

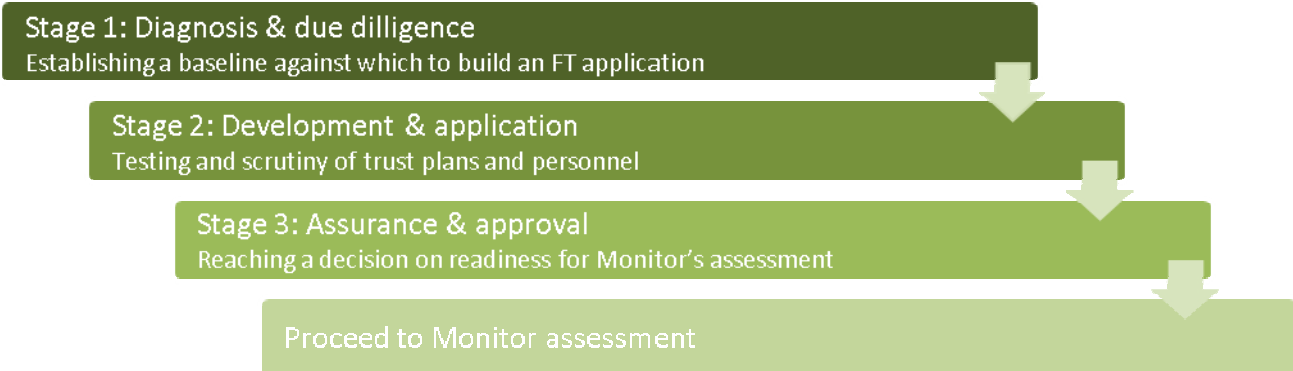
Trust Board Paper W

To:	Trust Board										
From:	John Adler, Chief Executive										
Date:	26 th September 2013										
CQC regulation:	N/A										
Title:	Update on UHL's FT application										
Author/Responsible Director: Helen Harrison, FT Programme Manager / John Adler, Chief Executive											
Purpose of the Report: 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.											
The Report is provided to the Board for:											
<table border="1"> <tr> <td>Decision</td> <td><input type="checkbox"/></td> </tr> <tr> <td>Assurance</td> <td><input checked="" type="checkbox"/></td> </tr> </table>		Decision	<input type="checkbox"/>	Assurance	<input checked="" type="checkbox"/>	<table border="1"> <tr> <td>Discussion</td> <td><input checked="" type="checkbox"/></td> </tr> <tr> <td>Endorsement</td> <td><input type="checkbox"/></td> </tr> </table>		Discussion	<input checked="" type="checkbox"/>	Endorsement	<input type="checkbox"/>
Decision	<input type="checkbox"/>										
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Summary / Key Points:											
<ul style="list-style-type: none"> This months FT Progress Report includes some of the key points of note from a recent Foundation Trust Network (FTN) publication, which sets out to bring together intelligence from a number of sources, in relation to the future of the FT pipeline. A link to the full FTN briefing can be found in the Horizon scanning section of the progress report. The key milestones and checkpoints within the exiting FT application timeline will be reviewed in light of the insight provided by the FTN briefing paper and the outcome of this review will be reflected in the FT update to the October Trust Board meeting. In the mean time the Trust continues to progress the existing FT application timeline 											
Recommendations:											
The Trust Board is:											
<ul style="list-style-type: none"> Invited to seek assurance from executive colleagues in relation to the progress reported in the FT Progress Report for week ending 13th September 2013 											
Previously considered at another corporate UHL Committee? FT application updates received fortnightly by the FT Programme Board											
Strategic Risk Register: Yes		Performance KPIs year to date: N/A									
Resource Implications (eg Financial, HR): No											
Assurance Implications: Yes											
Patient and Public Involvement (PPI) Implications: No											
Stakeholder Engagement Implications: Yes											
Equality Impact: None											
Information exempt from Disclosure: None											
Requirement for further review? FT application updates to be presented to the Trust Board on a monthly basis											

