

SELF-CERTIFICATION RETURNS
Organisation Name:
The Shrewsbury and Telford Hospital NHS Trust
Monitoring Period:
April 2012
NHS Midlands & East Provider Management Regime 2012/13

**Returns to
provider.development@westmidlands.nhs.uk by
the last working day of each month**

NHS Trust Governance Declarations : 2012/13 In-Year Reporting

Name of Organisation:	The Shrewsbury and Telford Hospital NHS Trust	Period:	April 2012
------------------------------	--	----------------	-------------------

Organisational risk rating

Each organisation is required to calculate their risk score and RAG rate their current performance as per the 2011/12 Provider Management Regime, in addition to providing comment with regard to any contractual issues and compliance with CQC essential standards:

Key Area for rating / comment by Provider	Score / RAG rating*
Governance Risk Rating (RAG as per NHS Midlands and East PMR guidance)	A
Financial Risk Rating (Assign number as per NHS Midlands and East PMR guidance)	R
Contractual Position (RAG as per NHS Midlands and East PMR guidance)	G

* Please type in R, A or G

Governance Declarations

NHS Midlands and East organisations, subject to the Provider Management Regime, must ensure that plans in place are sufficient to ensure compliance in relation to all national targets and including ongoing compliance with the Code of Practice for the Prevention and Control of Healthcare Associated Infections, CQC Essential standards and declare any contractual issues.

Supporting detail is required where compliance cannot be confirmed.

Please complete sign **one** of the two declarations below. If you sign declaration 2, provide supporting detail using the form below. Signature may be either hand written or electronic, you are required to print your name.

Governance declaration 1			
The Board is satisfied that plans in place are sufficient to ensure continuing compliance with all existing targets (after the application of thresholds), and with all known targets going forward. The board is satisfied that plans in place are sufficient to ensure ongoing compliance with the Code of Practice for the Prevention and Control of Healthcare Associated Infections (including the Hygiene Code) and CQC Essential standards. The board also confirms that there are no material contractual disputes.			
Signed by:	John Davies	Print Name:	
on behalf of the Trust Board	Acting in capacity as:	Chairman	
Signed by:	Adam Cairns	Print Name:	
on behalf of the Trust Board	Acting in capacity as:	Chief Executive	

Governance declaration 2			
For one or some of the following declarations Governance, Finance, Service Provision, Quality and Safety, CQC essential standards or the Code of Practice for the Prevention and Control of Healthcare Associated Infections the Board cannot make Declaration 1 and has provided relevant details below.			
The board is suggesting that at the current time there is insufficient assurance available to ensure continuing compliance with all existing targets (after the application of thresholds) and/or that it may have material contractual disputes.			
Signed by :		Print Name :	
on behalf of the Trust Board	Acting in capacity as:		
Signed by :		Print Name :	
on behalf of the Trust Board	Acting in capacity as:		

If Declaration 2 has been signed:

Please identify which targets have led to the Board being unable to sign declaration 1. For each area such as Governance, Finance, Contractual, CQC Essential Standards, where the board is declaring insufficient assurance please state the reason for being unable to sign the declaration, and explain briefly what steps are being taken to resolve the issue. Please provide an appropriate level of detail.

Target/Standard:	
The Issue :	
Action :	
Target/Standard:	
The Issue :	
Action :	

FINANCIAL RISK RATING 2012/13

The Shrewsbury and Telford Hospital NHS Trust

Risk Ratings

Insert the Score (1-5) Achieved for each Criteria Per Month

Criteria	Indicator	Weight	Risk Ratings					Annual Plan 2011/12	Insert the Score (1-5) Achieved for each Criteria Per Month												Comments on Performance in Month																							
			5	4	3	2	1		Apr-12	May-12																																		
Underlying performance	EBITDA margin %	25%	11	9	5	1	<1	3	1																																			
Achievement of plan	EBITDA achieved %	10%	100	85	70	50	<50	5	1																																			
Financial efficiency	Return on assets %	20%	6	5	3	-2	<-2	3	2																																			
	I&E surplus margin %	20%	3	2	1	-2	<-2	2	1																																			
Liquidity	Liquid ratio days	25%	60	25	15	10	<10	2	2																																			
Average	Weighted Average	100%						2.8	1.5	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	
Overriding rules	Overriding rules																																											
Overall rating	Final Overall rating							2.8	1.5	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0

