

CRN: East Midlands Quarterly Host Board Report

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Executive Summary

Context

University Hospitals of Leicester (UHL) NHS Trust is the Host organisation for the National Institute for the National Institute of Health Research (NIHR) Clinical Research Network: East Midlands, (CRN). Whilst there are appropriate governance arrangements in place, UHL is contracted by the Department of Health to take overall responsibility for the monitoring of governance and performance of the network. The purpose of this regular update paper is to summarise our performance, major achievements, challenges and actions. This is the second formal report of 2015/16 which will be taken to the CRN: East Midlands Executive Group, chaired by Andrew Furlong (Acting Medical Director and UHL Executive lead for the CRN) in December 2015. It has been considered by the UHL Executive Performance Board prior to UHL Trust Board review.

Questions

1. In order to provide assurance to the Host, what are the major achievements and challenges of the Network, performance from early September 2015 up to 4 December 2015 and what actions are being taken to improve performance?

Conclusion

1. The narrative style report summarises recent achievements, generic challenges and current performance. Appended to this written report is a dashboard detailing key performance measures for 2015/16. Also appended is an updated summary table of recruitment performance issues and actions.

Input Sought

We would welcome Trust Board views on the report.

For Reference

Edit as appropriate:

1. The following **objectives** were considered when preparing this report:

Safe, high quality, patient centred healthcare	[Not applicable]
Effective, integrated emergency care	[Not applicable]
Consistently meeting national access standards	[Not applicable]
Integrated care in partnership with others	[Yes]
Enhanced delivery in research, innovation & 'ed'	[Yes]
A caring, professional, engaged workforce	[Not applicable]
Clinically sustainable services with excellent facilities	[Not applicable]
Financially sustainable NHS organisation	[Yes]
Enabled by excellent IM&T	[Not applicable]

2. This matter relates to the following **governance** initiatives:

Organisational Risk Register	[Yes]
Board Assurance Framework	[Yes]

3. Related **Patient and Public Involvement** actions taken, or to be taken: [Insert here]

4. Results of any **Equality Impact Assessment**, relating to this matter: [Insert here]

5. Scheduled date for the **next paper** on this topic: April 2016 Trust Board

6. Executive Summaries should not exceed **1page**. [My paper does comply]

7. Papers should not exceed **7 pages**. [My paper does comply: Total of 3 pages including 7 pages of appendices]

UNIVERSITY HOSPITALS OF LEICESTER NHS TRUST
NIHR Clinical Research Network: East Midlands
Quarterly Host Board Report: Progress, challenges and performance update

1. Background

- 1.1 University Hospitals of Leicester (UHL) NHS Trust is the Host organisation for the National Institute for Health Research (NIHR) Clinical Research Network: East Midlands, (CRN). Whilst there are appropriate governance arrangements in place, UHL is contracted by the Department of Health to take overall responsibility for the monitoring of governance and performance of the network.
- 1.2 The purpose of this regular update paper is to summarise our performance, major achievements, challenges and actions.
- 1.3 This is the second formal report of 2015-16 which will be taken to the CRN: East Midlands Executive Group, chaired by Andrew Furlong (Interim Medical Director and UHL Executive lead for the CRN) in December 2015. It will then be considered by the UHL Executive Performance Board, and submitted for UHL Board review in January 2016.
- 1.4 In line with the CRN: East Midlands Executive meeting schedule and the UHL Trust Board meeting schedule, the previous report covered the period 1 April 2015 – 7 September 2015; this report covers the period from early September – 4 December 2015.

2. Recent achievements

- 2.1 In the first 2015-16 report a number of challenges were presented, along with associated action plans; many of the issues presented have been addressed and performance improvements seen. Performance highlights as at 4 December 2015 include:
 - i. An improvement in research recruitment performance against YTD goals from 69% to 81%.
 - ii. Improved performance and national position in relation to commercial recruitment to time and target (presently top of the league).
 - iii Improved financial stability, we have moved from a vacancy factor, and thus over commitment, of £1,210,987 to £87,836 with a projected year end flat financial position.
 - iv. Maintained primary care recruitment position as top across England.
- 2.2 In addition to this short narrative report, appended is a dashboard detailing key performance measures for 2015-16 under which the CRN: East Midlands is performance managed. These are discussed in detail at the host Executive meeting and Operational Management Group meetings of the CRN: East Midlands.

