

# Governance Reviews: learning lessons

20 May 2014



# Welcome and housekeeping

## Purpose of today

- Governance reviews: pass on learnings from pilots
- Allow the sector ask questions
- Update on consultation
- Outline our key messages
- Present next steps

# Pilots

Selected three volunteer trusts to 'pilot' the reviews

- Lincolnshire Partnership
  - Mental health/community provider
  - £100m income / 2,026 staff
- The Newcastle hospitals
  - Large teaching
  - £940m / 13,500
- Airedale
  - District general hospital
  - £141m / 2,900

# High-level feedback from consultation

*Consultation ran from January to March 2014*

*We received 60 responses in total*

	<i>Questions in response</i>	<i>Our response</i>
<b>Flexibility of approach</b>	What is the scope to 'flex' the framework?	The framework is a 'core reference' for reviews, NOT a fixed standard
<b>Outcomes</b>	More emphasis on good governance, rather than evidence for its own sake	We have complemented the evidence sets with good practice in the final doc
<b>Scope</b>	Greater emphasis on culture & improvement	We have revised the questions to reflect continuous improvement
<b>Reviewers</b>	Peer reviewers OK? Directory of reviewers?	Up to boards to assure themselves that they are engaging the right resource

*We will publish a formal response to the consultation with the final framework*

## Governance reviews: key messages to sector

- These reviews are to be commissioned **by trusts, for trusts**
- The framework, is intended as a **‘core’ reference** for trusts
- Foundation trusts are **free to schedule when the reviews take place**
- Foundation trusts are free to commission reviews from **whomever they want** – no procurement framework

## Monitor, the CQC, the Francis Report

- Francis report referenced governance as an issue in its survey of the system
- Monitor and CQC are committed to an aligned approach to supporting ‘well-led’ providers
- The governance reviews framework represents Monitor’s guidance in this area
- For consistency of terminology, the governance reviews framework will be called the ‘*Well-led framework for governance reviews*’

# Today's agenda

<b>10.30</b>	<b>Registration &amp; refreshments</b>
<b>11.00</b>	Introduction & housekeeping
<b>11.15</b>	Presentations from pilot trusts (each followed by Q&A)
	11.15 Lincolnshire Partnerships
	11.45 Newcastle
	12.15 Airedale
<b>12.45</b>	Lunch
<b>1.45 pm</b>	Undertaking a review Three firms' insights into how they approach governance reviews and the types of methods that are used.
<b>2.00 pm</b>	Questions and Panel discussion (facilitator: Suzie Bailey) <ul style="list-style-type: none"><li>• Anonymous questions using technology (20 – 25 mins)</li><li>• Panel Q&amp;A – questions from the sessions during the day (10 mins)</li></ul> Reviewers to be available for any key questions that panel wants them to answer
<b>2.55 pm</b>	Next steps & close





