

**Trust Board Paper U**

<b>To:</b>	Trust Board		
<b>From:</b>	John Adler, Chief Executive		
<b>Date:</b>	25 <sup>th</sup> July 2013		
<b>CQC regulation:</b>	N/A		
<b>Title:</b>	Update on UHL's FT application		
<b>Author/Responsible Director:</b> Helen Harrison, FT Programme Manager / John Adler, Chief Executive			
<b>Purpose of the Report:</b> This FT application update is intended to give an overview of where the Trust is in the Foundation Trust (FT) application process and provide assurance that the key products are being delivered on time.			
<b>The Report is provided to the Board for:</b>			
	Decision	<input type="checkbox"/>	
	Discussion	<input checked="" type="checkbox"/>	X
	Assurance	<input checked="" type="checkbox"/>	X
	Endorsement	<input type="checkbox"/>	
<b>Summary / Key Points:</b>			
<ul style="list-style-type: none"> <li>UHL's FT application timeline is set out in the Trust 2013/14 Annual Operating Plan</li> <li>The timeline would see an authorisation date of 1<sup>st</sup> April 2015</li> <li>This timeline pre-dates the approval model set out in guidance issued by the NHS Trust Development Authority (NTDA) in the form of 'Delivering High Quality Care for Patients - The Accountability Framework for NHS Trust Boards</li> <li>The FT application timeline was reviewed at the FT Programme Board on 9<sup>th</sup> Jul 2013 to ensure alignment with a number of internal and external interdependencies. Further discussions are to take place with the NTDA to agree the key milestones to be included in the NTDA 'Progressing to FT' monthly self certification submission</li> </ul>			
<b>Recommendations:</b>			
The Trust Board is:			
<ul style="list-style-type: none"> <li>Invited to <b>seek assurance</b> from executive colleagues in relation to the progress reported in the FT Progress Report for week ending 19<sup>th</sup> July 2013</li> <li><b>Note</b> that further discussions are to take place with the NTDA to agree the key milestones to be included in the NTDA 'Progressing to FT' monthly self certification submission</li> </ul>			
<b>Previously considered at another corporate UHL Committee?</b> FT application updates received fortnightly by the FT Programme Board			
<b>Strategic Risk Register:</b> Yes		<b>Performance KPIs year to date:</b> N/A	
<b>Resource Implications (eg Financial, HR):</b> No			
<b>Assurance Implications:</b> Yes			
<b>Patient and Public Involvement (PPI) Implications:</b> No			
<b>Stakeholder Engagement Implications:</b> Yes			
<b>Equality Impact:</b> None			
<b>Information exempt from Disclosure:</b> None			

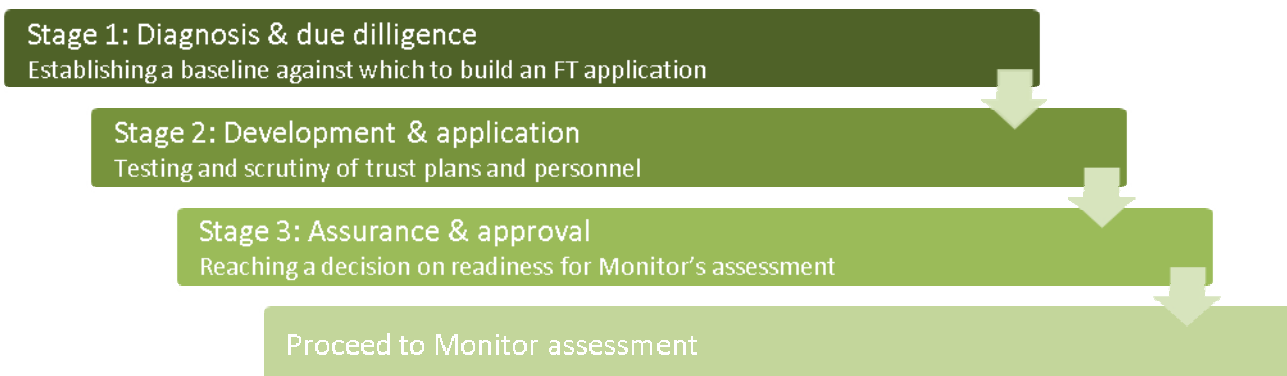
**Requirement for further review?** FT application updates to be presented to the Trust Board on a monthly basis

## University Hospitals of Leicester FT Progress Report: w/e 19<sup>th</sup> July 2013

This progress report is intended to give an overview of where the Trust is in the Foundation Trust (FT) application process and provide assurance that the key products are being delivered on time.