3. Challenges and Actions

3.1 Whilst we have addressed many of the challenges reported last time, some remain and some new challenges have been identified as the year progresses. A table is included below which summarises challenges and details associated actions to address these.

Challenge or concern	Associated action
Unlikely to know 2016-17 budget until February 2016, making planning difficult, but yet needing to plan	<ul style="list-style-type: none"> ▪ Undertaking analysis in order to forecast budget ▪ Planning for a worst case scenario budget position ▪ Communicating this to Partners to aid their planning
Planning local changes to our budget model, which will have varying knock-on impact for partners	<ul style="list-style-type: none"> ▪ Engagement of partners in planned approach ▪ Modelling a range of options ▪ Clear expectations with partners on how to make best use of resource
Recruitment remains an area of concern; for some partners more than others. Overall concerns that the stretch target is unlikely to be met.	<ul style="list-style-type: none"> ▪ Recruitment has improved and is currently at 81% of YTD expectations. There was an expected surge in recruitment at the end of October in line with the Activity Based Funding (ABF) cut-off. Recruitment has improved and we are seeing increased weekly recruitment. Early indications are that we will not meet the stretch target as we do not have enough studies to meet this, and the loss of LIFE study has had some impact. There are some large studies with potential and it is imperative that these are set up as quickly as possible to improve the chance of reaching the target but at current trends, we expect recruitment to not increase beyond 85%. This was reported in detail previously, the table provided in that report has been updated and is provided as Appendix 2 to this report
Research Management & Governance (RM&G) is winding down over the next 9 months, however in the interim there remains a challenge to deliver an effective local RM&G service against a backdrop of reduced staffing, yet a requirement to still meet this NIHR High Level Objective	<ul style="list-style-type: none"> ▪ Recently appointed a part-time senior manager to support this area ▪ Have agreed with NUH to work in a more joined-up manner and pool staffing resource ▪ Recognise some of the workload may shift as HRA comes on stream ▪ Acknowledge performance may slightly dip, however consequences not significant

<p>The CRN are in the process of establishing a Study Support Service for researchers across the region, which comes with challenges in itself</p>	<ul style="list-style-type: none"> ▪ Have established a regional Programme Board to lead this work ▪ Set up two virtual steering groups ▪ Have overall project plan, with two pilots now being worked up – for researchers in primary care and mental health settings ▪ Need to increase communications approach
<p>The CRN has almost completed a process of introducing a new software system for research management (Edge), it is now important to ensure it is well adopted and appropriately used</p>	<ul style="list-style-type: none"> ▪ Planning several informal meetings with users in new year to discuss best practice ▪ Keen to promote collaboration in a more informal way, to ensure trusts “own” the software ▪ Will need some more direct approaches to some aspects of data entry

4. Summary and recommendations

Many of the areas previously reported have been invested in, with improvements seen in the performance data. There remain some areas of concern, and some where there is still an opportunity to improve the performance. Overall, recruitment has increased and commercial performance has also improved; these are the two critical metrics for the NIHR, therefore UHL can be assured that solid progress and improvement is being demonstrated.

Over the next few months there will be considerable focus on defining and planning to budget for 2016-17 in collaboration with our partner NHS organisations. It will be essential to ensure next year’s budget is utilised in a way to maximise recruitment and a spread of activity across the region, across clinical specialties and all care settings. The budget we agree with partners next year therefore needs to have a higher degree of flexibility and responsiveness.

Appendix 1: Dashboard

Clinical Research Network: East Midlands

Refreshed: 04/12/2015

(Previous: 28/10/2015)