# Next steps

# Monitor & Foundation Trust Network

## Governance and Capability Review

# Lincolnshire Partnership NHS Foundation Trust (LPFT)

Dr John Brewin, Interim Chief Executive

Karen Berry, Director of Finance

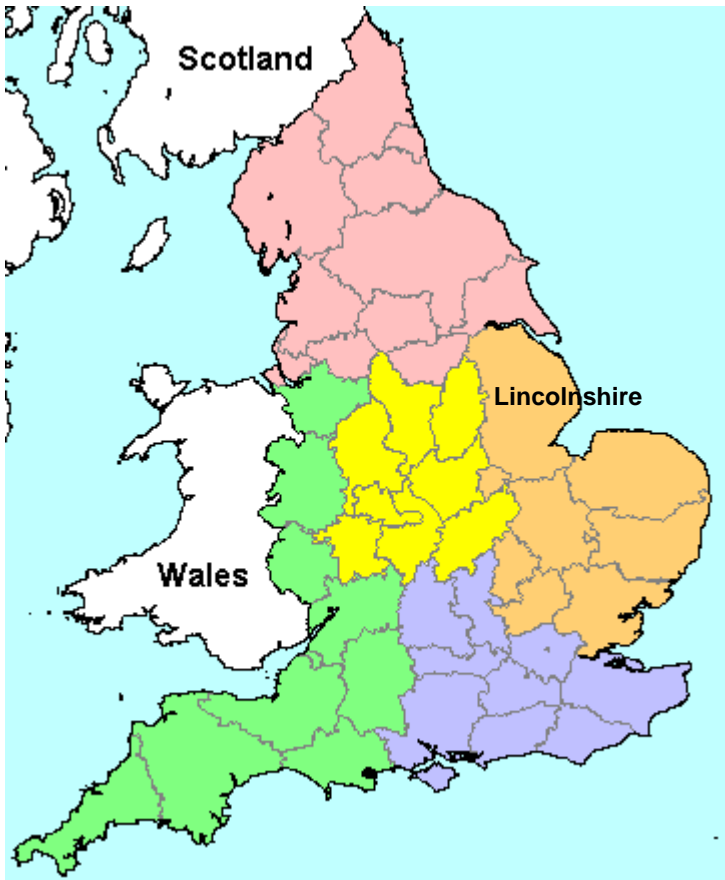
Peter Howie, Trust Secretary

Tuesday, 20 May 2014

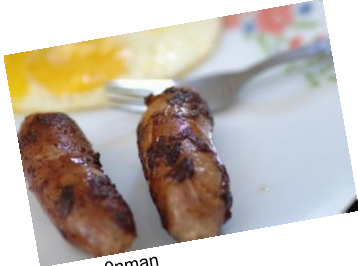
# Lincolnshire



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# LPFT Top 10 Facts

1	<b>Income (2013/14)</b>	<b>£99.7m</b>
2	<b>Staff and Membership</b>	<b>2,026 staff 9,511 members</b>
3	<b>Service users:</b> No. of individuals accessing our services	<b>54,432 service users</b>
4	<b>Community services</b>	<b>295,136 contacts 25,247 IAPT referrals</b>
5	<b>Inpatient services</b>	<b>15 wards 252 beds 1,177 admissions</b>

# LPFT Top 10 Facts

6	<b>Number of clinical bases</b>	<b>77 sites</b>
7	<b>Average number of people on CPA at any one time</b>	<b>1,500</b>
8	<b>Monitor ratings</b>	<b>Continuity of Services      Governance</b>
9	<b>Number &amp; percentage of green KPIs (Mar 2014)</b>	<b>137/153 (90%)</b>
10	<b>Population served</b>	<b>718,800 – Lincolnshire 159,000 – North East Lincolnshire 1,024,100 – Derbyshire</b>

# Governance Reviews

- Previous External “Quality Governance Review”
- Prompted by emerging problems (Whistleblowing and CQC)
- Three year action plan with over 60 actions, concluding with repeat in three years

# Specification

- Trust had developed a specification for the review
- Former Quality Governance Assurance Framework – plus
- The process was out to tender
- Responses – fewer than expected and variable quality
- Low cost (audit type) response
- One declined to tender

# Monitor Pilot

- Monitor contacted the Trust in early Oct 2013
- Balance of Risk – “what would Monitor do with the results?”
- Transparent and Accountable



# Preparing for the review

- Board of Directors - leadership
- Council of Governors engagement
- Senior Leadership Team
- Staff Communications
- Resource allocation – contact point and evidence preparation

# Self-Assessment process

- “Board Governance and Capability Review”
- Collate initial evidence
- Build the assessment iteratively
- Consider all the evidence available against the standards and examples
- Go back and treat this process as if you were an aspirant FT

# Engagement and Relationships

- Governors
- Staff
- Stakeholders (Commissioners)
- The Reviewers

# Practicalities

- Agree the methodologies with your reviewers at an early stage
- Have a single point of contact – manage the interactions
- Have a template e-mail / letter explaining process and what it is all about
- Ensure adequate resource to respond promptly to information requests
- Tell everyone what's happening and why

# Methodologies

- Review of evidence – information requests
- One to One interviews with all Directors
- Service visits
- Variety of staff group forums
- Observed meetings: Council, Board, Committees, Operational Teams
- Early warning bi-weekly updates

# Results

- The report, what do you want it to look like?  
(Think about this early on)
- Who is the report for?
- How will it be used?
- Regulatory or Developmental?

