

Trust Board Paper S

To:	Trust Board
From:	Jim Birrell, Interim Chief Executive
Date:	25 October 2012
CQC regulation:	All applicable

Title:	Foundation Trust (FT) Application Update										
Author/Responsible Director:	Helen Harrison – FT Programme Manager / Jim Birrell, Interim Chief Executive										
Purpose of the Report:	To provide an update on UHL’s Foundation Trust (FT) application process, and progress against the timetable set out in the Trust’s Tripartite Formal Agreement.										
The Report is provided to the Board for:	<table border="1" style="width: 100%; text-align: center;"> <tr> <td style="width: 25%;">Decision</td> <td style="width: 25%;"><input type="checkbox"/></td> <td style="width: 25%;">Discussion</td> <td style="width: 25%;"><input type="checkbox"/></td> </tr> <tr> <td>Assurance</td> <td><input checked="" type="checkbox"/></td> <td>Endorsement</td> <td><input type="checkbox"/></td> </tr> </table>			Decision	<input type="checkbox"/>	Discussion	<input type="checkbox"/>	Assurance	<input checked="" type="checkbox"/>	Endorsement	<input type="checkbox"/>
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Summary / Key Points:	<p>UHL’s FT application timetable is set out in a Tripartite Formal Agreement (TFA), which was signed off by the Trust, the Strategic Health Authority and our commissioners in March 2012 and by the Department of Health (DoH) in July 2012.</p> <p>Whilst the Trust is reporting red against four of the future TFA milestones, and amber against one, all are reported to be recoverable within the Trusts overall FT application trajectory.</p>										
Recommendations:	The Trust Board is asked to Note the Trusts current status against the key milestones set out in the TFA.										
Previously considered at another corporate UHL Committee?											
Strategic Risk Register	Performance KPIs year to date										
Yes											
Resource Implications (eg Financial, HR)											
Assurance Implications	Yes										

Patient and Public Involvement (PPI) Implications

The Trust will be consulting on the principle of FT status, the benefits, the issues, the governance arrangements and the Trust's vision and values. The Integrated Business Plan and Long Term Financial Model will be subject to future engagement activity with key stakeholders.

Equality Impact

None

Information exempt from Disclosure

None

Requirement for further review?

FT application updates will be presented to the Trust board on a monthly basis.

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REPORT TO: Trust Board
DATE: 25th October 2012
REPORT FROM: Jim Birrell, Interim Chief Executive
SUBJECT: Foundation Trust Application Update

1) Background

This paper provides an update on UHL's Foundation Trust (FT) application process, and progress against the timetable set out in the Trust's Tripartite Formal Agreement.

2) UHL's FT timetable

UHL's FT application timetable is set out in a Tripartite Formal Agreement (TFA), which was signed off by the Trust, the Strategic Health Authority and our commissioners in March 2012 and by the Department of Health (DoH) in July 2012.





Key points to note from the timetable are:













- The date when UHL's FT application will be submitted to the DoH is 1st of August 2013. This would result in a potential FT authorisation date of 1st April 2014
- The Trust is in the process of completing a self assessment against both the Quality Governance Framework (QGF) and the Board Governance Assurance Framework (BGAF)
- Both of these self-assessments will need to be subject to an independent third party review
- The Trust will be submitting a **first draft** IBP / LTFM to the SHA by 31st October 2012
- A **second draft** IBP / LTFM will need to be submitted to the SHA by the end of November 2012. This will inform the UHL / SHA Readiness Review meeting, which in turn informs the SHA's decision to progress the Trust to the FT assurance and sign off stage
- The Readiness Review Meeting is scheduled to take place in December 2012
- The reports from the independent third party reviews form part of the readiness review documentation. Other documentation needed for the readiness review includes:
 - A full draft IBP and LTFM, including cost improvement plans (CIPs) and downside modelling
 - Our clinical strategy
 - Our enabling strategies (Estates, Workforce, IT, R&D and Membership)
 - Our final draft public consultation document
 - Self certifications
 - FT programme risk register including Board Assurance Framework

- A **final** IBP / LTFM will need to be submitted to the SHA in July 2013 prior to the UHL / SHA Board to Board and final review before an application to become an FT is submitted to the DoH