### The overarching FT timeline

In *Delivering High Quality Care for Patients: The Accountability Framework for NHS Trust Boards* the NHS Trust Development Authority (NTDA) set out three stages of development and assurance for FT applications:



### UHL's FT timeline – as set out in the Trust's 2013/14 Annual Operating plan

Date	High level milestones
21 <sup>st</sup> Jan – 1 <sup>st</sup> Feb 2013	HDD1 review
21 <sup>st</sup> Jan – 31 <sup>st</sup> Mar 2013	Better Care Together (BCT) economic modelling
1 <sup>st</sup> Mar – 23 <sup>rd</sup> Dec 2013	Cost, prioritise and plan the implementation of the Strategic Direction
7 <sup>th</sup> Jan – 23 <sup>rd</sup> Dec 2013	Develop multi year CIP plans inc quality impact assessments, project plans etc
5 <sup>th</sup> Aug – 28 <sup>th</sup> Oct 2013	BCT public consultation
21 <sup>st</sup> Oct – 12 <sup>th</sup> Dec 2013	2 <sup>nd</sup> independent review of the QGF
10 <sup>th</sup> Jan – 28 <sup>th</sup> Mar 2014	FT public consultation & UHL Strategic Direction consultation
10 <sup>th</sup> – 21 <sup>st</sup> Mar 2014	HDD2 review
27 <sup>th</sup> Jan – 20 <sup>th</sup> Mar 2014	2 <sup>nd</sup> independent review of the BGM
1 <sup>st</sup> Jul 2014	Submit final FT application documents to the NTDA
1 <sup>st</sup> Dec 2014 – 31 <sup>st</sup> Mar 2015	Monitor assessment (tbc – timescales subject to confirmation from the NTDA)
<b>1<sup>st</sup> Apr 2015</b>	<b>Potential authorisation date</b>

### Programme summary

#### FT application timeline:

The FT application timeline was reviewed at the FT Programme Board on 9<sup>th</sup> Jul 2013 to ensure alignment with a number of internal and external interdependencies. Further discussions are to take place with the NTDA to agree the key milestones to be included in the NTDA 'Progressing to FT' monthly self certification submission.

#### Update on Better Care Together:

A first report from the BCT interim Programme Director identifies some of the strengths and areas for improvement in relation to the BCT programme and puts forward a number of recommendations for consideration by the Chief Officers Group.

#### Strategic Transitional Support:

UHL's Annual Operating Plan sets out how we will deliver key operational and financial targets for 2013/14, but it does not deal with the recognised need for clinical and financial sustainability, the key

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drivers for which being:

- A configuration of acute services that has evolved in an incremental, fragmented manner and is no longer fit for purpose
- An underlying deficit, in part driven by the above
- Pressures on emergency care flows, that exacerbate and contribute to the deficit
- Protection of elective pathways from the capacity implications of an overheated emergency care process

In order to address the operational imperatives, to progress work on key strategic reconfiguration projects and to provide interim support in delivering our most demanding operational targets, UHL has initiated discussions with the TDA to secure transitional financial support.

The Trust Executive continue to work with commissioning organisations, and in particular with the Leicestershire and Lincoln Area Team, to that end. Of particular urgency is the development of a strategic business case for an expanded Emergency Department. In addition, we are submitting bids to local commissioners to be funded through the 2% non recurrent transformational fund held by commissioners to support and pump prime local improvement initiatives and improvement schemes, in line with the BCT programme.

