

SELF-CERTIFICATION RETURNS

Organisation Name:

The Shrewsbury and Telford Hospital NHS Trust

Monitoring Period:

Jan 2012

**NHS Midlands & East
Provider Management Regime
2011/12**

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

NHS Trust Governance Declarations : 2011/12 In-Year Reporting

Name of Organisation:	The Shrewsbury and Telford Hospital NHS Trust	Period:	Jan 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)	R
Financial Risk Rating (Assign number as per NHS Midlands and East PMR guidance)	G
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:		Print Name:	John Davies
on behalf of the Trust Board	Acting in capacity as:	Chairman	
Signed by:		Print Name:	Adam Cairns
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 :	

ACUTE GOVERNANCE RISK RATINGS 2011/12

The Shrewsbury and Telford Hospital NHS Trust

Insert YES (target met in month), NO (not met in month) or N/A (as appropriate)
See separate rule for A&E

Ref	Area	Indicator	Sub Sections	Thresh-old	Weight-ing	April 2011	May 2011	Jun 2011	July 2011	Aug 2011	Sept 2011	Oct 2011	Nov 2011	Dec 2011	Jan 2012	Feb 2012	Mar 2012	Comments where target not achieved in month?
1	Safety	Clostridium Difficile	Are you below the ceiling for your monthly trajectory	Contract with PCT	1.0									Yes	yes			
2	Safety	MRSA	Are you below the ceiling for your monthly trajectory	Contract with PCT	1.0									Yes	yes			
3	Quality	All cancers: 31-day wait for second or subsequent treatment, comprising either:	Surgery Anti cancer drug treatments Radiotherapy	94% 98% 94%	1.0									No	no			31 day second or subsequent treatment - surgery failed (91.18% against a target of 94%) Ytd remains green.
4	Quality	All cancers: 62-day wait for first treatment, comprising either:	From urgent GP RTT From consultant screening service referral	85% 90%	1.0									Yes	yes			
5a	Patient Experience	RTT waiting times – admitted	95th percentile	23 wks	1.0									No	No			SaTH 95th Percentile for admitted patients was 32.19 weeks in January
5b	Patient Experience	RTT waiting times – non-admitted	95th percentile	18.3 wks	1.0									No	No			SaTH 95th Percentile for non admitted patients was 22.35 weeks in January
6	Quality	All Cancers: 31-day wait from diagnosis to first treatment		96%	0.5									Yes	Yes			
7	Quality	Cancer: 2 week wait from referral to date first seen, comprising either:	all cancers for symptomatic breast patients (cancer not initially suspected)	93% 93%	0.5									Yes	Yes			
8a	Quality	A&E: Total time in A&E	Total time in A&E (95%)	≤ 4 hrs	1.0									95.82	91.26			94.52% YTD based on submitted Sitreps data
8b	Quality	A&E: NB Please record the areas not being met in the comments sheet	Total time in A&E (95th percentile) Time to initial assessment (95th percentile) Time to treatment decision (median) Unplanned re-attendance rate Left without being seen	≤4 hrs ≤15 mins ≤60 mins ≤5% ≤5%	No weighting													SaTH 95th percentile for Initial Assessment time was 29 minutes in January and 95th percentile Total Time in A&E was 330 min (Both based on unvalidated Mede Data)
17	Patient experience	Certification against compliance with requirements regarding access to healthcare for people with a learning disability		N/A	0.5									No	No			SaTH is currently in the process of signing up to the Learning Disability Charter and is co-ordinating its submission via the Learning Disability Steering Group
CQC Registration																		
A	Safety	CQC Registration	Are there any compliance conditions on registration outstanding	0	1.0									No	No			Confirmed by Chief Compliance Officer
B	Safety	CQC Registration	Are there any restrictive compliance conditions on registration outstanding	0	2.0									No	No			Confirmed by Chief Compliance Officer
C	Safety	Moderate CQC concerns regarding the safety of healthcare provision		0	1.0									Yes	Yes			Confirmed by Chief Compliance Officer
D	Safety	Major CQC concerns regarding the safety of healthcare provision		0	2.0									No	No			Confirmed by Chief Compliance Officer
E	Safety	Formal CQC Regulatory Action resulting in Compliance Action		0	2.0									No	No			Confirmed by Chief Compliance Officer
F	Safety	Formal CQC Regulatory Action resulting in Enforcement Action		0	4.0									No	No			Confirmed by Chief Compliance Officer
G	Safety	NHS Litigation Authority – Failure to maintain, or certify a minimum published CNST level of 1.0 or have in place appropriate alternative arrangements		0	2.0									No	No			Confirmed by Chief Compliance Officer
TOTAL						0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	4.5	4.5	0.0	0.0	