Overriding Rules :

Max Rating	Rule
3	Plan not submitted on time
3	Plan not submitted complete and correct
2	PDC dividend not paid in full
2	One Financial Criterion at "1"
3	One Financial Criterion at "2"
1	Two Financial Criteria at "1"
2	Two Financial Criteria at "2"

Insert "Yes" / "No" Assessment for the Month

Criteria	Apr-12	May-12											Comments on Performance in Month
1 Unplanned decrease in EBITDA margin in two consecutive quarters	No												
2 Quarterly self-certification by trust that the financial risk rating (FRR) may be less than 3 in the next 12 months	No												
3 FRR 2 for any one quarter	Yes												
4 Working capital facility (WCF) agreement includes default clause	n/a												
5 Debtors > 90 days past due account for more than 5% of total debtor balances	No												
6 Creditors > 90 days past due account for more than 5% of total creditor balances	Yes												
7 Two or more changes in Finance Director in a twelve month period	No												
8 Interim Finance Director in place over more than one quarter end	No												
9 Quarter end cash balance <10 days of operating expenses	Yes												
10 Capital expenditure < 75% of plan for the year to date	No												
TOTAL	3	0	0	0	0	0	0	0	0	0	0	0	

NB Scoring: An answer of "YES" = 1.0

RAG RATING :

GREEN = Score between 0 and 1

AMBER = Score between 2 and 4

RED = Score over 5

QUALITY

The Shrewsbury and Telford Hospital NHS Trust

Insert Performance in Month

Criteria		Unit	Apr-12	May-12											Comments on Performance in Month
1	SHMI - latest data	Ratio	105.0												April number relates to September 2011 performance as this is the most recent published data. SHMR & Crude Death rates have both shown significant decrease in last 12
2	Venous Thromboembolism (VTE) Screening	%	91.89%												Achieving Target (90%)
3a	Elective MRSA Screening	%	90.16%												
3b	Non Elective MRSA Screening	%	97.08												
4	Single Sex Accommodation Breaches	Number	0												
5	Open Serious Incidents Requiring Investigation (SIRI)	Number	96												Information provided by the Patient Safety Team Manager - <u>Relates to all SIs, 37 new SIs reported in April, 59 awaiting</u>
6	"Never Events" in month	Number	2												2 Ophthalmology never events currently being investigated for April
7	CQC Conditions or Warning Notices	Number	No												
8	Open Central Alert System (CAS) Alerts	Number	11												11 open CAS issues on the SaTH system, 3 past completion deadline. Number accessed from the CAS report on the
9	RED rated areas on your maternity dashboard?	Number	No												
10	Falls resulting in severe injury or death	Number	3												3 RIDDOR reportable falls for April
11	Grade 3 or 4 pressure ulcers	Number	3												2 Grade 3 and 1 Grade 4 Trust acquired Pressure Ulcers were reported during April 2012
12	100% compliance with WHO surgical checklist	Y/N	99.6												Confirmed by Clinical Governance Manager, based upon March ongoing audit programme (April not yet available) (256 of 257 patients audited met requirements)
13	Formal complaints received	Number	47												
14	Agency and bank spend as a % of turnover	%	6.61%												
15	Sickness absence rate	%	4.60%												April number relates to December performance as this is the most recent data available.

Board Statements

For each statement, the Board is asked to confirm the following:

For CLINICAL QUALITY, that:		Response	
1	The Board is satisfied that, to the best of its knowledge and using its own processes and having had regard to the SHA's Provider Management Regime (supported by Care Quality Commission information, its own information on serious incidents, patterns of complaints, and including any further metrics it chooses to adopt), its NHS trust has, and will keep in place, effective arrangements for the purpose of monitoring and continually improving the quality of healthcare provided to its patients.	✓	
If the Trust Board is unable to make the above statement, the Board must:			
2	Be satisfied that, to the best of its knowledge and using its own processes (supported by CQC information and including any further metrics it chooses to adopt), its Trust has, and will keep in place, effective arrangements for the purpose of monitoring and continually improving the quality of healthcare provided to its patients.		
3	Be satisfied that, to the best of its knowledge and using its own processes, plans in place are sufficient to ensure ongoing compliance with the CQC's registration requirements		
4	Certify it is satisfied that processes and procedures are in place to ensure that all medical practitioners providing care on behalf of the NHS foundation trust have met the relevant registration and revalidation requirements.		
5	Be satisfied that the Trust is embedding patient experience into the service design, improvement and delivery cycle.		
For SERVICE PERFORMANCE, that:		Response	
6	The board is satisfied that plans in place are sufficient to ensure ongoing compliance with all existing targets (after the application of thresholds), and compliance with all targets due to come into effect during 2011/12.	✓	
For RISK MANAGEMENT PROCESSES, that:		Response	
7	Issues and concerns raised by external audit and external assessment groups (including reports for NHS Litigation Authority assessments) have been addressed and resolved. Where any issues or concerns are outstanding, the board is confident that there are appropriate action plans in place to address the issues in a timely manner	✓	
8	All recommendations to the board from the audit committee are implemented in a timely and robust manner and to the satisfaction of the body concerned	✓	
9	The necessary planning, performance management and risk management processes are in place to deliver the annual plan	✓	
10	A Statement of Internal Control ("SIC") is in place, and the trust is compliant with the risk management and assurance framework requirements that support the SIC pursuant to the most up to date guidance from HM Treasury (see http://www.hm-treasury.gov.uk)	✓	
11	The trust has achieved a minimum of Level 2 performance against the key requirements of the Department of Health's Information Governance Toolkit	✓	
For COMPLIANCE WITH THE NHS CONSTITUTION, that:		Response	
12	The Board is assured that the trust will, at all times, have regard to the NHS constitution	✓	
For BOARD, ROLES, STRUCTURES AND CAPACITY, that:		Response	
13	The Board maintains its register of interests, and can specifically confirm that there are no material conflicts of interest in the Board	✓	
14	The Board is satisfied that all directors are appropriately qualified to discharge their functions effectively, including setting strategy, monitoring and managing performance, and ensuring management capacity and capability	✓	
15	The selection process and training programmes in place ensure that the non-executive directors have appropriate experience and skills	✓	
16	The management team have the capability and experience necessary to deliver the annual plan	✓	
17	The management structure in place is adequate to deliver the annual plan objectives for the next three years.	✓	
Signed on behalf of the Trust:		Print name	Date
CEO		Adam Cairns	31/05/2012
Chair		John Davies	31/05/2012

