

Roadmap assurance report

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Trust Board paper H1

Purpose of report:

This paper is for:	Description	Select (X)
Decision	To formally receive a report and approve its recommendations OR a particular course of action	
Discussion	To discuss, in depth, a report noting its implications without formally approving a recommendation or action	
Assurance	To assure the Board that systems and processes are in place, or to advise a gap along with treatment plan	X
Noting	For noting without the need for discussion	

Previous consideration:

Meeting	Date	Please clarify the purpose of the paper to that meeting using the categories above
CMG Board (specify which CMG)		
Executive Board		
Trust Board Committee		
Trust Board		

Executive Summary

Context

In August 2020, due to continuing financial challenges, UHL was placed into Financial Special Measures (Now called the Recovery Support Programme “RSP”) by the regulator, NHS Improvement. With support of the Financial Improvement Director UHL created a roadmap to sustainable financial improvement which details the actions needed to meet the exit criteria to exit RSP. Progress against this roadmap is overseen on a weekly basis in the RSP Exit Steering Group chaired by the CFO. This monthly report of progress is reported to EFBP, FIC and the Trust Board.

The March report on progress against the roadmap is in appendix 1 setting out:

- A. Recent progress
- B. Key risks
- C. Roadmap actions

Questions

1. What progress is there on delivery against the roadmap?

All actions in the roadmap have been reviewed in month to ensure they are focused towards the necessary actions to exit RSP.

Most significantly in month the 2019/20 accounts have been adopted by the Board. Progress is being made on developing a credible financial plan for 2022/23 and plans in place for developing the medium term financial plan once this is complete.

2. Are there any significant risks to delivery?

The 2020/21 accounts audit is underway and the finance team most closely associated with this is under significant pressure to ensure delivery to timescales. Regular review is in place with the senior finance team overseeing delivery and prioritisation.

Input sought

We would welcome the Trust board's input on progress on delivery of the roadmap and the key risks to delivery of the roadmap.

For Reference:

This report relates to the following UHL quality and supporting priorities:

1. Quality priorities

Safe, surgery and procedures	No
Improved Cancer pathways	No
Streamlined emergency care	No
Better care pathways	No
Ward accreditation	No

2. Supporting priorities:

People strategy implementation	No
Investment in sustainable Estate and reconfiguration	No
e-Hospital	No
Embedded research, training and education	No
Embed innovation in recovery and renewal	No
Sustainable finances	Yes

3. Equality Impact Assessment and Patient and Public Involvement considerations:

- What was the outcome of your Equality Impact Assessment (EIA)? **N/A**
- Briefly describe the Patient and Public Involvement (PPI) activities undertaken in relation to this report, or confirm that none were required **N/A**
- How did the outcome of the EIA influence your Patient and Public Involvement? **N/A**

- If an EIA was not carried out, what was the rationale for this decision? **Not directly relevant at this stage**

4. Risk and Assurance

Risk Reference:

Does this paper reference a risk event?	Select (X)	Risk Description:
Strategic: Does this link to a Principal Risk on the BAF?	X	PR4: Financial Sustainability
Organisational: Does this link to an Operational/Corporate Risk on Datix Register		
New Risk identified in paper: What type and description ?		
None		

5. Scheduled date for the **next paper** on this topic: March 2022
6. Executive Summaries should not exceed **5 sides** My paper does comply



Roadmap to Sustainable Financial Improvement: March 2022 Overview Report

Index

- A. Recent progress
- B. Key risks
- C. Roadmap actions

One team shared values



A. Recent Progress

- The Trust has approved and adopted the accounts from 2019/20
- The Financial Improvement Group (FIG) was refreshed in March 2022 to be called the RSP Exit Steering Group. Updated terms of reference were agreed which include the following changes:
 - NHSE/I regional colleagues and system colleagues attend on a monthly basis
 - Director of Corporate and Legal Affairs attendance to focus on governance improvement
- RSP Exit Roadmap:
 - The RSP Exit Steering Group has reviewed the 92 remaining actions on the Roadmap to sustainable financial improvement
 - The National Intensive support team from NHSE/I have supported this review
 - Of the 92 actions many were superseded or covered elsewhere and a focussed list of 20 remaining actions has been agreed (see appendix C)
 - The 20 remaining actions have been mapped against the RSP exit criteria and focus on the key things UHL still has to complete in order to ensure successful exit from RSP
 - Meetings are being held with action senior responsible officers (SRO's) and action owners to firm up action due dates and track action progress
- An RSP review meeting chaired by NHSE/I national colleagues took place on the 22nd of March 2022