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:



Programme summary

The FT pipeline

A recent publication by the Foundation Trust Network (FTN) sets out to bring together intelligence from a number of sources, in relation to the future of the FT pipeline. A link to the full briefing can be found in the Horizon scanning section of this progress report. Key points of note include:

Policy intent:-

- The Government's formal policy position is that it is committed to an all FT provider sector
- Two recent media comments have cast doubt on the previous commitment that all trusts should attain FT status by April 2014
- The FTN's interpretation is that:
 - There are the early signs of 'where next', policy wise
 - An obvious avenue for this is the provider landscape element of the NHS England 10 year strategy process which will start in the Autumn

Risk appetite post Francis and Keogh Review:-

- Post Francis and post Keogh, both Monitor and the NTDA are significantly more risk aware
- The practical impact of this is the increased likelihood of a longer and more rigorous FT pipeline process, with a greater emphasis on getting a robust seal of approval from CQC on quality issues and fewer trusts that are perceived to carry higher levels of risk getting through the pipeline

Trust segmentation and progress through the FT pipeline:-

The FTN suggest that aspirant trusts are largely divided into three groups:

1. Those trusts that are capable of getting through the pipeline
2. Those who aren't capable of getting through the pipeline in their current form
3. Those who sit in the middle

The FTN's analysis of each group is as follows:

1. 'Those capable of getting through the pipeline' - The FTN suggest that the NTDA are working hard to align the system as a whole in support of these trusts making as rapid progress to FT status as possible
2. 'The middle' - the FTN suggest that the reduced risk appetite seems to affect this group the most. The sense being that trusts carrying risk are now more likely to be pushed into the "not authorisable in their current form" group
3. 'Those who aren't capable of authorisation in their current form' - The FTN suggest that:
 - The NTDA may need to develop a more systematic and resource intensive approach to supporting

these trusts to get to the right solution

- The longer this group exists and the larger it is, the more likely policy makers will seek alternatives to an all FT sector

The operation of the pipeline in the new structure:-

It is the FTN's view that:

- It is taking a little time for Monitor and the NTDA to align on how the pipeline should now operate
- The NTDA's aim is to significantly increase the percentage of first time, straight through, Monitor authorisations
- The NTDA were keen to give much greater clarity to each trust on its own timeline. This detail was expected before the summer break but the issues around the new CQC inspection regime appear to have delayed this

The FTN indicate that they will be keeping a close eye on the interaction between FT authorisation, the worsening NHS financial position and the current performance problems faced by many trusts. They suggest that whilst the FT authorisation bar has remained at the same height, there is a sense of the ground falling away as the overall strategic provider position deteriorates. At its most pessimistic, this could lead to large numbers of trusts not being able to attain FT status for a decade or more. They suggest that possible solutions include lowering the authorisation threshold to enable trusts to benefit from FT status but then increasing the degree of oversight and monitoring as part of the Monitor risk assessment framework.

The new CQC inspection regime and the FT pipeline:-

In June the new CQC Chair publicly stated that the current CQC inspection process was not fit for purpose. One of the consequences of this is that it has become difficult for Monitor to rely on current CQC inspections for assurance on the sustainable quality of a trust's service delivery. The new CQC inspection regime should resolve this problem but there is the prospect of some delay for all trusts at the front of the pipeline and many non acute trusts.

Summary:-

The FTN suggest that aspirant trusts need to keep their eye firmly on 'the prize' and suggest that whilst the FT pipeline is in a state of flux with decreased risk appetite, the impact of the new CQC inspection regime and the deteriorating financial and performance environment for providers, it's important for trusts not to be distracted from the core task.