**IBP/LTFM:** Executive Lead - Andrew Seddon    Work Stream Leads - Helen Seth, IBP  
 - Simon Sheppard, LTFM

**Progress update:**

*Sustainability:*

- 2013/14 transformation bids submitted
- Letter dated 9<sup>th</sup> May 2013 sent to NTDA / Local Area Team (LAT) setting out case for £15m of revenue support in 2013/14
- Paper submitted to the NTDA / LAT late May 2013 setting out:
  - A schematic view of the different work streams and dependencies
  - High level costs (capital and associated revenue) associated with priority reconfiguration plans
  - A draft timeline for business case development
- Draft process to support the delivery of 5 year CIPs submitted to the FT Programme Board on 9<sup>th</sup> Jul 2013. Further update to be presented at the July 2013 Finance & Performance Committee and the July 2013 Improvement and Innovation Board

*IBP/LTFM:*

- 2013/14 Annual Operating Plan approved by the NTDA, subject to four conditions
- UHL's response to the four conditions presented at the Jun 2013 Trust Board meeting
- Methodology for the development of the IBP Market Assessment and update on key enabling strategies presented at a Board development session on 18<sup>th</sup> Jul 2013

Key products (Stage 1 – Diagnosis & due diligence)	RAG (Deliverability)	Outstanding actions	Key milestones
Sustainability	5 (Complete)	• Submission of local transformation bids: <b>5<sup>th</sup> Jul 2013</b>	<b>5<sup>th</sup> Jul 2013</b> Submit bids
	5 (Complete)	• Strategic revenue bid: <b>31<sup>st</sup> May 2013</b> <ul style="list-style-type: none"> <li>○ Submission of 2<sup>nd</sup> strategic transitional support case</li> </ul>	<b>31<sup>st</sup> May 2013</b> Submit strategic revenue bid
	2 (Significant Delay)	• Reconfiguration Options Appraisal: <b>31<sup>st</sup> Oct 2013</b> <ul style="list-style-type: none"> <li>○ Delay in confirming / challenging planning assumptions between the McKinsey and Fynamore capacity models, refresh to 2012/13 outturn and confirmation of previous scenarios agreed - impacts on option appraisal milestone</li> </ul>	<del><b>30<sup>th</sup> Aug 2013</b></del> <b>31<sup>st</sup> Oct 2013</b> Completion of the Reconfiguration Options Appraisal
	2 (Significant)	• Board development session to review progress against development of the Reconfiguration	<del><b>15<sup>th</sup> Dec 2013</b></del> <b>28<sup>th</sup> Feb 2014</b>

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Key products (Stage 1 – Diagnosis & due diligence)	RAG (Deliverability)	Outstanding actions	Key milestones
	<b>Delay</b>	Strategic Outline Case (SOC): <b>June and Oct 2013</b> <ul style="list-style-type: none"> <li>Reconfiguration SOC: <b>28<sup>th</sup> Feb 2014</b></li> </ul>	Completion of the Reconfiguration SOC
IBP/LTFM	<b>4 (On Track)</b>	<ul style="list-style-type: none"> <li>Board development sessions to review progress against the development of the IBP/LTFM: <b>Jul, Sep, Oct, Dec 2013 and Jan 2014</b></li> <li>Submit IBP/LTFM for HDD2 review: <b>24<sup>th</sup> Feb 2014</b></li> <li>Board approve final IBP/LTFM: <b>26<sup>th</sup> Jun 2014</b></li> <li>Submit final FT application documents (inc IBP/LTFM) to NTDA: <b>1<sup>st</sup> Jul 2014</b></li> </ul>	<b>1<sup>st</sup> Jul 2014</b> Submit FINAL FT application docs to the NTDA
Resolution of HDD1 recommendations	<b>4 (On Track)</b>	<ul style="list-style-type: none"> <li>FT Programme Board review of full FT Integrated Development Plan: <b>6<sup>th</sup> Aug 2013</b></li> <li>Action HDD1 recommendations: <b>21<sup>st</sup> Feb 2014</b></li> </ul>	<b>21<sup>st</sup> Feb 2014</b> Submit IBP/LTFM for HDD2

<b>RAG Status Key:</b>	<b>5</b> Complete	<b>4</b> On Track	<b>3</b> Some Delay – expected to be completed as planned	<b>2</b> Significant Delay – unlikely to be completed as planned	<b>1</b> Not yet commenced
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Workforce: Executive Lead - Kate Bradley      Work Stream Lead - Emma Stevens