B. Key risks: March 2022

	Risk	RAG Dec	RAG Jan	RAG Feb	RAG Mar	Mitigation	Owner	Delivery date
1	2019/20 Accounts. The 2019/20 financial accounts have not yet been signed.	R	R	A	G	The Trust adopted the 2019/20 accounts on 31 st March 2022	(SRO) Mark Brice / (AO) Simon Linthwaite	31 March 2022
2	2020/21 Accounts. The 2020/21 financial accounts have not yet been signed.	R	R	A	A	The Trust continues to work closely with key stakeholders, in particular NHSE/I National and Regional finance leads and external audit. The relevant elements of UHL's finance team continue to prioritise 2019/20 and 2020/21 accounts. The Trust is working towards adoption of the accounts at the Board on 5 th May 2022	(SRO) Mark Brice / (AO) Simon Linthwaite	May 2022
3	Medium Term Financial Plan. The MTFP is a complex and significant programme of work for UHL. There is a risk there is a risk insufficient progress is made in its development or the scope, resourcing or timeframes are not agreed by all relevant stakeholders.	A	A	A	A	The MTFP will be split into phases: (i) 2022/23 plan, (ii) Year 2-5 and then (iii) Year 5 onwards (Reconfiguration). Planning for 2022/23 is underway in line with national planning deadlines, including clarification and agreement of the underlying position. Following this, work will begin updating projections for the later years with development of programmes of work that will deliver financial improvement both internally and with system colleagues. The timelines for this are under review and also being discussed with NHSE/I.	(SRO) Lorraine Hooper / (AO) Jonathan Shuter	TBC
4	System-wide Recovery Planning There are significant financial and operational challenges across the system. While system working has developed significantly there remains a risk this could impact	A	A	A	A	The UHL plan is being developed alongside the system financial plan for 2022/23, incorporating the same assumptions and with clear understanding of risk. System planning group is in place to oversee and support the plan development and the transformation schemes required. External support from PWC has been secured to support in the development of a system PMO to drive development of the system efficiencies. System working and relationships are also being developed more widely including on the emergency pathway	(SRO) Lorraine Hooper / (AO) Jonathan Shuter	February 2022
	Grip and Control. This is a crucial area underpinning financial improvement and there is a risk with competing pressures from the financial accounts progress it not sufficient.	G	G	G	G	A report went to EFPB in December showing over 90% of grip and control checklist actions are now complete. The report was also forwarded to the audit committee in January 2022. Assurance will be sought for activities that will remain open post March 2022 via appropriate forums. Grip and control KPI's are now monitored monthly to assist in ensuring existing progress and trajectory is not lost. A final paper detailing how these actions will be sustained and formal closure of the specific programme is planned for May	(SRO) Jonathan Shuter / (AO) Tim Moore	31 March 2022
6	Operational Pressures Operational pressures over Winter and with COVID may impact on delivery of the overall roadmap to sustainable financial improvement. In particular activities that require clinical staff involvement such as planning for 2022/23.	A	A	G	G	The RSP steering group chaired by the CFO and attended by senior finance team members, the COO, the Director of Transformation and the national intensive support team from NHSE/I monitor progress and risks on a weekly basis. Risks are escalated through executive committees as needed. Formal monthly meetings are held with NHSE/I on progress on financial improvement.	(SRO) Richard Mitchell / (AO) Simon Pizzey	31 March 2022

