
Please mark those that apply with an X				
Providing excellent quality services and seamless access	Creating the best place to work	Supporting people to live to their fullest potential	Financial sustainability growth and innovation	Governance and well-led
				X

Care Quality Commission domains				
Please mark those that apply with an X				
Safe	Effective	Responsive	Caring	Well Led
				X

Relationship to the Board Assurance Framework (BAF)	<p>The work contained with this report links to the following strategic risk(s) as identified in the BAF:</p> <ul style="list-style-type: none"> N/A.
Links to the Corporate Risk Register (CRR)	<p>The work contained with this report links to the following corporate risk(s) as identified in the CRR:</p> <ul style="list-style-type: none"> N/A.
Compliance and regulatory implications	<p>The following compliance and regulatory implications have been identified as a result of the work outlined in this report:</p> <ul style="list-style-type: none"> CQC Well-led domain Foundation Trust Code of Governance

Update on Well-led preparations

Background

The Board and Senior Leadership Team (SLT) preparations have continued since the last report presented in June 2020. The Trust has been working with Make It Happen (MIH) Solutions since June 2020, although observations by the CQC of key governance meetings during June and July were postponed mid-programme due to COVID-19. The expected well-led inspection in the Autumn/Winter seems less likely now but cannot be ruled out. The paper summarises the work done to date and proposed next steps for the next few months to maintain momentum.

Preparations for well-led (July to September 2020)

During July to September, a number of areas of development work have been completed:

- A Board development workshop was held on 28 July to explore what ‘well-led’ looks like for a mental health, community and learning disability Trust. The Board received feedback and recommendations based upon a desktop review (see below), discussed a shared understanding of i) likely ‘key lines of enquiry’ and the kinds of questions that inform them; and ii) expectations of Executive and Non-Executive Directors, and other colleagues;
- A desktop triangulation review undertaken by MIH Solutions of key documents was received, which included recent CQC inspection reports and subsequent action plans, the most recent staff survey results, well-led governance reviews, our strategic framework and key Board and Committee papers. The Interim Director of Nursing, Professions and Care Standards has completed an initial review of the recommended actions and identified the following themes for further analysis to confirm appropriate evidence/assurance is available:
 - Learning from SIs;
 - Audits of compliance, particularly at ward level;
 - Restrictive practice audits;
 - Individual clinical risk assessments for service users;
 - Individual Care plans for service users;
 - Equipment maintenance (including fridge temperature recording);
 - Medicines management compliance;
 - Management of waiting times for service users;
 - Mental capacity act audits;
 - Safe staffing compliance; and
 - Compliance with action plans in general.

The next step is for the results of the desktop review to be considered in more detail at a meeting of the Compliance Group, with a position report presented to Quality and Safety Committee.

- The workshop also discussed the results of the online evaluation questionnaire completed by Board members and the SLT to help test the Trust’s readiness for a well-led inspection. On 19 August, the SLT received an abridged summary of the slide deck which was used at the Board session on 28 July and SLT discussed potential areas for inclusion as the top 3 achievements taking place across the Trust that would help to form a common narrative and useful case study material, the top 3 areas for further development/improvement and the top 3 strategic risks.
- **The Board is asked to discuss/confirm the suggested areas that will form part of the well-led briefing pack, which are summarised below:**

Achievements	Areas for development	Strategic risks
Care Trust Way and iCare (embedding of QI training, impact of RPIWs, coaching methodologies, Daily Lean Management, process of escalating concerns through cells, and celebration of innovation).	Risk management (clarity on risk management strategy, use of risk assessments, reporting of BAF and CRR). See agenda item 19.	Demand and capacity (BAF Risk 1.1; CRR 2197 and 2393).
Engagement and use of technology during COVID-19 (use of MS Teams for Board and Committee meetings, virtual service visits, Executive Broadcasts, Pulse Survey, Learning Week events and development of staff networks).	Service specific areas (e.g. CAMHS, CMHTs) and delivery of strategic programmes to address district wide system change.	Delivery of quality services / risk of regulatory intervention (BAF Risk 2.1; CRR Risks 2102, 2266, 2342 and 2197).
Engaged, visible Trust Board (clear vision and values, commitment to diversity, quality of leadership, constructive challenge, increased innovation and learning).	Need to share learning / embed mechanisms for shared learning, triangulation of data and improved data sharing.	Impact of COVID-19 on the Trust's ability to operate and maintain safe, high quality services during the pandemic period (BAF Risk 6.1; CRR Risk 2370 and 2383).