**Progress update:**

*Workforce Plan:*

- 2013-2018 Workforce Plan (dated Nov 2012) presented at the Dec 2012 Workforce and Organisational Development Committee and the Executive Team meeting on 18<sup>th</sup> Dec 2012
- 2013/14 workforce details submitted to NTDA as Annex E of the 2013/14 AOP
- Workforce details for 2013/14 reconciled against CIP Plans, commissioner activity plans and other key changes (e.g. QIPP Plans) and diagrammatically represented in a bridge analysis in the 2013/14 AOP
- 2013/14 Workforce Plan update presented at the Jun 2013 Finance & Performance Committee meeting

*Organisational Development Plan:*

- Organisational Development (OD) Plan first presented at the 29<sup>th</sup> Nov 2012 Trust Board meeting and approved at 28<sup>th</sup> Feb 2013 Trust Board meeting
- OD Plan/Workforce Plan update presented at the Jun 2013 Trust Board meeting, setting out Q1 progress against priorities, key actions for Q2, analysis against key HR performance measures, the workforce profile and pay bill and Key steps undertaken to improve efficiency and effectiveness of HR delivery

Key products (Stage 1 – Diagnosis & due diligence)	RAG (deliverability)	Outstanding actions	Key milestones
Workforce Plan	<b>4 (On Track)</b>	<ul style="list-style-type: none"> <li>Combined OD Plan / workforce update presented quarterly to the Board: <b>quarterly</b></li> <li>Submit final FT application documents (inc Workforce Plan) to NTDA: <b>1<sup>st</sup> Jul 2014</b></li> </ul>	<b>1<sup>st</sup> Jul 2014</b> Submit final FT application doc to the NTDA <b>Quarterly</b> Trust Board review progress against Workforce Plan
Organisational Development (OD) Plan	<b>4 (On Track)</b>	<ul style="list-style-type: none"> <li>Combined OD Plan / Workforce Plan update presented quarterly to the Board: <b>quarterly</b></li> </ul>	<b>Quarterly</b> Trust Board review progress against OD plan

<b>RAG Status Key:</b>	<b>5</b> Complete	<b>4</b> On Track	<b>3</b> Some Delay – expected to be completed as planned	<b>2</b> Significant Delay – unlikely to be completed as planned	<b>1</b> Not yet commenced
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Governance: Executive and Work Stream Lead – Stephen Ward

**Progress update:**

*Board Governance Memorandum (BGM):*

- Self assessment against the BGM presented at 29<sup>th</sup> Nov 2012 Trust Board meeting for approval

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- Capsticks / Good Governance Institute Alliance (GGIA) independent review of the Trust's self assessment against the BGM commenced Nov 2012
- Initial action plan developed, consolidating actions arising from:
  - The self-assessment against the BGM
  - The independent evaluation of Board effectiveness and Director capability conducted by Deloitte
  - A draft Board Development Plan, the interim version of which (prepared by Deloitte) was received by the Trust Board on 20<sup>th</sup> Dec 2012
  - Capsticks / GGIA interim report from their independent review of the Trust's self assessment against the BGM (as presented at 31<sup>st</sup> Jan 2013 Trust Board meeting)
- Final report from Capsticks / GGIA received end Jun 2013 (subject to Board comment/feedback) this will inform a revised set of recommendations/actions

*FT Integrated Development Plan:*

- Existing recommendations from the Capsticks / GGIA interim report (currently reflected in the Integrated Development Plan) superseded
- FT Integrated Development Plan recommendations / actions in relation to the BGM to be updated subject to Board comment / feedback on the final Capsticks / GGIA report
- Board Development Programme approved at the May 2013 Trust Board meeting
- Board effectiveness action plan to be presented at a future Board development session