C. Roadmap actions (1 of 2)

Ref	Exit criteria	Topic	Action	SRO	Action owner	STATUS	END DATE	Evidence Status
1	1. Delivery against agreed financial recovery plan	22/23 plan	22/23 plan agreed with system and NHSE/I	Lorraine Hooper	Jonathan Shuter	On track	28/04/2022	Not due yet
2	1. Delivery against agreed financial recovery plan	22/23 plan	UHL delivers against the 22/23 financial plan	Lorraine Hooper	Jonathan Shuter	On track	31/03/2023	Not due yet
3	1. Delivery against agreed financial recovery plan	22/23 plan	Review by NHSE/I of 22/23 plan including focussed work on risk areas such as CIPs	Lorraine Hooper	Jonathan Shuter	TBC	31/04/2021	Not due yet
4	1. Delivery against agreed financial recovery plan	22/23 plan	UHL develops and improves its understanding of its productivity. (following national analysis from NHSE/I)	Moira Durbridge	Ben Shaw	On track	30/05/2022	Not due yet
5	1. Delivery against agreed financial recovery plan	MTFP	Approach and timeline for MTFP agreed with NHSE/I and UHL board	Lorraine Hooper	Jonathan Shuter	On track	31/04/2022	Not due yet
6	1. Delivery against agreed financial recovery plan	MTFP	Develop the MTFP by the agreed timeline	Lorraine Hooper	Jonathan Shuter	TBC	TBC	Not due yet
7	2. Robust financial controls and governance	Accounts	19/20 financial accounts signed off by UHL board	Lorraine Hooper	Mark Brice	On track	31/03/2022	Not due yet
8	2. Robust financial controls and governance	Accounts	20/21 financial accounts signed off by UHL board	Lorraine Hooper	Mark Brice	On track	20/05/2022	Not due yet
9	2. Robust financial controls and governance	Accounts	Programme of work underway and agreed with UHL board and NHSE/I to sign off 21/22 financial accounts by agreed deadline	Lorraine Hooper	Simon Linthwaite	On track	26/04/2022	Not due yet
10	2. Robust financial controls and governance	Accounts	Programme of work in place to drive forward continued improvements in financial accounts including implementing recommendations from AFR and reporting continued progress to audit committee	Lorraine Hooper	Simon Linthwaite	On track	31/05/2022	Not due yet
11	2. Robust financial controls and governance	Internal Audit	Owners and actions in place for all current internal audit recommendations. Regular paper to audit committee demonstrating progress in delivering recommendations	Lorraine Hooper	Jonathan Shuter	On track	13/05/2022	Not due yet
12	2. Robust financial controls and governance	Grip and Control	Final grip and control paper agreed by AC which demonstrates successful completion of the checklist and also an agreed programme to manage grip and control going forward, including monitoring of KPIs	Lorraine Hooper	Jonathan Shuter	On track	13/05/2022	Not due yet

C. Roadmap actions (2 of 2)

Ref	Exit criteria	Topic	Action	SRO	Action owner	STATUS	END DATE	Evidence Status
13	2. Robust financial controls and governance	Governance	UHL's performance accountability framework is up to date, agreed by relevant committee and communicated to all staff (including training where appropriate)	Becky Cassidy	TBC	TBC	TBC	Not due yet
14	2. Robust financial controls and governance	Governance	SFIs are reviewed, agreed by relevant committee and communicated to all staff (including training where appropriate)	Lorraine Hooper	TBC	TBC	TBC	Not due yet
15	2. Robust financial controls and governance	Governance	UHL prepare board update on governance describing improvements in place so far since entering RSP and forward plan for further improvements. Share paper with NHSE/I as part of evidence to support exit from RSP	Becky Cassidy	TBC	TBC	TBC	
16	2. Robust financial controls and governance	Governance	Refresh and improved Board Assurance Framework in place at UHL	Becky Cassidy	TBC	TBC	TBC	
17	3. The trust and system have a shared understanding of risks to the financial plan	Process to manage financial risk	Clear process agreed and documented (where appropriate) to manage financial risk in year within UHL, including investment decisions	Lorraine Hooper	Jonathan Shuter	TBC	31/07/2022	
18	3. The trust and system have a shared understanding of risks to the financial plan	Process to manage financial risk	Clear process agreed and documented (where appropriate) to manage financial risk in year within UHL, including investment decisions	Lorraine Hooper	Jonathan Shuter	TBC	01/08/2022	
19	4. Trust and wider system have declared oversight and support mechanisms to ensure continued improvement	Post exit support	UHL, system and NHSE/I agree post exit support package	TBC	TBC	TBC	30/09/2022	
20	5.0 Assurance that the plan places no significant risk to maintaining quality, and robust internal processes are in place to identify any worsening	Quality impact of financial improvement	UHL prepare trust board paper evidencing assurance over quality outcomes and mortality has improved. 2 external independent assessments of QIA. Triangulation at exec team. Linked to activity	Moira Durbridge	Helen Harrison	On track	31/03/2023	