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

Progress update:

Sustainability:

- Definition of sustainability and methodology for the Market Assessment presented and discussed at the 18th Jul 2013 Board Development Session
- Market Assessment methodology and identification of the 'vital few' expected to make the biggest contribution to the sustainability of the organisation, to be subject to further detailed analysis, which in turn will inform the market strategy for those specialties

2013/14 Annual Operating Plan (AOP):

- Quarterly update on progress against the 2013/14 AOP presented at the Aug 2013 Trust Board. The next update will be presented at the Oct 2013 Trust Board meeting

IBP/LTFM:

- Trust Board development session held on 18th Jul 2013 to:
 - Review and endorse refreshed SWOT/PESTLE and IBP Market Assessment methodology
 - Confirm & challenge the impact on the key enabling strategies
 - Present the methodology and approach to the development of 5 year CIPs
- Revised governance structure established to oversee the strategic planning process across the Trust (Strategic Planning Group reporting to FT Programme Board and ET)
- Multidisciplinary Business and Strategy Support Team (BSST) established

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- Draft Strategic Planning Process presented to the 10th Sept Executive Strategy Board
- Approach to generating 5 year CIP plans discussed at the 11th Sept 2013 Improvement and Innovation Framework Board

Key products (Stage 1 – Diagnosis & due diligence)	RAG (Deliverability)	Outstanding actions	Key milestones
Sustainability	5 (Complete)	<ul style="list-style-type: none"> • Submission of local transformation bids: 5th Jul 2013 	5th Jul 2013 Submit bids
	5 (Complete)	<ul style="list-style-type: none"> • Strategic revenue bid: 31st May 2013 <ul style="list-style-type: none"> ○ Submission of 2nd strategic transitional support case 	31st May 2013 Submit strategic revenue bid
	2 (Significant Delay)	<ul style="list-style-type: none"> • Reconfiguration Options Appraisal: 31st Oct 2013 <ul style="list-style-type: none"> ○ Delay in confirming / challenging planning assumptions between the McKinsey and Fynamore capacity models and bed forecast ○ Delay in agreeing the options to appraised ○ Impact on option appraisal milestone 	30th Aug 2013 31st Oct 2013 Completion of the Reconfiguration Options Appraisal
	2 (Significant Delay)	<ul style="list-style-type: none"> • Board development session to review progress against development of the Reconfiguration Strategic Outline Case (SOC): Jun, Aug and Oct 2013 • Reconfiguration SOC: 28th Feb 2014 	15th Dec 2013 28th Feb 2014 Completion of the Reconfiguration SOC
IBP/LTFM	4 (On Track)	<ul style="list-style-type: none"> • Guidance to support the development of 5 year CIPs: proposed and signed off at Jul 2013 TB development session • Parameters shared with divisions via the DFPM's. 1st cut years 1 and 2 to be considered at the CIP Delivery Board: end Sep 2013 • Final cut 5 year CIP plans to be integrated into IBP and LTFM: Dec 2013 • Board development sessions to review progress against the development of the IBP/LTFM: Jul, Sep, Oct, Dec 2013 and Jan 2014 • Submit IBP/LTFM for HDD2 review: 24th Feb 2014 • Board approve final IBP/LTFM: 26th Jun 2014 • Submit final FT application documents (inc IBP/LTFM) to NTDA: 1st Jun 2014 	1st Jun 2014 Submit FINAL FT application docs to the NTDA
Resolution of HDD1 recommendations	4 (On Track)	<ul style="list-style-type: none"> • FT Programme Board review of full FT Integrated Development Plan: 6th Aug 2013 • Action HDD1 recommendations: 21st Feb 2014 	21st Feb 2014 Submit IBP/LTFM for HDD2

RAG Status Key:	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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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 18th 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

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Organisational Development Plan:

- Organisational Development (OD) Plan first presented at the 29th Nov 2012 Trust Board meeting and approved at 28th 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	4 (On Track)	<ul style="list-style-type: none"> • Combined OD Plan / workforce update presented quarterly to the Board: quarterly • Submit final FT application documents (inc Workforce Plan) to NTDA: 1st Jun 2014 	1st Jun 2014 Submit final FT application docs to NTDA Quarterly Trust Board review progress against Workforce Plan
Organisational Development (OD) Plan	4 (On Track)	<ul style="list-style-type: none"> • Combined OD Plan / Workforce Plan update presented quarterly to the Board: quarterly 	Quarterly Trust Board review progress against OD plan