# Using the results

- Communicate the outcome – everyone is interested
- Develop your action plan as part of your Governance Structure
- Enhance your Board Assurance Framework

# Questions?

- **Lincolnshire Partnership Hospitals NHS Foundation Trust**
  - Dr John Brewin, Interim Chief Executive
  - Karen Berry, Director of Finance
  - Peter Howie, Trust Secretary
- **PWC** – Laura Middleton





# Board Governance Review The Newcastle Experience

Steven Reed  
Trust Secretary

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# Giant

We're big:



- 1.45 million patient contacts last year
- >13,500 staff, inc. > 500 consultants
- £940 million turnover
- Six sites
- Largest portfolio of regional and supra-regional services in England

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## Great Expectations

Where we started from and what we thought we wanted



- Why did we want to be involved?
- What added value/benefit would a review bring for the organisation?
- The role of Governors in holding the Board to account – would this help?

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## From Here To Eternity

- Timetable set by Monitor
- 3 key players from EY
- Desktop review – structures, papers
- Sitting in – Board, Audit, Council, patient rep group
- Interviews – Directors/NEDs, key governance leads, external stakeholders



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## The Fast and the Furious



- Desktop review – >500 documents...
- Sitting in – limited sense of continuity of debate or focus on strategic issues
- Interviews – variable experiences, inc. what was being examined, by whom; and timelines reduced scope of engagement with externals

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## The Way We Were

What we learnt about our interactions with the review team:

- drowning in a sea of paper
- it's about the people, people
- Smooth FM vs Kerrang
- How long is a piece of string?
- Sniper versus artillery fire
- Business As Usual it wasn't



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## The Glittering Prizes



- One size doesn't fit all
- It ain't what you do, it's the way that you do it, that's what gets results
- Unity of response does not necessarily mean robust governance
- Be aware of the risk of perverse incentives

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## As Good As It Gets

What we got:

- a free and independent review
- a chance to shape the national process
- ideas and perspective from the self-assessment – a “helicopter” view
- (re-)assurance
- a sense of direction for further improvements in structure, process



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## Do The Right Thing



- Spend time on the self-assessment, with a wide pool of people
- Pick the right review team – and possibly consider peer review
- Be clear what you want out of it
- Set a realistic timetable, at the right time of year

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## Mo' Better Blues



- Set shared targets – topics and timings
- Be clear what they want out of it
- Follow up with clear, assigned actions – “simplify and add less weight”

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# Questions?

- **Newcastle upon Tyne Hospitals Foundation Trust**
  - Steven Reed, Trust Secretary
- **EY** – Richard Guest

# Governance Review Seminar

**Jane Downes**  
**Company Secretary**  
**20<sup>th</sup> May 2014**



# Background



## Airedale authorised in 2010

Streamlining of committee structure

Significant changes in Board membership

Opportunity to identify gaps/areas of weakness

**Francis Report – Board response**

# Pilot Process



# Value of the Review

- Inward reflection by Board directors
- Opportunity to ‘test’ Board leadership ‘tone from the top’
- Breadth and depth of review - participation by staff/governors/stakeholders
- Board aspirations versus reality

# Learning Points

- Timing > Timing > Timing
- Clarity of purpose – appetite for review
- Ensure buy-in from Board and other participants
- Good administration – key to success
- Relationship with evaluation company - communication



# Experience vs Expectation

- Professionalism of the review team
- Incisive insight in short time period
- No surprises but provided added focus
- Enjoyable experience!

# Procuring the Review

- Success in leading governance reviews – NHS & non NHS. Board level experience?
- Flexible approach – one size does not fit all
- Gravitas - tough messages to deliver!
- Should the review include further support from the review team to support the development phases?