- In August and September a series of personal ‘check, challenge and coaching’ sessions were held with Board members, to help test out and explore areas of the well-led inspection from the perspective of each individual role on the Trust Board (e.g. Chair of a Committee, Executive Director Lead). Similar sessions were extended to members of the Senior Leadership Team.

Board members are asked to note that a further ‘wash-up’ session with MIH Solutions to bring together the learning from these sessions and conclude MIH Solutions’ support in the preparation – this is arranged for 2 November (11.00am – 12.30pm).

Actions from the Board workshop, corporate governance effectiveness survey and SLT discussions have been brought together in a draft action plan at Appendix 1. If approved, this will form the next phase of well-led preparations between October and December 2020.

The Board is asked to consider the draft action plan and suggested timescales.

Appendix 1

Draft well-led action plan

	Proposed action	Source of discussion	Lead	Timescale
1	Development of the specialist corporate governance service.	Corporate Governance Review	Director of Corporate Affairs / Deputy Trust Secretary	Quarter 3
2	Refresh of the Care Trust Integrated Governance Guide (CTIGG) (describing COVID-19 updates and embedding of DLM).	Corporate Governance Review	Director of Corporate Affairs / Deputy Trust Secretary	Quarter 3
3	Development of corporate governance case study with KPO Team.	Corporate Governance Review	Deputy Trust Secretary / Head of KPO	Quarter 3
4	Further development of Performance Management Framework and Board / Committee dashboards with alignment of 2021 Committee dates to data reporting.	Corporate Governance Review	Deputy Director of Performance and Planning / Deputy Trust Secretary	Quarter 4 / Quarter 3
5	Introduction of Board 'reading room' for minutes and papers (Board Portal).	Corporate Governance Review	Deputy Trust Secretary	Quarter 3 (October)
6	Approval of refreshed Risk Management Strategy.	Corporate Governance Review	Director of Nursing, Professions and Care Standards	Quarter 2 (September Board meeting)
7	Refreshed reporting of BAF and CRR at Board and Committee meetings.	Corporate Governance Review	Director of Nursing, Professions and Care Standards and Director of Corporate Affairs	Quarter 3 (October)
8	Further development of 'blended' approach to corporate governance	Corporate Governance Review	Deputy Trust Secretary	Quarter 3 (October)

	meetings (subject to COVID-19) and population of Board development programme.			
9	Completion of teleconferencing hubs at key Trust sites to support action 8.	Corporate Governance Review	Director of Informatics	Quarter 3
10	Introduction of Board meeting Vlogs to share information / strategic decision making with staff.	Corporate Governance Review	Trust Chair / Director of Corporate Affairs	Quarter 3 (October)
11	Complete 'check and challenge' sessions for Board and SLT members	Board workshop	Director of Corporate Affairs	Quarter 2
12	Arrange Board 'wash-up' with MIH Solutions on well-led follow up	Board workshop	Director of Corporate Affairs	Quarter 3 (Arranged for 2 November, 11.00am-12.30pm)
13	Prepare high level briefing pack on key well-led issues (Key achievements, risks areas of improvement)	Board workshop	Director of Corporate Affairs / Deputy Trust Secretary	Quarter 3 (November)
14	Wider communication with staff prior to formal inspection	Board workshop	SLT	Once PIR has been received from CQC
15	Further review of 'outstanding' organisations and benchmarking of our services	Board workshop	Director of Nursing, Professions and Care Standards / Head of Quality Governance	Quarter 3
16	Review internal and external audit programmes to support CQC planning	Board workshop	Director of Finance (through discussions with Executive Directors and Committee Chairs)	Quarter 3
17	Commission video footage and case studies to support CTW and CTIGG	Board workshop	Head of KPO / Director of Corporate Affairs	Quarters 3 and 4