

TRUST BOARD
28 July 2016

AGENDA NUMBER	ITEM	8.1
TITLE OF PAPER	Monitor/NHSI Q1 2016/17 submission	
Confidential	NO	
Suitable for public access	YES	
PLEASE DETAIL BELOW THE OTHER SUB-COMMITTEE(S), MEETINGS THIS PAPER HAS BEEN VIEWED		
The Financial Management Committee scrutinises the financial reports on a monthly basis with minutes of the meeting presented in the open Board meeting. The operational performance report is presented in the open Board meetings and regularly scrutinised.		
<u>STRATEGIC OBJECTIVE(S):</u>		
Best outcomes	<input checked="" type="checkbox"/>	
Excellent experience	<input checked="" type="checkbox"/>	
Skilled & motivated teams	<input checked="" type="checkbox"/>	
Top productivity	<input checked="" type="checkbox"/>	
EXECUTIVE SUMMARY		
<p>In accordance with Monitor's Risk Assessment Framework 2014/15, the Trust is required to make a quarterly submission to Monitor/NHSI on the Trust's performance in both financial, quality and operational terms. This includes performance against various national targets and indicators.</p> <p>The Q1 Compliance Return to Monitor/NHSI by 29 July requires the Trust to declare risks against the governance and Financial Sustainability Risk rating. This paper details recommendations of risks to be made to Monitor/NHSI as at Q1.</p>		
RECOMMENDATION:	Review and agree the declarations	
SPECIFIC ISSUES CHECKLIST:.		
Quality and safety	Yes	
Patient impact	Yes	
Employee	Yes	
Other stakeholder		

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Equality & diversity	
Finance	Yes
Legal	Insufficient or inaccurate declaration of future risk to Monitor/NHSI can impact the Trust's regulatory ratings and potentially our Licence
Link to Board Assurance Framework Principle Risk	
AUTHOR NAME/ROLE	Paul Doyle, Deputy Finance Director Julian Ruse, Associate Director of Performance Liz Davies, Acting Company Secretary
PRESENTED BY DIRECTOR NAME/ROLE	Lorraine Knight, Chief Operating Officer Simon Marshall, Director of Finance & Information
DATE	21 July 2016
BOARD ACTION	Approve

NHS Improvement Q1 2016/17 submission

1 Introduction

The Trust is required to submit the Quarter 1 Compliance Return to Monitor/NSHI by 29th July. The Q1 return requires the Trust to declare risks against the governance and Financial Sustainability Risk rating. This paper details recommendations of risks to be made to Monitor/NHSI as at Q1.

2 Governance declaration

Background

The Governance declaration relates to the performance against national targets and indicators with the Board needing to certify that it:

“is satisfied that plans in place are sufficient to ensure on-going compliance with all existing targets (after the application of thresholds) as set out in Appendix A of the Risk Assessment Framework; and a commitment to comply with all known targets going forwards”.

3 Performance against national targets and indicators

In Q1 2016/17 the Trust has not achieved the:

- A&E four hour standard which stands at 90.56%.

The table below shows the monthly and quarterly breakdown of our A&E performance over the previous year.

Period	% Patients admitted / transferred / discharged < 4hours (SPH, EPU, GUM & ASH)
Quarter 1 2016/17	90.56%
Jun-16	92.02%
May-16	91.95%
Apr-16	87.60%
Quarter 4 2015/16	85.35%
Mar-16	82.81%
Feb-16	85.68%
Jan-16	88.08%
Quarter 3 2015/16	90.41%
Dec-15	86.82%
Nov-15	92.95%
Oct-15	91.40%
Quarter 2 2015/16	92.19%
Sep-15	91.65%
Aug-15	91.65%
Jul-15	93.21%

For Q1, the Trust is reporting provisional compliance on 6 of 7 cancer standards.

The non-compliant standard is;

- 62 Day Wait for First Treatment recorded at 82.1%

The Trust remained compliant during Q1 for the aggregate Incomplete Pathways standard at 94.1%.

Trust Aggregate Performance:

Period	RTT Incomplete (Target 92%)
Quarter 1 2016/17	<input checked="" type="checkbox"/>
Jun-16	93.9%
May-16	94.3%
Apr-16	94.0%
Quarter 4 2015/16	<input checked="" type="checkbox"/>
Mar-16	93.9%
Feb-16	95.0%
Jan-16	94.9%
Quarter 3 2015/16	<input checked="" type="checkbox"/>
Dec-15	95.2%
Nov-15	96.1%
Oct-15	96.1%
Quarter 2 2015/16	<input checked="" type="checkbox"/>
Sep-15	96.4%
Aug-15	96.0%
Jul-15	96.0%

4 Governance Risk Rating

Following our recent meeting with NHSI they recommended the Trust be awarded a green governance rating. The NHS Improvement's Foundation Trust Ratings on their website is yet to be updated and shows the trust "under review". It has been confirmed by NHSI that following agreement of the recommendation by the Regional Director their website will be updated.

5 Recommended declarations

A&E waiting time target

The Trust did not meet the 4 hour A&E standard for Q1 2016/17 with performance recorded at **90.56%**. This was a 5.2% increase over the 85.35% recorded during Q4 (and at end June was 3.3% above the agreed recovery trajectory of 88.7%).

- Apr 87.60%
- May 91.95%
- Jun 92.02%

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Detail on performance against this standard and the proposed actions to improve are included within the Performance Report. We have an agreed recovery trajectory with our CCG to regain compliance from October 2016; which is also in accordance with the tripartite direction on this year's plan.