# Next Steps for Airedale

- **Question 1** – *How to use the review for developmental purposes?*
- **Question 2** – *Should the role of governors be more explicit in further reviews?*

# Review = Developmental

*Outcome of the Review – ‘added value’*

- Helped shape thinking on forward strategy
- Increased reflection on Board ethos and values
- Board agenda re-focus on patients/staff
- Re-affirmed Board succession planning programme

# Role of Governors

*‘Holding NEDs to account.....’*

- Increased role/responsibility of governors  
- Health & Social Care Act 2012
- Limited skills, knowledge, experience of  
Governors in holding NEDs to account
- Governor involvement in commissioning,  
participating and monitoring progress  
against outcome of review via NEDs?

# Questions?

- **Airedale NHS Foundation Trust**
  - Jane Downes, Company Secretary
- **Foresight Partnerships**
  - Adrienne Fresko



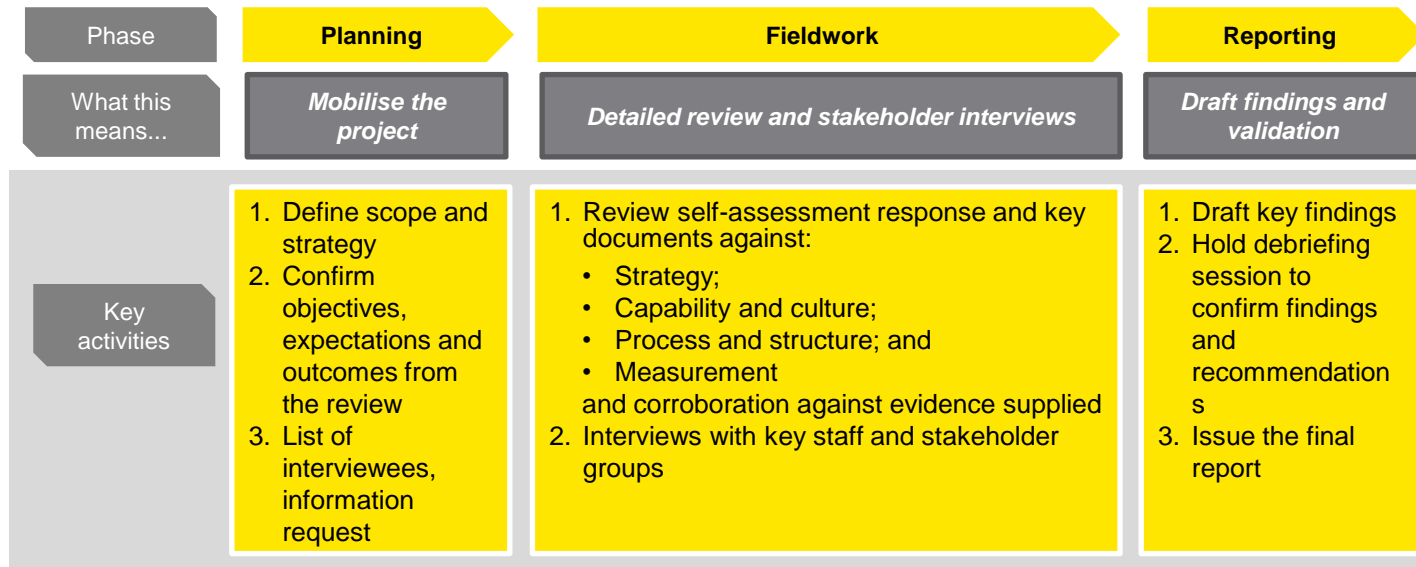
**Lunch: 12.45pm – 1.45pm**

# Undertaking a review – insights from the review firms

- EY - Richard Guest
- Foresight Partnerships - Sue Rubenstein
- PWC - John Morris



