

## Board of Directors

**25 March 2021**

<b>Paper title:</b>	Care Quality Commission Transitional Monitoring Meeting	<b>Agenda item</b>  <b>15</b>
<b>Presented by:</b>	Phillipa Hubbard, Director of Nursing, Professions and Care Standards	
<b>Prepared by:</b>	Beverley Fearnley, Deputy Director of Patient Safety, Compliance and Risk	

Purpose of the report		
The purpose of this report is to provide an update as to the Transitional Monitoring Meeting which happened on 08 March 2021.	For approval	
	For discussion	
	For information	X

Executive summary		
<p>On 08 March 2021, the CQC local relationship team held a meeting with the Trust Executive Team under the current transitional monitoring arrangements. As this meeting is part of the CQC's ongoing engagement with the Trust under these arrangements and does not form part of their inspection regime, there is no formal outcome of the meeting and there will be no impact on the Trust's rating in any domain.</p> <p>The Trust provided a detailed written response to 69 questions against 13 key lines of enquiry in advance of the meeting. On the day, the Trust Executive Team and the Trust Chair presented a general overview of the Trust and its regulatory journey as well as sharing information on:</p> <ul style="list-style-type: none"> <li>• our strategy and approach, including how this aligned to the CQC's work on <i>Closed Cultures</i>,</li> <li>• leadership within the Trust, and place and beyond,</li> <li>• staff wellbeing and equality,</li> <li>• beyond COVID resetting services and beyond</li> <li>• our governance and assurance processes.</li> </ul>		
Do the recommendations in this paper have any impact upon the requirements of the protected groups identified by the Equality Act?	<b>State below 'Yes' or 'No'</b>	If yes please set out what action has been taken to address this in your paper
	<b>No</b>	

Recommendation
The Board of Directors is asked to: <ul style="list-style-type: none"> <li>Note the summary of the Transitional Monitoring Meeting content and take assurance as to the Trust's continued positive engagement with its regulators</li> </ul>

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

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

<b>Relationship to the Board Assurance Framework (BAF)</b>	The work contained with this report links to the following strategic risk(s) as identified in the BAF: <ul style="list-style-type: none"> <li></li> </ul>
<b>Links to the Corporate Risk Register (CRR)</b>	The work contained with this report links to the following corporate risk(s) as identified in the CRR: <ul style="list-style-type: none"> <li></li> </ul>
<b>Compliance and regulatory implications</b>	The following compliance and regulatory implications have been identified as a result of the work outlined in this report: <ul style="list-style-type: none"> <li>Regulation 12</li> <li>Regulation 17</li> </ul>

## **Board of Directors** **25 March 2021**

### **Care Quality Commission Transitional Monitoring Meeting**

#### **1 Purpose**

The purpose of this report is to provide an update as to the outcome of the CQC Transitional Monitoring Meeting held on 08 March 2021.

#### **2 Background**

During the pandemic the CQC have changed their approach to monitoring services. This new, transitional monitoring approach focuses on safety, how effectively a service is led and how easily people can access the service.

According to guidance published by the CQC it includes:

- a strengthened approach to monitoring, based on specific existing key lines of enquiry (KLOEs), so the CQC can continually monitor risk in a service
- using technology and local relationships to have better direct contact with people who are using services, their families and staff in services
- targeting inspection activity where the CQC have concerns

On 8 March 2021, the CQC local relationship team held a meeting with the Trust Executive Team under the current transitional monitoring arrangements. As this meeting is part of the CQC's ongoing engagement with the Trust under these arrangements and does not form part of their inspection regime, there is no formal outcome of the meeting and there will be no impact on the Trust's rating in any domain. Having said this, the Board should be aware that should the CQC identify any areas of significant concern as an outcome of the meeting, they can, as with any information they receive, use this to trigger inspection activity.

#### **3 Meeting outcome**

On 8 February 2021 the CQC provided the Trust with a list of 67 questions that they wanted to explore during the meeting on 8 March 2021. These questions were aligned to 13 of the possible 21 KLOEs the CQC have available to them to support these meetings, a list of which is provided at Appendix A. In conversations with the local relationship team prior to the meeting the Trust was given to understand that the questions selected reflected areas where the CQC wanted further clarity or assurance from the Trust.

As the questions asked did not, in themselves, reflect a comprehensive picture of the Trust's current position and progress, it was agreed with the CQC local relationship team that a comprehensive response to these questions would be provided in advance

in writing and that the meeting itself would be used by the Trust to provide a broader overview of the Trust's position.

The meeting was attended by the Trust Executive Team and the Chair and its content had been reviewed in advance by Prof. Armitage as Deputy Chair and Chair of the Quality and Safety Committee and Mrs. Panteli as Chair of the Mental Health Legislation Committee and Senior Independent Director, as well as receiving insight from Mr. Lewis, as Chair of the Workforce and Equality Committee.

As well as a general overview of the Trust and its regulatory journey, the presentation covered:

- our strategy and approach, including how this aligned to the CQC's work on *Closed Cultures*,
- leadership within the Trust, and place and beyond,
- staff wellbeing and equality,
- the rest of services (post COVID) and transformation, and
- our governance and assurance processes.

The presentation is attached as Appendix B

Whilst there will be no formal feedback provided to the Trust, the CQC have the opportunity to come back to us with any additional questions.

#### **4. Recommendations**

The Board of Directors is asked to:

- Note the summary of the Transitional Monitoring Meeting content and take assurance as to the Trust's continued positive engagement with its regulators.

**Beverley Fearnley, Deputy Director of Patient Safety, Compliance and Risk**  
**08 March 2021**

## Appendix A: CQC Key Lines of Enquiry for use in Transitional Monitoring

*Those in bold are KLOES explored by the CQC in the questions submitted*

- **S1: How do systems, processes and practices keep people safe and safeguarded from abuse?**
- **S2: How are risks to people assessed, and their safety monitored and managed, so they are supported to stay safe?**
- S3: Do staff have all the information they need to deliver safe care and treatment to people?
- S4: How does the provider ensure the proper and safe use of medicines, where the service is responsible?
- **S5: What is the track record on safety?**
- E1: Are people's needs assessed and care and treatment delivered in line with current legislation, standards and evidence-based guidance to achieve effective outcomes?
- E2: How are people's care and treatment outcomes monitored and how do they compare with other similar services?
- E3: How does the service make sure that staff have the skills, knowledge and experience to deliver effective care, support and treatment?
- **E4: How well do staff, teams and services work together within and across organisations to deliver effective care and treatment?**
- E6: Is consent to care and treatment always sought in line with legislation and guidance?
- **C1: How does the service ensure that people are treated with kindness, respect and compassion, and that they are given emotional support when needed?**
- C2: How does the service support people to express their views and be actively involved in making decisions about their care, support and treatment as far as possible?
- R1: How do people receive personalised care that is responsive to their needs?
- **R2: Do services take account of the particular needs and choices of different people?**
- **R3: Can people access care and treatment in a timely way?**
- **W1: Is there leadership capacity and capability to deliver high-quality, sustainable care?**
- **W3: Is there a culture of high-quality, sustainable care?**
- **W4: Are there clear responsibilities, roles and systems of accountability to support good governance and management?**
- **W5: Are there clear and effective processes for managing risks, issues and performance?**
- **W7: Are the people who use services, the public, staff and external partners engaged and involved to support high-quality sustainable services?**
- **W8: Are there robust systems and processes for learning, continuous improvement, and innovation?**

## Appendix B: Transitional Monitoring Meeting Presentation



TMA presentation -  
Final.pdf