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| <b>Meeting:</b>                                                                                                | Quality Improvement Board                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |                                                                                                                                                           |                                                                   |                                         |                               |
| <b>Meeting Date:</b>                                                                                           | 12 April 2022                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              | <b>Agenda item:</b>                                                                                                                                       | 7                                                                 |                                         |                               |
| <b>Report Title:</b>                                                                                           | Compliance Plan Update                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     |                                                                                                                                                           |                                                                   |                                         |                               |
| <b>Author:</b>                                                                                                 | Louise Notley; Director of Patient Safety                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |                                                                                                                                                           |                                                                   |                                         |                               |
| <b>Executive Sponsor:</b>                                                                                      | Caroline Shaw: Chief Executive Officer                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     |                                                                                                                                                           |                                                                   |                                         |                               |
| <b>Implications</b>                                                                                            |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            |                                                                                                                                                           |                                                                   |                                         |                               |
| <b>Link to key strategic objectives</b><br><i>[highlight which KSO(s) this recommendation aims to support]</i> |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            |                                                                                                                                                           |                                                                   |                                         |                               |
| <b>KSO1</b>                                                                                                    | <b>KSO2</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                | <b>KSO3</b>                                                                                                                                               | <b>KSO4</b>                                                       | <b>KSO5</b>                             | <b>KSO6</b>                   |
| <i>Safe and compassionate care</i>                                                                             | <i>Modernise hospital and estate</i>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       | <i>Staff engagement</i>                                                                                                                                   | <i>Partnership working, clinical and financial sustainability</i> | <i>Healthy lives staff and patients</i> | <i>Investing in our staff</i> |
| <b>Board assurance framework</b>                                                                               | KSO1 KSO2 KSO3<br>KSO4 KSO5 KSO6                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           |                                                                                                                                                           |                                                                   |                                         |                               |
| <b>Significant risk register</b>                                                                               | 2592, 2643, 2244, 2915, 2199, 2757, 392, 2989, 2849, 2853                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |                                                                                                                                                           |                                                                   |                                         |                               |
|                                                                                                                | Y/N                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        | If Yes state impact/ implications and mitigation                                                                                                          |                                                                   |                                         |                               |
| <b>Quality</b>                                                                                                 | Y                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          | Risks in relation to the quality of care that patients receive, as well as the quality of patient experience, are aligned to KSO 1.                       |                                                                   |                                         |                               |
| <b>Legal and regulatory</b>                                                                                    | Y                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          | Risks in relation to potential legal and regulatory action faced by the Trust (particularly in relation to CQC enforcement notices) are aligned to KSO 1. |                                                                   |                                         |                               |
| <b>Financial</b>                                                                                               | N                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          | None identified                                                                                                                                           |                                                                   |                                         |                               |
| <b>Assurance route</b>                                                                                         |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            |                                                                                                                                                           |                                                                   |                                         |                               |
| <b>Previously considered by:</b>                                                                               | None                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       |                                                                                                                                                           |                                                                   |                                         |                               |
| <b>Executive summary</b>                                                                                       |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            |                                                                                                                                                           |                                                                   |                                         |                               |
| <b>Action required:</b><br><i>[highlight one only]</i>                                                         | Approval                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   | Information                                                                                                                                               | <b>Discussion</b>                                                 | Assurance                               | Review                        |
| <b>Purpose of the report:</b>                                                                                  | The purpose of this report is to inform the Quality Improvement Board of: <ul style="list-style-type: none"> <li>The overall progress against the 35 actions within the Trust's 2022/23 Compliance Plan (CP) following publication of the Trust's February 2022 CQC inspection report</li> </ul>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           |                                                                                                                                                           |                                                                   |                                         |                               |
| <b>Summary of Key issues:</b>                                                                                  | <p>Following publication of the CQC Inspection findings, this report details the progress against the actions during March 2022 as the Trust transitioned from its 2021/22 IQIP to the new 2022/23 Compliance Plan.</p> <p>Prior to the transition into the 2022/23 Compliance Plan, the 2021/22 IQIP had closed 57 (69%) of its actions which demonstrates sustained progress.</p> <p>The Compliance Plan includes all the Open Must and should Do actions from the 2021/22 IQIP and the 13 new Must and Should Do actions from the latest CQC report. All 35 actions within the 2022/23 CP have deadlines built into the Forward Plan and include a RAG status and narrative update by exception.</p> <p>The Trust was required to submit its plan to address the CQC's findings within 3 weeks of publication of the CQC Inspection Report. Therefore the review and approval by both the Executive Team and all members of the Quality Forum (now Quality Improvement Board) has been completed outside the standard reporting timetable, but still in line with the Trust's governance arrangements. The Board of Directors formally approved the Compliance Plan</p> |                                                                                                                                                           |                                                                   |                                         |                               |

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|                        | <p>at their Public meeting on 05 April 2022.</p> <p>In March, 2 actions were submitted and approved for closure to the Evidence Assurance Group (EAG) relating to culture and engagement.</p> <p>The report notes the emerging risk as a result of the sustained increase in operational pressures and its potential impact on the progress of this improvement work. In addition unrelenting operational pressures as a result of the COVID-19 pandemic across the N&amp;W system and the National Level 4 incident being declared in December.</p> |
| <b>Recommendations</b> | <p><b>The Quality Improvement Board is asked to note:</b></p> <ul style="list-style-type: none"> <li>a) The transition from 2021/22 IQIP to the 2022/23 Compliance Plan</li> <li>b) The 2021/22 IQIP closure position for Month 12</li> <li>c) The current 2022/23 Compliance Plan position as at Month 0</li> <li>d) The potential impact of the significant operational pressures on action progress</li> </ul>                                                                                                                                    |
| <b>Acronyms</b>        | <p>KSO – Key Strategic Objective<br/> CQC – Care Quality Commission<br/> EAG – Evidence Assurance Group<br/> IQIP – Integrated Quality Improvement Plan<br/> CP – Compliance Plan</p>                                                                                                                                                                                                                                                                                                                                                                |