Key products (Stage 1 – Diagnosis & due diligence)	RAG (deliverability)	Outstanding actions	Key milestones
Resolution of Capsticks/GGIA recommendations	4 (On Track)	<ul style="list-style-type: none"> <li>• Action Capsticks/GGIA recommendations</li> </ul>	<b>30<sup>th</sup> Nov 2013</b> Complete 2 <sup>nd</sup> BGM self assessment
2 <sup>nd</sup> self assessment against the BGM	4 (On Track)	<ul style="list-style-type: none"> <li>• Board development session to review progress against the BGM action plan: <b>Jun 2013</b></li> <li>• Complete 2<sup>nd</sup> BGM self assessment: <b>Oct - Nov 2013</b></li> <li>• Board development session to approve the 2<sup>nd</sup> BGM self assessment: <b>Nov 2013</b></li> <li>• Board approve 2<sup>nd</sup> BGM self assessment: <b>19<sup>th</sup> Dec 2013</b></li> </ul>	<b>19<sup>th</sup> Dec 2013</b> Board approve 2 <sup>nd</sup> BGM self assessment
2 <sup>nd</sup> independent review of the self assessment against the BGM	4 (On Track)	<ul style="list-style-type: none"> <li>• 2<sup>nd</sup> independent review of the self assessment against the BGM: <b>Jan - Mar 2014</b></li> <li>• Board confirm &amp; challenge 2<sup>nd</sup> independent review of the self assessment against the BGM: <b>27<sup>th</sup> Mar 2014</b></li> <li>• Board approve independent review of the self assessment against the BGM: <b>24<sup>th</sup> Apr 2014</b></li> </ul>	<b>24<sup>th</sup> Apr 2014</b> Board approve 2 <sup>nd</sup> independent review of the Trust's BGM self assessment

<b>RAG Status Key:</b>	5	Complete	4	On Track	3	Some Delay – expected to be completed as planned	2	Significant Delay – unlikely to be completed as planned	1	Not yet commenced
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Quality: Executive Lead – Kevin Harris

Work Stream Lead - Sharron Hotson

**Progress update:**

*Quality Commitment:*

- Quality Commitment presented at the Dec 2012 Trust Board meeting for approval
- Quarterly updates received by the Quality Assurance Committee from Jan 2013 onwards
- Quality Action Groups established, comprising frontline clinical, operational, managerial support staff and the Trust Board
- Trust Board presentations on seven focus areas held in Mar and Apr 2013
- Action plans for delivery against the seven 2013 priority focus areas developed
- June 2013 Chief Executive Special Briefing on the Quality Commitment
- Quality Commitment comms plan developed
- Quality Commitment a key improvement priority in the 2013/14 AOP

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- Dashboard aligned to the Quality Commitment to be included in the Q&P Report from Jul 2013 onwards
- Quality Governance Framework (QGF):*
- RSM Tenon independent review of the Trust’s self assessment against the QGF commenced Nov 2012
  - Action plan to address gaps identified from the self assessment and recommendations from the draft RSM Tenon report presented at the Dec 2012 Trust Board meeting
  - Final RSM Tenon report presented at a Board development session on 31<sup>st</sup> Jan 2013
  - QGF Trust Board development session held on 24<sup>th</sup> Jun 2013
  - Board members and QGF leads to complete second QGF self assessment by end Jul 2013

*SHA Quality Review:*

- SHA led quality review undertaken on 4<sup>th</sup> & 5<sup>th</sup> Feb 2013
- Recommendations from the review were received on 2<sup>nd</sup> Apr 2013 and shared with the Board

*FT Integrated Development Plan:*

- Actions to address the final RSM Tenon and SHA quality review recommendations captured in the FT Integrated Development Plan were:
  - reviewed at the FT Programme Board meeting on 30<sup>th</sup> Apr 2013 and at a Board development session on 18<sup>th</sup> Jul 2013
  - received at the Quality Assurance Committee in May 2013