3) Progress against UHL's TFA

Achievement against the key milestones set out in UHLs TFA is reported to the SHA on a monthly basis through the Provider Management Regime Submission and is also reported in the Trusts monthly Quality and Performance Report. As reported in the month 6 Quality and Performance Report UHL's progress against the key milestones identified in the TFA is as follows:

Date	TFA Milestone	RAG (for future milestones)
Apr- Aug 2012	1) Engagement with stakeholders on principles underpinning LLR Reconfiguration Programme: Fully achieved on time	
Apr - Sept 2012	2) Development of LLR Clinical Strategy and Site and Service Reconfiguration Proposals: The LLR Better Care Together Programme has held two scenario planning workshops to bring together the LLR Clinical Strategy and future scenarios and site reconfiguration proposals. Timelines now need to be re-established and agreed with all programme stakeholders	
Jul 2012	3) Complete financial assessment of target health system model: The LLR financial and economic modelling work stream will be determined by the scenario planning workshops. Timelines now need to be re-established and agreed with all programme stakeholders	
Quarterly	4) Achievement of 2012/13 financial plan: YTD position is a £6.4m deficit which is £6.9m adverse to the £0.5m planned surplus	
Jun 2012	5) Complete Quality Governance Framework (QGF) / Board Governance Assurance Framework (BGAF) self assessments: The QGF and BGAF self assessments will be completed by the end of October 2012	
Jul 2012	6) Confirm specific LLR reconfiguration priorities over a 3 year time horizon: LLR Better Care Together priorities will be identified following the scenario planning workshops. Timelines are anticipated to be confirmed early November 2012	
Sept 2012	7) Draft pre-consultation Business Case considered by Trust Boards: Will not be delivered on time - timelines for development of a Case for Change and supporting Business Cases are anticipated to be confirmed early November 2012	
1 st Oct 2012	8) Pre-consultation Business Case and timelines for LLR service reconfigurations finalised: Will not be delivered on time - timelines for consultation are predicated by achievement of Milestones 2, 3 & 6	
1 st Oct 2012	9) UHL Clinical Strategy developed and preferred options costed: Will not be delivered on time - the service developments underpinning the Trusts Clinical Strategy will be costed as further iterations of the IBP / LTFM are developed	

Date	TFA Milestone	RAG (for future milestones)
31 st Oct 2012	10) Submit early draft IBP / LTFM to the SHA: On track to deliver	
Oct 2012	11) 3rd party review of self assessment against the QGF / BGAF: Will not be delivered on time - self assessments against the QGF and BGAF are taking place in October, 3rd party independent reviews will take place in November	
Oct – Dec 2012	12) Formal Consultation on LLR Reconfiguration Proposals: Risk to delivery within timescale. Timelines for consultation are predicated by achievement of milestones 2, 3, 6 & 8	
Oct 2012	13) SHA Board and Committee observation: On track to deliver	
1 st Dec 2012	14) Submit FT Application documents (including a draft IBP / LTFM) to the SHA: On track to deliver	
Mid Dec 2012	15) Readiness review meeting held: On track to deliver	
Jan 2013	16) HDD1 review: On track to deliver	
Mar – May 2013	17) Public consultation on FT Application: On track to deliver	
May 2013	18) HDD2 Review: On track to deliver	
2 nd Jul 2013	19) Final submission of FT Documentation to inform SHA sign off of FT application: On track to deliver	
Jul 2013	20) SHA / Trust Board to Board: On track to deliver	
1 st Aug 2013	21) Submit FT Application to the DoH: On track to deliver	

It should be noted that whilst the Trust is reporting red against four of the future TFA milestones, and amber against one, all are reported to be recoverable within the Trusts overall FT application trajectory.

4) Governance arrangements for the planning process

The Trust Board will be aware that the FT timeline is challenging and that significant pace and grip will be required to deliver against this timeline. The FT Programme Board, chaired by the Chief Executive, continues to meet weekly. The FT Programme Board is responsible, through the Chief Executive, for reporting on progress against the FT programme to the Trust Board and for ensuring that the FT Programme remains on track to deliver.

5) Recommendations

The Trust Board is asked to:

- Note the Trusts current status against the key milestones set out in the TFA.