Network Progress Overview

HLO Description	Study Type	Target		Progress/Summary			Actions	Status	Owner	Year End RAG Assurance		
		England	East Midlands	Curr YTD	Previous	Trend						
1	Number of patients recruited into NIHR studies	All	650,000	56,688	28,344	19,867	↑8%	81% of Year to Date goal (34,885) (previously 73%)	-Review time & target of existing studies -Review UKCRN database for potential studies and open new sites -Detailed action plan in place	Ongoing	Chief Operating Officer	Amber
2	Proportion of NIHR studies delivering to recruitment target and time	Commercial	80%	80%	77%	76%	↑1%	58 studies recorded as closed and reported recruitment. CRN: East Midlands in 1st position out of 15 LCRNs.	-Monthly performance meetings -Robust target setting process -Attendance at Site Selection Visits in areas of poor performance -Workshops & teleconferences in Primary Care to embed performance management culture	Ongoing	Industry Operations Manager	Amber
		Non-commercial	80%	80%	74%	81%	↓7%	74% (20) for 27 closed HLO studies	-BI analysis of time & target position of existing studies Contact study teams & Trusts for underperforming studies	Ongoing	Chief Operating Officer	Amber
4	Proportion of eligible NIHR studies obtaining NHS permission within 30 calendar days of valid research application	All	80%	80%	92%	93%	↓1%	Implementation of the HRA approval system will affect the CRN's control over this HLO.		Ongoing	Lead RM&G Manager	Green
6	Proportion of NHS Trusts recruiting into NIHR studies	All	99%	99%	100%	100%	↔	16 out of 16 Trusts reporting recruitment.	Target achieved	Complete	Chief Operating Officer	Green
		Commercial	70%	70%	56%	56%	↔	9 out of 16 Trusts currently reporting commercial recruitment. Need 12 out of 16 to achieve target.	-Studies currently in set-up at DHCFT & LPFT. -Develop site identification template at mental health trusts to improve selection chance -Working with EMAS, DCHS & LCHS to develop potential	Ongoing	Industry Operations Manager	Amber
	Proportion of General Medical Practices recruiting into NIHR studies	All	25%	25%	51%	29%	↑22%	301 out of 591 GPs, Surgeries & Health care sites currently reporting recruitment.	Target achieved	Complete	Division 5 Research Delivery Manager	Green
7	Number of participants recruited into Dementias and Neurodegeneration (DeNDRoN) NIHR studies	All	13,500	1,250	714	567	↑5%	98% of Year to Date goal (729) (previously 93%) Require 24 recruits per week.	-Increase number of studies by actively searching NIHR portfolio -Build relationships with universities to ensure studies are adopted onto NIHR portfolio where possible	Ongoing	Division 4 Research Delivery Manager	Amber

Sources: Commercial Activity Report 03/12/2015, Portfolio ODP Last update: 29/11/2015, Portfolio ODP 1415 Annual Cut Last update: 28/05/2015, CSP Reporting on ODP Last update: 16/11/2015

Network Summary Report 16/11/2015, Commercial Team update: 03/12/2015

Provided by: CRN: East Midlands Business Intelligence Team

N.B: HLO 3 & HLO 5 are not included as these relate to national objectives

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Appendix 2: Updated summary table of recruitment performance: issues & actions

Issue	Action	Owner	Date due	Status	Required impact Y/N	Further actions or comment
Recruitment data not being uploaded promptly	- Contact all locally based Recruitment Data Contacts (RDCs) to advise and support with upload	BI Lead	Ongoing support, reminder due mid-September	Achieved	YES – recruitment increased to ABF deadline	Continue this action each year at ABF deadline
	- Contact all RDCs re. Activity based funding deadline, mid-September	BI service – Angel Christian	01/09/2015	Achieved	YES – recruitment increased to ABF deadline	Continue this action each year at ABF deadline
	- Requirement to reinstate PO reports in order to ensure regular feedback received on recruitment upload lags	BI Lead	01/09/2015	Achieved	YES – although some refinements needed	Is improving feedback, but some data quality issues – being addressed
	- Review and agree process for chasing recruitment data upload lags reported from either POs or Divisional colleagues	BI service, to be discussed	Mid-September 2015	On track	YES – maintaining the Green Report and escalating to BI Lead when recruitment is not uploading. Identifying late uploaders	Is improving with very few outliers, those that have not uploaded are being directed to Information Team for support and further training. To