Key products (Stage 1 – Diagnosis & due diligence)	RAG (deliverability)	Outstanding actions	Key milestones
Resolution of RSM Tenon / SHA quality review recommendations	4 (On Track)	<ul style="list-style-type: none"> <li>• Action RSM Tenon / SHA quality review recommendations</li> </ul>	<b>31<sup>st</sup> Aug 2013</b> Complete 2 <sup>nd</sup> QGF self assessment
2 <sup>nd</sup> self assessment against the QGF	4 (On Track)	<ul style="list-style-type: none"> <li>• Board development session to review progress against the QGF action plan: <b>Jun and Jul 2013</b></li> <li>• Complete 2<sup>nd</sup> self assessment: <b>Jun - Jul 2013</b></li> <li>• Board development session to approve the 2<sup>nd</sup> QGF self assessment: <b>29<sup>th</sup> Aug 2013</b></li> <li>• Board approve 2<sup>nd</sup> QGF self assessment: <b>26<sup>th</sup> Sep 2013</b></li> </ul>	<b>26<sup>th</sup> Sep 2013</b> Board approve 2 <sup>nd</sup> QGF self assessment
2 <sup>nd</sup> independent review of the self assessment against the QGF	4 (On Track)	<ul style="list-style-type: none"> <li>• 2<sup>nd</sup> independent review of the self assessment against the QGF: <b>Oct – Dec 2013</b></li> <li>• Board confirm &amp; challenge 2<sup>nd</sup> independent review of the QGF self assessment: <b>Nov 2013</b></li> <li>• Board approve independent review of the self assessment against the QGF: <b>19<sup>th</sup> Dec 2013</b></li> </ul>	<b>19<sup>th</sup> Dec 2013</b> Board approve 2 <sup>nd</sup> independent review of the Trust’s QGF self assessment

<b>RAG Status Key:</b>	5	Complete	4	On Track	3	Some Delay – expected to be completed as planned	2	Significant Delay – unlikely to be completed as planned	1	Not yet commenced
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Comms, engagement and membership: Executive Lead - Mark Wightman  
Work Stream Lead: Karl Mayes & Tiffany Jones

**Progress update:**

- The FT Comms and Engagement Strategy, draft Public Consultation Document and Stakeholder Engagement Strategy were presented at the Jan 2013 Trust Board meeting

Key products (Stage 1 – Diagnosis & due diligence)	RAG (deliverability)	Outstanding actions	Key milestones
Member and Governor development Strategy	4 (On Track)	<ul style="list-style-type: none"> <li>• Board approve updated Member and Governor development Strategy: <b>tbc</b></li> </ul>	<b>tbc</b>
FT Comms and Engagement Strategy	4 (On Track)	<ul style="list-style-type: none"> <li>• Board review updated FT Comms and Engagement Strategy: <b>31<sup>st</sup> Oct 2013</b></li> </ul>	<b>Jan - Mar 2014</b> FT public consultation

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Key products (Stage 1 – Diagnosis & due diligence)	RAG (deliverability)	Outstanding actions	Key milestones
Public consultation	4 (On Track)	<ul style="list-style-type: none"> <li>Board review updated draft public consultation document: <b>31<sup>st</sup> Oct 2013</b></li> <li>Public consultation: <b>Jan - Mar 2014</b></li> </ul>	<b>Jan - Mar 2014</b> FT public consultation
Strategic Direction consultation	4 On Track)	<ul style="list-style-type: none"> <li>Board review draft Strategic Direction consultation document: <b>31<sup>st</sup> Oct 2013</b></li> <li>Strategic Direction consultation: <b>Jan - Mar 2014</b></li> </ul>	<b>Jan - Mar 2014</b> Strategic Direction consultation

<b>RAG Status Key:</b>	5	Complete	4	On Track	3	Some Delay – expected to be completed as planned	2	Significant Delay – unlikely to be completed as planned	1	Not yet commenced
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**Horizon scanning**



Health sector regulator puts [six foundation trusts in special measures](#)

[Investigation launched](#) into governance at The Robert Jones and Agnes Hunt Orthopaedic Hospital NHS Foundation Trust

[Frequently asked questions](#) on integrated care

Bulletin: [25<sup>th</sup> June 2013](#)

Monitor [announces investigation](#) into governance at Tees, Esk and Wear Valleys

[Call for evidence](#) on general practice services sector in England



[The Strategic Landscape for NHS FTs and Trusts](#)

FTN conference 21 June 2013 – presentations:

- [The journey to FT strategic policy context](#)
- [NTDA the FT application system](#)
- [Lessons for Board development](#)
- [Kingston the road to FT](#)

Networked: [28<sup>th</sup> Jun 2013](#)      [11<sup>th</sup> Jul 2013](#)