

Trust Board Paper R

To:	Trust Board
From:	John Adler, Chief Executive
Date:	28 February January 2013
CQC regulation:	All applicable
Title:	Foundation Trust Application Update
Author/Responsible Director: Helen Harrison, FT Programme Manager / John Adler, 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:	
Decision	<input type="checkbox"/>
Discussion	<input type="checkbox"/>
Assurance	<input checked="" type="checkbox"/>
Endorsement	<input type="checkbox"/>
Summary / Key Points: 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.	
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? No	
Strategic Risk Register: Yes	Performance KPIs year to date: N/A
Resource Implications (eg Financial, HR): None	
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.	
Stakeholder Engagement Implications: 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.	

UNIVERSITY HOSPITALS OF LEICESTER NHS TRUST

REPORT TO: Trust Board
DATE: 28th February 2013
REPORT FROM: John Adler, 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 has completed self assessments against both the Quality Governance Framework (QGF) and the Board Governance Memorandum (BGM). Both of these self-assessments have been subject to independent third party review.
- The final report from the independent review of the QGF self assessment was received by the Trust Board in January 2013, the final report from the independent review of the BGM self assessment will be received by the Trust Board in March 2013.
- The Trust submitted a second draft IBP / LTFM to the SHA on the 30th November 2012 along with a number of other key FT application documents including:
 - The draft reports from the independent third party review of the QGF and the BGM self assessments
 - Our Clinical Strategy
 - Our enabling strategies (Estates, Workforce, IT, R&D and Membership)
 - Our final draft public consultation document
 - Self certifications
 - Our Strategic Risk Register and Board Assurance Framework
- The UHL / SHA Readiness Review meeting took place on the 19th December 2012. The formal written outcome of this meeting has been received and the Trust has been advised that it is ready to proceed to the assurance and sign-off phase of the FT application process
- The Historical Due Diligence 1 (HDD1) review commenced on the 21st January 2013. The final report from this review, which is expected week ending 2nd March 2013, will inform the next phase of the FT application process

- A final IBP / LTFM will need to be submitted to the SHA in July 2013

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 trust over-sight self certification. 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: Not fully achieved. LLR wide economic modelling is to commence on the 21 st January and conclude by the 31 st March 2013. This outcome of this modelling will provide a common set of Better Care Together (BCT) objectives which will be consulted upon as appropriate. The partner organisations (University Hospitals of Leicester (UHL) Leicestershire Partnership Trust (LPT) and the three Clinical Commissioning Groups (CCGs) will sign a Cooperation Agreement focusing on how the partners will work together to achieve agreement of common BCT objectives.	
Jul 2012	3) Complete financial assessment of target health system model: Not fully achieved. LLR wide economic modelling is to commence on the 21 st January and conclude by the 31 st March 2013.	
Quarterly	4) Achievement of 2012/13 financial plan: At the end of January 2013, the Trust reported a £2m deficit which is £2.7m adverse to the planned surplus of £0.7m. A financial recovery plan was submitted to and approved by the Trust Board in October to ensure delivery of the year end £46k surplus. These actions have been supplemented with discussions with the Local Area Team (LAT) and CCG's around financial re-imburement in 2012/13 mainly in relation to the impact of higher emergency activity.	
Jun 2012	5) Complete Quality Governance Framework (QGF) / Board Governance Assurance Framework (BGAF) self assessments: Self assessments against the QGF and BGAF completed	
Jul 2012	6) Confirm specific LLR reconfiguration priorities over a 3 year time horizon: Not fully achieved. This will be determined by the BCT economic modelling	
Sept 2012	7) Draft pre-consultation Business Case considered by Trust Boards: Not fully achieved. A draft compelling case for change and criteria has been developed and presented to the 20th December BCT Programme Board. The BCT Programme Board agreed that any statutory consultation will commence in June 2013 pending the output of the economic modelling and agreement of the resulting LLR wide plans	
1 st Oct 2012	8) Pre-consultation Business Case and timelines for LLR service reconfigurations finalised: Not fully achieved. This will follow the achievement of milestones 2, 3 & 6	
1 st Oct 2012	9) UHL Clinical Strategy developed and preferred options costed: Not fully achieved. The service developments underpinning the Trust's Clinical Strategy will be costed as further iterations of the IBP / LTFM are developed	
31 st Oct 2012	10) Submit early draft IBP / LTFM to the SHA: Fully achieved on time. A first draft IBP / LTFM was submitted to the SHA on the 31 st Oct 2012	

Date	TFA Milestone	RAG (for future milestones)
Oct 2012	11) 3rd party review of self assessment against the QGF / BGAF: Fully achieved but late. Third party reviews have been completed.	
Oct – Dec 2012	12) Formal Consultation on LLR Reconfiguration Proposals: Not fully achieved. The BCT Programme Board has agreed that consultation should commence in June 2013 following the agreement of BCT common objectives as determined by the economic modelling.	
Oct 2012	13) SHA Board and Committee observation: Fully achieved on time	
1 st Dec 2012	14) Submit FT Application documents (including a draft IBP / LTFM) to the SHA: Fully achieved on time	
19 th Dec 2012	15) Readiness review meeting held: Fully achieved on time	
Jan 2013	16) HDD1 review: Fully achieved on time	
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	

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, meets fortnightly. 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.