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Governance: Executive and Work Stream Lead – Stephen Ward

Progress update:

Board Governance Memorandum (BGM)/ Board Governance Assurance Framework (BGAF):

- Final report from the Capsticks / Good Governance Institute Alliance (GGIA) independent review of the Trust's self assessment against the BGM/ BGAF received end Jun 2013
- Board development session held on 15th Aug 2013 to review the recommendations and agree the associated actions
- Project plan to reflect the final Capsticks / GGIA recommendations developed
- Revised FT Board Development Programme to be reviewed at the 17th Sept 2013 FT Programme Board

FT Integrated Development Plan:

- Recommendations from the Capsticks / GGIA interim report (currently reflected in the Integrated Development Plan) superseded
- FT Integrated Development Plan to be updated following the outcome of the 15th Aug 2013 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"> • Board development session to review Capsticks/GGIA recommendations and agree action plan - 15th Aug 2013 	15th Aug 2013 Agree BGM/BGAF action plan
2 nd self assessment against the BGM/BGAF	4 (On Track)	<ul style="list-style-type: none"> • Board development session to review progress against the BGM/BGAF action plan: Jun & Aug 2013 • Complete 2nd BGM/BGAF self assessment: Oct - Nov 2013 • Board development session to approve the 2nd BGM/NBGAF self assessment: Nov 2013 • Board approve 2nd BGM/BGAF self assessment: 19th Dec 2013 	30th Nov 2013 Complete 2 nd BGM/BGAF self assessment 19th Dec 2013 Board approve 2 nd BGM/BGAF self assessment
2 nd independent review of the self assessment against the BGM/BGAF	4 (On Track)	<ul style="list-style-type: none"> • 2nd independent review of the self assessment against the BGM/BGAF: Jan - Mar 2014 • Board confirm & challenge 2nd independent 	24th Apr 2014 Board approve 2 nd independent review of the Trust's

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Key products (Stage 1 – Diagnosis & due diligence)	RAG (deliverability)	Outstanding actions	Key milestones
		review of the self assessment against the BGM: 27th Mar 2014 <ul style="list-style-type: none"> Board approve independent review of the self assessment against the BGM/BGAF: 24th Apr 2014 	BGM/BGAF self assessment
RAG Status Key:	5 Complete	4 On Track	3 Some Delay – expected to be completed as planned
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Quality: Executive Lead – Rachel Overfield Work Stream Lead - Sharron Hotson

Progress update:

Quality Commitment:

- Quality Commitment approved in Dec 2012
- 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 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
- Dashboard aligned to the Quality Commitment to be included in the Q&P Report from Jul 2013 onwards
- Quality Commitment feature to be included in Together magazine
- Full Quality Commitment published in electronic format on InSite
- Quality Commitment briefing circulated with Aug 2013 staff payslips
- Quality Commitment video to be produced
- Temperature check (on line survey) to be undertaken concurrently with the ‘hard’ launch of the Quality Commitment in Oct 2013

Quality Governance Framework (QGF):

- Final report from the RSM Tenon independent review of the Trust’s self assessment against the QGF received 31st Jan 2013
- QGF Trust Board development sessions held on 24th Jun 2013 and 18th Jul 2013
- QGF element of the FT application timeline reviewed at the 23rd Jul 2013 FT Programme Board in response to the issues raised at the 18th Jul 2013 Board development session
- Outcome of this review is reflected in the overall FT application timeline
- Project plan to reflect the revised QGF timeline developed
- Meeting held with Internal Auditors to scope input into the QGF self assessment process

SHA Quality Review:

- SHA led quality review undertaken on 4th & 5th Feb 2013, recommendations received on 2nd Apr 2013 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 30th Apr 2013 FT Programme Board and 18th Jul 2013 Board development session
 - received at the 21st May 2013 Quality Assurance Committee