NHS Midlands and East Provider Management Regime

Ref	Area	Details
Thresh-olds		The SHA will not utilise a general rounding principle when considering compliance with these targets and standards. e.g. a performance of 94.5% will be considered as failing to achieve a 95% target. However, exceptional cases may be considered on an individual basis, taking into account issues such as low activity or thresholds that have little or no tolerance against the target, e.g. those set between 99-100%.
1	C.Diff	Performance against contract with main commissioner
2	MRSA	MRSA objective: those trusts which are not in the best performing quartile for MRSA should deliver performance that is at least in line with the MRSA objective target figures calculated for them by DH. The SHA expects those NHS trusts without a centrally calculated MRSA objective to agree an MRSA target for 2011/12 that at least maintains existing performance. Where a trust has an annual MRSA objective of six cases or fewer and has reported six cases or fewer in the year to date, the MRSA objective will not apply for the purposes of the SHA's Provider Management Regime If a trust with an annual objective of six cases or fewer declares a risk of exceeding the de minimis level and its annual MRSA objective in-year, but has not yet done so, it will be required to [provide, and then] report monthly against, an MRSA action plan until the risk has been satisfactorily addressed.
3	Cancer: 31 day wait	31-day wait: measured from cancer treatment period start date to treatment start date. Failure against any threshold represents a failure against the overall target. The target will not apply to trusts having five cases or less in a quarter.
4	Cancer: 62 day wait	62-day wait: measured from day of receipt of referral to treatment start date. This includes referrals from screening service and other consultants, including consultant upgrades. Failure against either threshold represents a failure against the overall target. The target will not apply to trusts having five cases or less in a quarter. For patients referred from one provider to another, breaches of this target are automatically shared and treated on a 50:50 basis. These breaches may be reallocated in full back to the referring organisation(s) provided there is written agreement to do so between the relevant providers (signed by both Chief Executives) in place at the time the trust makes its monthly declaration to the SHA.
5a&b	RTT	While performance is measured on an aggregate basis, NHS trusts are required to meet the threshold on a monthly basis – consequently failure in any month represents failure for the quarter and should be reported via the exception reporting process.
6	Cancer	Measured from decision to treat to first definitive treatment. The target will not apply to trusts having five cases or fewer in a quarter.
7	Cancer	Measured from day of receipt of referral – existing standard (includes referrals from general dental practitioners and any primary care professional). Failure against either threshold represents a failure against the overall target. The target will not apply to trusts having five cases or fewer in a quarter. Specific guidance and documentation concerning cancer waiting targets can be found at: http://www.connectingforhealth.nhs.uk/inhais/cancerwaiting/documentation
8a	A&E (Q1)	In Quarter one - 95th percentile waits for 4 hours or less to be used
8b	A&E (Q2)	From Quarter two: - 95th percentile waits for 4 hours or less to be used - Time to initial assessment: for ambulance arrivals. Initial assessment to include a pain score and early warning score. - Time to treatment decision: time from arrival to see a decision-making clinician (defining management plan and may potentially discharge the patient) - Unplanned readmission rate: within 7 days of original attendance. Includes patients referred back by another health professional. The SHA will not score this for coeliac/diabetic specialist NHS trusts. - Left without being seen The SHA will keep these measures under review during 2011/12 and may change its implementation in line with national policy.
9	Stroke	The SHA will consider its introduction during 2011/12 following publication of DH's technical guidance.
10	Mental Health: CPA	7-day follow up: Numerator: The number of people under adult mental illness specialities on Care Programme Approach who were followed up (either by face-to-face contact or by phone discussion) within seven days of discharge from psychiatric inpatient care. Denominator: The total number of people under adult mental illness specialities on Care Programme Approach who were discharged from psychiatric inpatient care during the reporting period. Contact can include face-to-face or telephone contact. Guidance on what should and should not be counted when calculating the achievement of this target can be found on Unih2. For 12 month review (from Mental Health Minimum Data Set): Numerator: The number of adults in the denominator who have had at least one formal review in the last 12 months. Date last seen by care coordinator will be used as a cross for formal Care Programme Approach review during 2011/12. Denominator: The total number of adults who have received secondary mental health services and who were on the Care Programme Approach at any point during the reporting period. For full details of the changes to the Care Programme Approach process, please see the implementation guidance, Refocusing the Care Programme Approach on the Department of Health's website. All patients discharged to their place of residence, care home, residential accommodation, or to non-psychiatric care must be followed up within seven days of discharge. Where a patient has been transferred to prison, contact should be made via the prison in-reach team. Exemptions from both the numerator and the denominator of the indicator include: - patients who die within seven days of discharge; - where local precedence has forced the removal of a patient from the country; or - patients discharged to another NHS psychiatric inpatient ward.
11	Mental Health: DTOC	Numerator: The number of non-acute patients (aged 18 and over) whose transfer of care was delayed averaged over the quarter. Denominator: Number of non-acute patients (aged 18 and over) admitted to the trust, summed across the quarter. Delayed transfers of care attributable to social care are excluded.