					with RDM, to promote the importance for timely recruitment	have RDC events early in the New Year.
	- Girls-Active study recently adopted, with potential for good recruitment data prior to ABF deadline	Division 2 RDM to facilitate upload	ABF cut-off, 23 October 2015	On track	NO	Recruitment was not uploaded in time for ABF deadline. Resulted in the loss of 314 recruits (942 weighted recruits)
Review 2014/15 studies and performance	- ID 14 high recruiting studies, now closed & not been replaced with large number studies	BI Lead	01/09/2015	Achieved	YES	
Time & Target review and actions	- Need to review TnT position of existing studies (commercial and non-commercial split)	BI service & IOM	18/09/2015	On track	YES – reviewed	Partner Reports provide TnT status of current studies, adding in trend info to see why targets may be slipping.
	- Action required to improve performance of studies not progressing to TnT - contact studies teams and	- RDMs non-commercial	Ongoing, with push for ABF	On track	YES, but Ongoing also	Edge will improve this,

	trusts	- IOM commercial	cut-off			as will budget approach
Identifying new studies and sites actions	- Review UKCRN portfolio to identify high recruiting studies in set-up that may accept new sites	Led by RDMs, support by Portfolio Support Managers	30/09/2015	On track	YES – Ongoing	A number of studies have been identified and expressions of interest sent to Partner Organisations.
	- Explore options to open new sites for existing studies within the region	Lead by RDMs, support by Portfolio Support Managers	30/09/2015	On track	N/A Short term action with longer term impact	Is ongoing
	- Div 5 RDM to escalate to CD concerns over possibility to open GENVASC study in Lincolnshire, CD to investigate overcoming blocks	Div 5 RDM & CD	Mid- September 2015	On track	N/A Has been escalated, again longer term impact.	
	- Explore option to open UK CHIC Study at Nottingham University Hospitals	Div 6 RDM	Mid-September 2015	On track	YES	NUH accepted as a site and study currently in set up supported by RST.
	- Explore untapped sites for Mental Health Studies in Northampton, e.g. St Andrews, through relevant R&D Lead	Div 4 RDM	30/09/2015	On track	YES – meeting held with Clinical	Further Mental Health providers

					lead at St Andrews and RDM for Div 4, ongoing communication and support to be provided	have been identified and to be contacted as per St Andrews.
	- Big White Wall study – Sheila O’Malley to re-contact team for update; then RDM Div 4/6 to take forward	RM&G Lead Division 4 RDM	Mid-September 2015	Not yet commenced	YES – has been agreed as NIHR adopted study, impact next year	
Increase CRN presence at PO level	- Increase levels of engagement with CRN agenda required in POs, COO Blog to be expanded and shared with Delivery teams	COO & Comms Lead	01/10/2015	On track	YES	
	- Ensure Comms approach is enhanced with more presence of CRN in POs – review marketing collateral, materials etc.	COO & Comms Lead	23/09/2015	On track	YES, and ongoing	
Review WFD approach, to shift cultural aspects to engagement	- Increase workforce development support to bring people in and educate regarding CRN approach ad expectations – COO/CD will produce blog for new starters, in collaborations with WFD team	T&D Lead	Mid October 2015	On track	YES – also some further actions - COO/CD induction blog to be arranged for each month.	Ensure that employing organisations are made aware of blog to be highlighted to new starters.
	- Review approach to T&D, ensure inclusive and open,	T&D Lead/BIL	Mid October	On track	Ongoing –	Job

	course details shared and available across the region		2015		new facilitators to be identified as well as strengthening existing T&D team to enable delivery across the whole region. Identifying emerging technology to deliver courses in innovative ways other than face to face to enable greater uptake.	descriptions for two new posts currently with HR and to be advertised ASAP. WFD strategy to be shared across the region once ratified at OMG.
Network (local) Issues	- COO to raise awareness of low proportion of NIHR adopted studies in some trusts at R&D Leads meeting and promote benefits of taking on more adopted studies	COO	21/09/2015	Not yet commenced	On track – ongoing	
	- RDMs to contact Specialty Leads to request minutes from national meetings and further related actions to ensure pipeline as accurate as possible and	RDMs	Mid- September 2015	On track		

	existing studies are actively prioritised & managed					
Network (national) issues	- Need to flag at a national level, concerned that both local & national targets will not be reached due to current pipeline position, also keen to receive feedback	COO & CD	17/09/2015	Not yet commenced	Fed back at NIHR Performance meeting, productive conversation and agreement of national issue	
	- COO to raises issue of feedback from national Specialty Leads meetings at forthcoming performance review meeting	COO	17/09/2015	Not yet commenced	Yes – actioned	