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"> Action RSM Tenon / SHA quality review recommendations 	31st Aug 2013 31st Nov 2013 Complete 2 nd QGF self assessment

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Key products (Stage 1 – Diagnosis & due diligence)	RAG (deliverability)	Outstanding actions	Key milestones
2 nd self assessment against the QGF	4 (On Track)	<ul style="list-style-type: none"> Board development session to review progress against the QGF action plan: Jun and Jul 2013 Jun and Nov 2013 Complete 2nd self assessment: Jun – Jul 2013 Oct – Nov 2013 Board development session to approve the 2nd QGF self assessment: 29th Aug 2013 21st Nov 2013 Board approve 2nd QGF self assessment: 26th Sep 2013 19th Dec 2013 	<p style="text-align: center;">26th Sep 2013 19th Dec 2013</p> <p>Board approve 2nd QGF self assessment</p>
2 nd independent review of the self assessment against the QGF	4 (On Track)	<ul style="list-style-type: none"> 2nd independent review of the self assessment against the QGF: Oct – Dec 2013 Jan – Mar 2014 Board confirm & challenge 2nd independent review of the QGF self assessment: Nov 2013 13th Mar 2014 Board approve independent review of the self assessment against the QGF: 19th Dec 2013 27th Mar 2014 	<p style="text-align: center;">19th Dec 2013 27th Mar 2014</p> <p>Board approve 2nd independent review of the Trust's QGF self assessment</p>

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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
- Governor Engagement and Development Plan reviewed at 20th Aug 2013 FT Programme 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"> Board development session on Council of Governors: Nov 2013 Board approve updated Member and Governor Development Strategy: tbc 	tbc
FT Comms and Engagement Strategy	4 (On Track)	<ul style="list-style-type: none"> Board development session on internal and external stakeholders: Oct 2013 Board review updated FT Comms and Engagement Strategy: 31st Oct 2013 	<p style="text-align: center;">Jan - Mar 2014</p> <p>FT public consultation</p>
Public consultation	4 (On Track)	<ul style="list-style-type: none"> Board review updated draft public consultation document: 31st Oct 2013 Public consultation: Jan - Mar 2014 	<p style="text-align: center;">Jan - Mar 2014</p> <p>FT public consultation</p>
Strategic Direction consultation	4 (On Track)	<ul style="list-style-type: none"> Board review draft Strategic Direction consultation document: 31st Oct 2013 Strategic Direction consultation: Jan - Mar 2014 	<p style="text-align: center;">Jan - Mar 2014</p> <p>Strategic Direction consultation</p>

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Horizon scanning



Monthly News Update: [Aug 2013](#)

Bulletin: [28 Aug 2013](#)

[Risk assessment framework](#)

Monitor sets out [new approach](#) to key aspects of how it regulates the health sector

Monitor to hold [roundtable discussions](#) on GP services

Monitor launches [investigation](#) following abuse of a patient treated at Calderstones Partnership NHS Foundation Trust



Networked: [6 Sept 2013](#)

[This Week Next Week](#)

Inside Track: [Aug 2013](#)



George Elliot hospital receives the [green light](#) for its plans for the future

TB Development Session outstanding actions

Date:	Topics	Actions status
24 th June 2013	QGF	10 actions completed 1 action on track
	Emergency Department Strategic Outline Case	2 actions complete 3 actions on track
	Site Reconfiguration Programme	2 action complete 3 actions on track
	BGM	All actions completed
18 th July 2013	Market Assessment	All actions on track
	Enabling Strategies	Action on track
	QGF	2 actions complete 2 actions on track
15 th August 2013	BGM	2 actions complete 16 actions on track 1 action with significant delay: Specification for the Board Effectiveness Review now to be presented at the September 2013 Trust Board meeting
	Site Reconfiguration Programme	1 action complete 2 action on track