# Board Governance Review: EY Approach

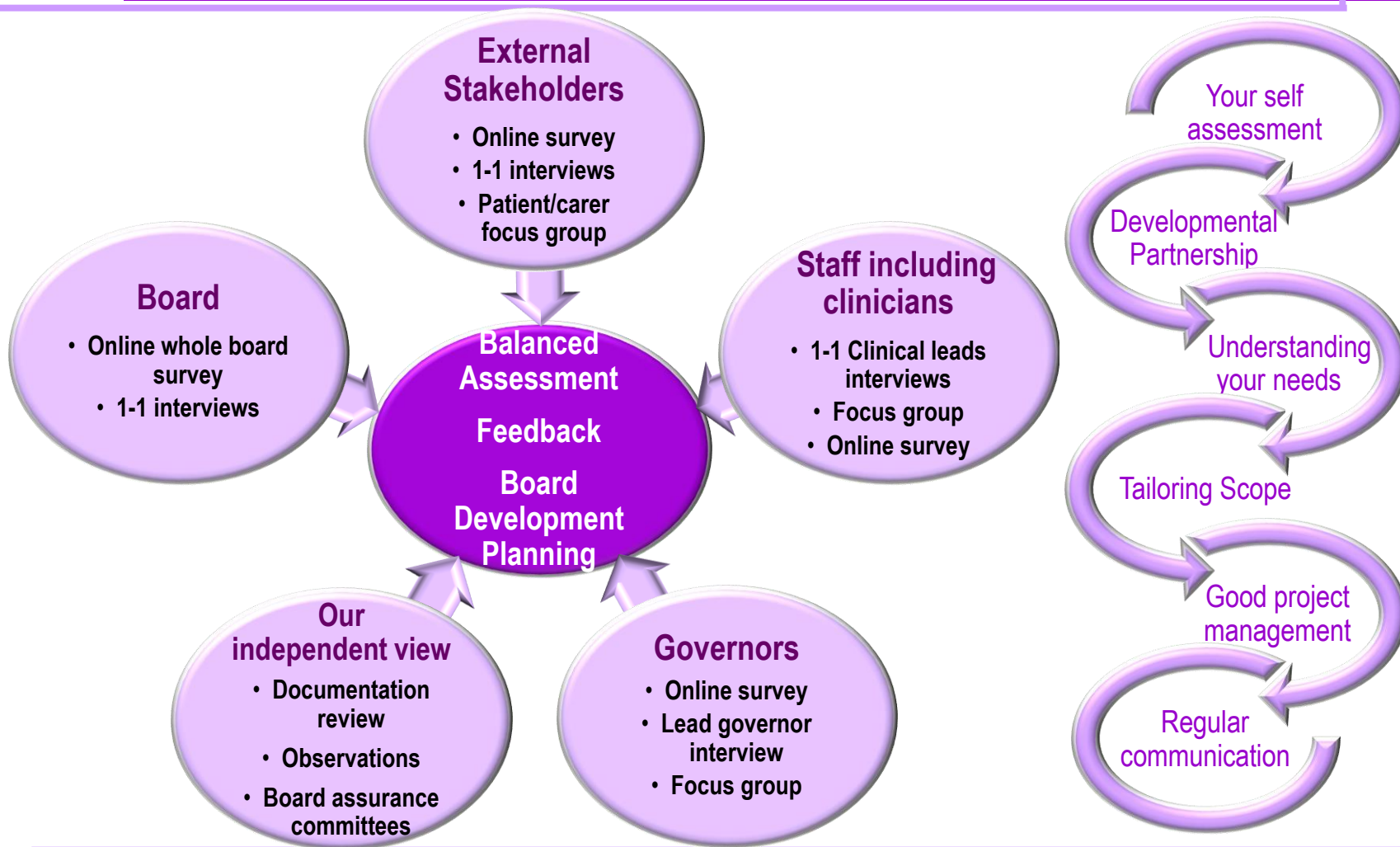


## **Key to success:**

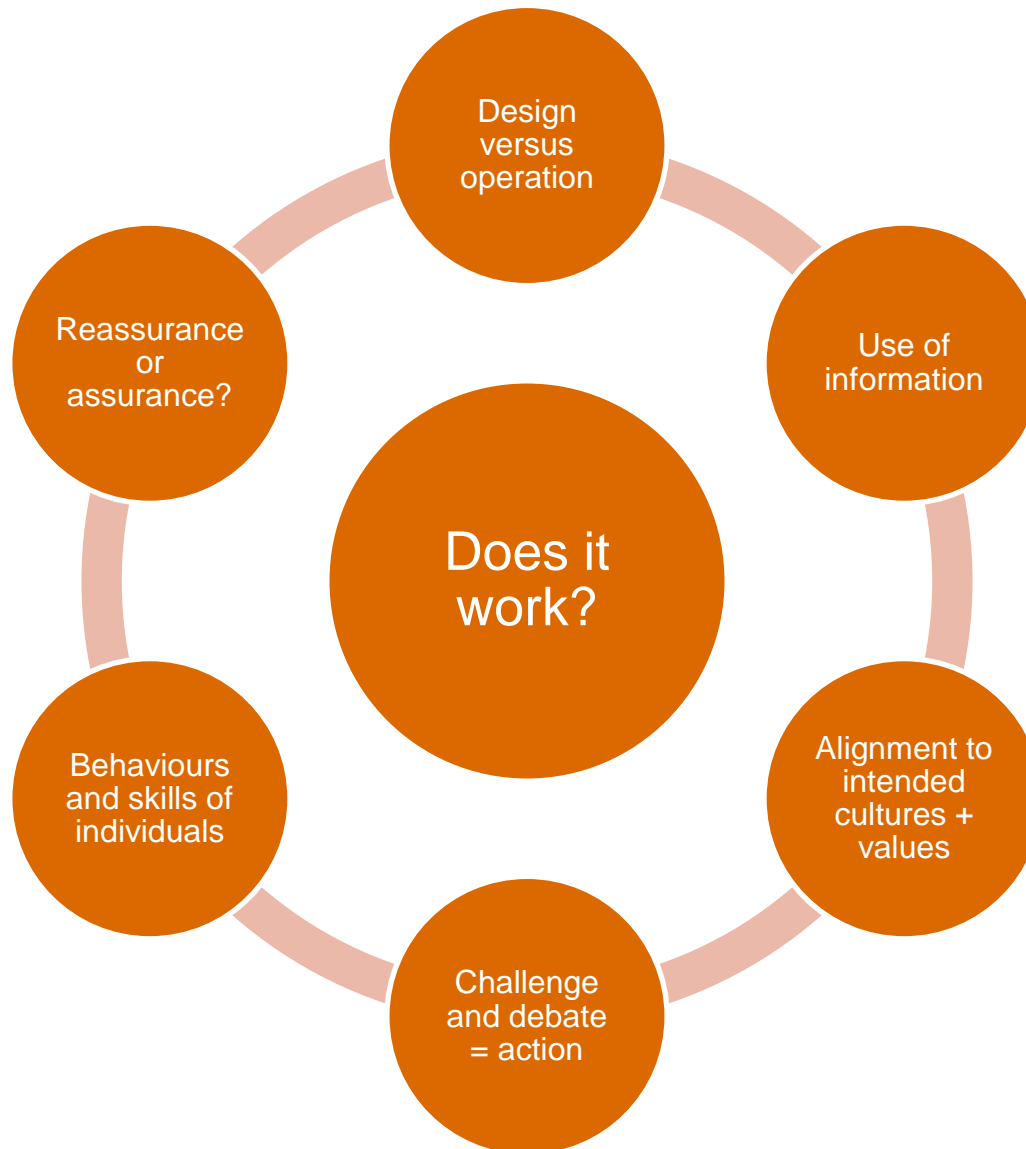
- Commitment from the Trust to see the review as a value add / developmental process
- Robust planning & appropriate focus
- Experienced team



# Approach to Board Health Review



# *Observation - governance in action*



# Interactive session and panel discussion

- John Coutts
  - Patrick Fraher
  - Jane Downes
  - Steven Reed
  - Dr John Brewin
- 
- facilitated by Suzie Bailey, Monitor

# Closing remarks and evaluation

- Patrick Fraher, Monitor