12	Mental Health: IP and CRHT	This indicator applies only to admissions to the NHS trust's mental health psychiatric inpatient care. The following cases can be excluded: - admissions to psychiatric intensive care units; - internal transfers of service users between wards in a trust and transfers from other trusts; - patients recalled on Community Treatment Orders; or - patients on leave under Section 17 of the Mental Health Act 1983. An admission has been gate-kept by a crisis resolution team if they have assessed the service user before admission and if they were involved in the decision-making process, which resulted in admission. For full details of the features of gate-keeping, please see Guidance Statement on Fidelity and Best Practice for Crisis Services on the Department of Health's website. As set out in Guidance Statement on Fidelity and Best Practice for Crisis Services the crisis resolution home treatment team should: a) provide a mobile 24-hour, seven day a week response to requests for assessments; b) be actively involved in all requests for admission; for the avoidance of doubt, 'actively involved' requires face to face contact unless it can be demonstrated that face-to-face contact was not appropriate or possible. For each case where face-to-face contact is deemed inappropriate, a declaration that the face-to-face contact was not the most appropriate action from a clinical perspective will be required; c) be notified of all pending Mental Health Act assessments; d) be assessing all these cases before admission happens; and e) be central to the decision making process in conjunction with the rest of the multidisciplinary team
13	Mental Health	Monthly performance against commissioner contract. Threshold represents a minimum level of performance against contract performance, rounded down
14	Mental Health: MDS	Patient identity data completeness metrics (from Mental Health Minimum Data Set) to consist of: - NHS number; - Date of birth; - Postcode (normal residence); - Current gender; - Registered General Medical; - Practice organisation code; and - Commissioner organisation code. Numerator: count of valid entries for each data item above. NB For details of how data items are classified as VALID please visit the data quality constructions available on the Information Centre's website: www.nhs.uk/informationcentre/mhmds Denominator: total number of entries.
15	Mental Health: CPA	Outcomes for patients on Care Programme Approach: - Employment status. Numerator: The number of adults in the denominator in paid employment (i.e. those recorded as 'employed') at the time of their most recent assessment, formal review or other multi-disciplinary care planning meeting, in a financial year. Include only those whose assessments or reviews were carried out during the reference period. The reference period is the last 12 months working back from the end of the reported quarter. Denominator: The total number of adults (aged 18-69) who have received secondary mental health services and who were on the Care Programme Approach at any point during the reported quarter. - in settled accommodation. Numerator: The number of adults in the denominator who were in settled accommodation at the time of their most recent assessment, formal review or other multi-disciplinary care planning meeting. Include only those whose assessments or reviews were carried out during the reference period. The reference period is the last 12 months working back from the end of the reported quarter. Denominator: The total number of adults (aged 18-69) who have received secondary mental health services and who were on the Care Programme Approach at any point during the reported quarter. - Having an HoNOS assessment in the past 12 months. Numerator: The number of adults in the denominator who have had at least one HoNOS assessment in the past 12 months. NOTE: When implemented M&MDS v4 will allow services to report all HoNOS variants, including those for young people and people in secure services. Until this time trusts should report standard HoNOS (inclusive of all axes and warr types). Denominator: The total number of adults who have received secondary mental health services and who were on the Care Programme Approach during the reference period.
16a	Ambulance Cat A	Life threatening
17	Learning Disabilities: Access to healthcare	Meeting the six criteria for meeting the needs of people with a learning disability, based on recommendations set out in Healthcare for All (2008): a) Does the NHS trust have a mechanism in place to identify and flag patients with learning disabilities and protocols that ensure that pathways of care are reasonably adjusted to meet the health needs of these patients? b) Does the NHS trust provide readily available and comprehensible information to patients with learning disabilities about the following criteria: - treatment options; - complaints procedures; and - appointments. c) Does the NHS trust have protocols in place to provide suitable support for family carers who support patients with learning disabilities? d) Does the NHS trust have protocols in place to routinely include training on providing healthcare to patients with learning disabilities for all staff? e) Does the NHS trust have protocols in place to encourage representation of people with learning disabilities and their family carers? f) Does the NHS trust have protocols in place to regularly audit its practices for patients with learning disabilities and to demonstrate the findings in routine public reports? Note: Boards are required to certify that their trusts meet requirements a to f above at the annual plan and in each quarter. Failure to do so will result in the application of the service performance score for this indicator.
18	DTCs	Performance against contract with main commissioner
19	GUM Access	Access to GUM within 48hours against a target of 95% compliance.
20	Chlamydia Screening	Performance against contract with main commissioner
21	Smoking Quitters	Performance against contract with main commissioner
22	6 Wk Wait Diagnostics	Access to diagnostics against a target of 100% compliance
23	New birth tests	Performance against contract with main commissioner
24	HPV	Human Papillomavirus (HPV) uptake Performance against contract with main commissioner
25	Comm tv Equip Share	Reconses within 7 days
26 a	Urgent DN	Response by a DN within 24 hours of receiving an urgent request / referral
26 b	Non-Urgent DN	Response by a DN within 48 hours of receiving a non-urgent request / referral