Due to the continuing pressures on the Trust's ability to deliver the required A&E performance, the Trust is declaring a risk of failing to achieve the waiting time target for Q2.

Referral to Treatment Time - Incomplete target

The Trust continues to meet this target (92%) with compliant performance against the target in Q1:

- Apr 93.8%
- May 94.3%
- Jun 93.9%

The Trust carried a risk of non-compliance of the RTT aggregate Incomplete Pathway performance during Q1 due to the exceptional loss of elective capacity during March (although also pre-affected due to winter pressures during Dec to Feb). The Trust's backlog did not increase as much as the original trajectory modelling due to significant additional efforts by specialties in reducing their outpatient backlog.

The Trust has scheduled additional elective activity during Q1 & Q2 to regain sustainable compliance at specialty level.

As the Trust has continued to achieve compliance in Q1 16/17 it is therefore recommended no declaration of risk is made against this target for Q2.

62 Day Cancer GP Referral to First Definitive Treatment

Q1 performance is provisionally recorded at 28 breaches with 156.5 treatments, non-compliant at 82.1%.

Full breach allocation has been apportioned across the main theme(s) of delay within the table below for Q1 where it can be seen the main reasons for delay have been through complex pathways, capacity, patient choice (and wellbeing) and delays at tertiary centres.

Q1 [156.5 Treatments]	Patient Choice	Patient Fitness	Complex Pathway	Capacity	Histology	Admin/Imaging	Tertiary	Total
Colorectal	1	0	2	0	0	0	0	3
Gynaecology	0	0.1	0.9	0	0	0	0	1
Haematology	0	0	1	0	0	0	0	1
Head & Neck	0	0	0.5	0.5	0	0	0	1
Lung	0	0	4.5	0.5	0	0	0	5
Sarcoma	0	0	0	0	0	0	0	0
Skin	0	0	0	4	0	0	0	4
Upper GI	0.5	0.25	0.25	0	0	0	0	1
Urology	2.35	0.5	1.25	3.8	0.5	1.25	2.35	12
Total [28 Breaches]	3.85	0.85	10.4	8.8	0.5	1.25	2.35	28
% Breach Total	14%	3%	37%	31%	2%	4%	8%	100%

The Trust continues to deliver its Cancer Improvement Action Plan which aims to address the recent issues regarding cancer performance and provide sustainable 62 day pathway performance although have requested support from the NHSI Intensive Support Team to further augment the improvement activity and enable sustainable performance delivery. The NHSI IST team are currently scheduled to visit the Trust during July 2016.

As the Trust is reporting non-compliance albeit marginal it is recommended that a risk is declared against this target for Q2.

The Trust achieved the remaining Cancer Standard targets with the following performance;

NHSI - Q1 PERFORMANCE				
Domain	Standard		Monthly Sparkline	Q1 16/17
CANCER	Cancer: two week wait from referral to date first seen	All urgent referrals		95.1% ✓
		Symptomatic breast patients		95.4% ✓
CANCER	All cancers: 31-day wait from diagnosis to first treatment			98.2% ✓
CANCER	All cancers: 31-day wait for second or subsequent treatment	Surgery		100% ✓
		Drug Treatment		100% ✓
		Radiotherapy	n/a	n/a
CANCER	All cancers: 62-day wait for first treatment	NHS Cancer Screening Service referral		100% ✓

As the Trust has continued to achieve compliance during Q1 16/17 it is therefore recommended no declaration of risk is made against these targets.

C-Difficile

The Trust has a C-Difficile threshold of 17 set for 2016/17. There were 0 cases in April, 1 in May and 0 in June, with YTD of 1 case. As such it is recommended that **no risk is declared to breaching the target in Q2.**

6 Finance Declaration

The Financial Management Committee reviewed the financial aspects of the NHS Improvement (NHSI) Compliance Return for Quarter 1 2016/17 at its meeting held on 21 July 2016.

Financial Returns for Quarter 1

The financial submission to NHSI comprises the Statement of Comprehensive Income, Statement of Financial Position and Cashflow Statement as at 30 June 2016, which drive the Financial Sustainability Risk Rating (FSRR) for the quarter (year to date).

The relevant output for the FSRR is recorded as a FSRR of 4 as at 30 June 2016 against a planned NHSI FSRR of 4.

Capital Expenditure Declaration

The Trust's capital spend at quarter 1 was outside of Monitor's reforecast trigger of 15% - a total of £1.0m was spent which was 62% of plan. Spend has been slow in the first quarter but at the present time the Trust is forecasting that it will be over-committed on the capital programme for the full year and is looking for plan slippage and underspends to cover that over-commitment. On that basis the Trust Board can sign off the capital declaration.

FSRR

In summary the Trust has achieved a Financial Sustainability Risk Rating (FSRR) of 4 at quarter 1 against a planned NHSI FSRR of 4.

Based on the budget approved by the Trust Board for 2016/17, and the Q1 results, the Trust is forecasting that it will continue to maintain an FSRR of at least 3 over the remainder of 2016/17 although a number of significant risks remain. In respect of the first quarter of 2017/18 (the last quarter of the 12 month period) there obviously is uncertainty as budgets are as yet unknown. However, assuming like for like conditions, it is expected that an FSRR of at least 3 could be delivered for that quarter.

7 Recommendation

The Board is asked to review and approve a Finance and Governance Declaration of 3 ('confirmed') for the quarter (year to date). As part of this Governance declaration, risks are being declared against:

- *A&E waiting time target,*
- *62 day wait for first treatment (Urgent GP referral for suspected cancer)*