FINANCIAL RISK RATING 2011/12

Shrewsbury and Telford Hospital NHS Trust

			Risk Ratings					Insert the Score (1-5) Achieved for each Criteria Per Month													
Criteria	Indicator	Weight	5	4	3	2	1	Annual Plan 2011/12	Apr 2011	May 2011	June 2011	Jul 2011	Aug 2011	Sept 2011	Oct 2011	Nov 2011	Dec 2011	Jan 2012	Feb 2012	Mar 2012	Comments on Performance in Month
Underlying performance	EBITDA margin %	25%	11	9	5	1	<1	3	1	1	2	2	2	2	2	2	3	3			
Achievement of plan	EBITDA achieved %	10%	100	85	70	50	<50	5	1	1	3	3	4	4	5	4	5	5			
Financial efficiency	Return on assets %	20%	6	5	3	-2	<-2	3	2	2	2	2	2	2	2	2	3	3			
	I&E surplus margin %	20%	3	2	1	-2	<-2	2	1	1	1	2	2	2	2	2	2	2			
Liquidity	Liquid ratio days	25%	60	25	15	10	<10	2	1	2	2	2	2	2	2	2	3	2			
Average	Weighted Average	100%						2.8	1.2	1.5	1.9	2.1	2.2	2.2	2.3	2.2	3.0	2.8	0.0	0.0	
Overriding rules	Overriding rules									1											
Overall rating	Final Overall rating							3.0	1.0	1.0	2.0	2.0	2.0	2.0	2.0	2.0	3.0	3.0			Month 10 review of the financial position illustrates that the SOCI elements will continue to be inline with the planned score and will be green. Anticipated improvements within the ROA metric has materialised and will remain for the following months ensuring the overall plan of 3 will be achieved.

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"

QUALITY

The Shrewsbury and Telford Hospital NHS Trust

Insert Performance in Month

Criteria	Unit	Apr 2011	May 2011	June 2011	Jul 2011	Aug 2011	Sept 2011	Oct 2011	Nov 2011	Dec 2011	Jan 2012	Feb 2012	Mar 2012	Comments on Performance in Month
1	SHMI - latest data	Ratio								93.4	89.5			January number relates to November performance as this is the most recent data available (ie 2 months in arrears)
2	Venous Thromboembolism (VTE) Screening	%								91.4	91.5			January data unvalidated at time of submitting report
3a	Elective MRSA Screening	%												SaTH is currentl unable to provide the Elective MRSA Screening report.
3b	Non Elective MRSA Screening	%								95.85	94.83			Data taken from the MRSA Screening Compliance report
4	Single Sex Accommodation Breaches	Number								0	0			
5	Open Serious Incidents Requiring Investigation (SIRI)	Number								57	70			Relates to all SIs, 14 new SIs reported in January, 20 SIs still being investigated or awaiting internal sign off, 36 awaiting closure by the PCT
6	"Never Events" in month	Number								2	0			0 Never Events were reported in January
7	CQC Conditions or Warning Notices	Number								no	no			Confirmed by Chief Compliance Officer
8	Open Central Alert System (CAS) Alerts	Number								12	10			10 open CAS issues on the SaTH system. Number accessed from the CAS report on the Corporate projects drive.
9	RED rated areas on your maternity dashboard?	Number								Yes	Yes			Based upon the locally agreed maternity dashboard - SHA aware there is currently no regional or national standard report.
10	Falls resulting in severe injury or death	Number								2	11			11 RIDDOR reportable falls were logged in January
11	Grade 3 or 4 pressure ulcers	Number								1	4			
12	100% compliance with WHO surgical checklist	Y/N								no	no			Contracts & Performance Team unable to confirm that we are 100% compliant
13	Formal complaints received	Number								40	84			
14	Agency and bank spend as a % of turnover	%								5.71%	6.70%			As at month 10 ytd agency and bank represent 6.7% of turnover.
15	Sickness absence rate	%								4.9	4.5			January number relates to October performance as this is the most recent data available (i.e. 2 months in arrears)

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.	
4	Be satisfied that the Trust is embedding patient experience into the service design, improvement and delivery cycle.	

For SERVICE PERFORMANCE, that:		Response
5	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
6	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	✓

7	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	✓
---	---	---

8	The necessary planning, performance management and risk management processes are in place to deliver the annual plan	✓
---	--	---

9	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)	✓
---	---	---

10	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
11	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
12	The Board maintains its register of interests, and can specifically confirm that there are no material conflicts of interest in the Board	✓

13	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	✓
----	--	---

14	The selection process and training programmes in place ensure that the non-executive directors have appropriate experience and skills	✓
----	---	---

15	The management team have the capability and experience necessary to deliver the annual plan	✓
----	---	---

16	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			
Chair			

Ref	Area	Details
Thresholds		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 Specific guidance and documentation concerning cancer waiting targets can be found at: http://www.connectforhealth.nhs.uk/nhsais/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 paediatric 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 specialties 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 specialties on Care Programme Approach who were discharged from psychiatric inpatient. 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 Unify2. 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 proxy 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 legal 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 CRT	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 provide a mobile 24 hour, seven day a week response to requests for assessments a) 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; b) be notified of all pending Mental Health Act assessments; c) be assessing all these cases before admission happens; and d) be central to the decision making process in conjunction with the rest of the multidisciplinary team e) be notified of all pending Mental Health Act assessments;
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.ic.nhs.uk/services/mhmds/dq 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 MHMDS 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 ages and ward 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 Call 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	OTCs	Performance against contract with main commissioner
19	GUM Access	Access to GUM within 48 hours against a target of 96% compliance.
20	Chlamydia Screening	Performance against contract with main commissioner
21	Smoking Cessation	Performance against contract with main commissioner
22	6 Wk Wait Diagnostics	Access to diagnostics against a target of 100% compliance
23	New birth registrations	Performance against contract with main commissioner
24	HPV	Human Papillomavirus (HPV) uptake Performance against contract with main commissioner
25	Commy Equip. Store	Responses 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