



*The Trust  
Development  
Authority*

*and*

*NHS Trusts in Leeds*

**Dr Dean Spencer**  
**Portfolio Director**  
***NHS Trust Development Authority***

# What are the basic functions of the NHS TDA have?

Functions previously held by..

DH

Appointments Commission

SHAs

...now held by the NHS TDA

Assurance of clinical quality, governance and risk in NHS trusts

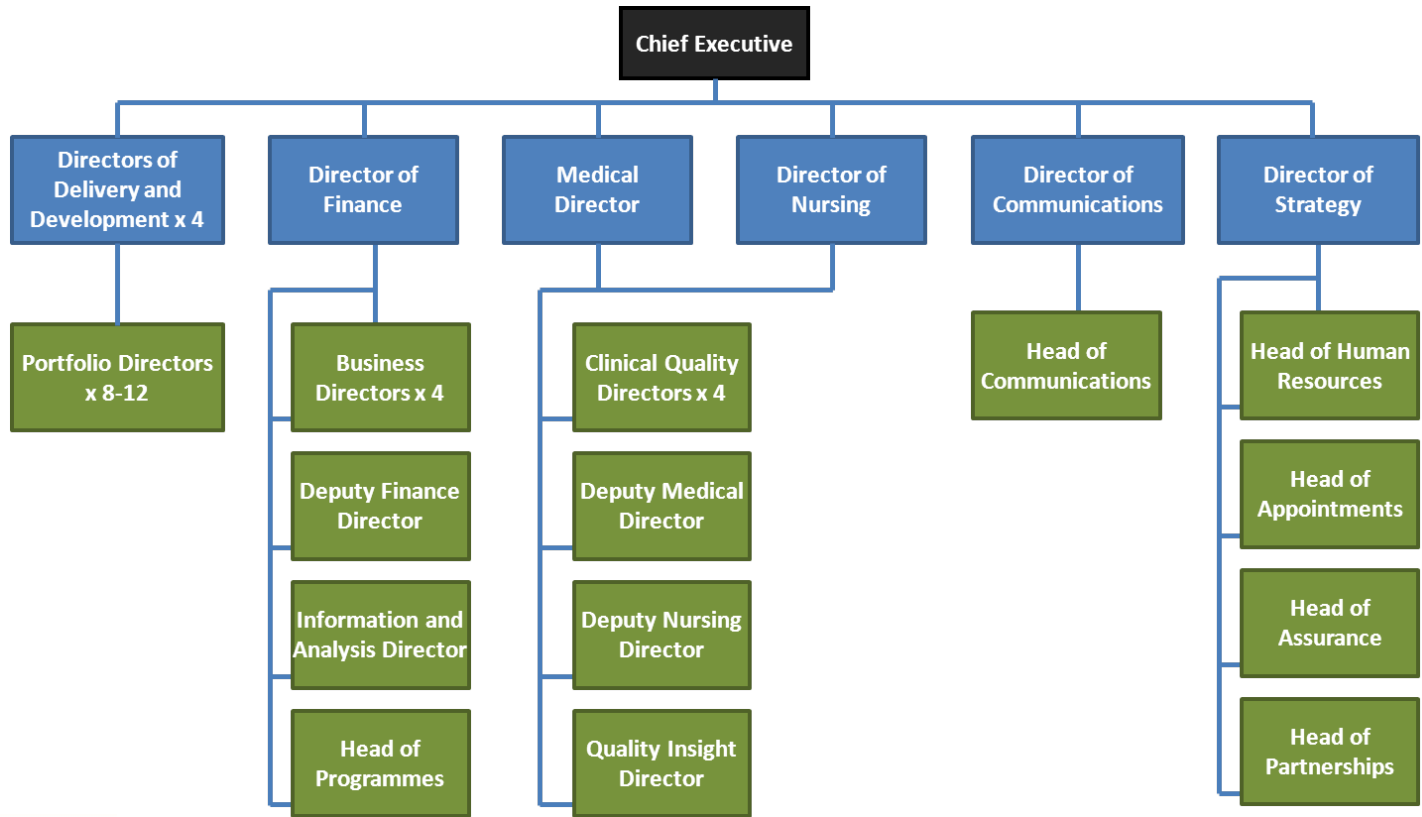
Performance management of NHS trusts

Management of the FT pipeline

Appointments to NHS trusts of chairs and non-executive members and trustees for NHS charities, where the Secretary of State has a power to appoint



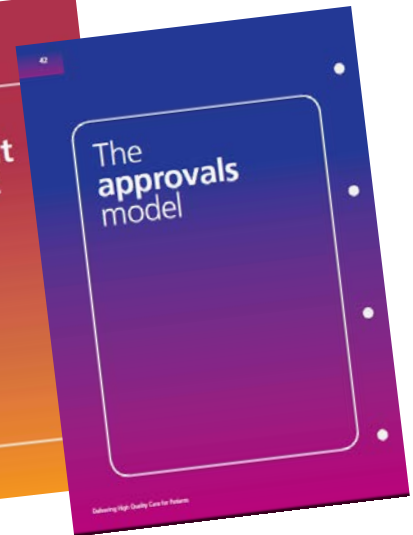
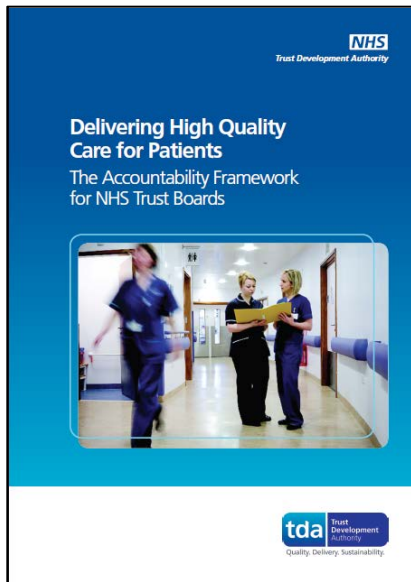
# Our structure



All operating to one national model....



# How we work



← From planning to approval →



# The oversight model

Explains how the NHS TDA will work with NHS Trusts on a day-to-day basis



Every month, the NHS TDA will monitor in-year delivery against plans and against key indicators including quality, governance and finance, as well as progress towards a sustainable organisational form.

Domain 1:	Quality and Governance	Quality and Delivery
Domain 2:	Finance	
Domain 3:	Delivering Sustainability	Sustainability



# Escalation

1	<b>No identified concerns</b>	<b>Description</b>	<b>Actions, eg.</b>
	↓	<ul style="list-style-type: none"> <li>On plan for quality and finance; or</li> <li>Minor variances from plan with confidence of recovery</li> </ul>	<ul style="list-style-type: none"> <li>Business as usual monitoring meetings focussed on delivering sustainability</li> </ul>
2	<b>Emerging concern</b>		
	↓	<ul style="list-style-type: none"> <li>Material variances from plan on either quality or finance with robust recovery plans in place</li> </ul>	<ul style="list-style-type: none"> <li>Monitor progress</li> <li>Identify improvement support</li> <li>Interaction led by Head of Delivery and Development</li> </ul>
3	<b>Concern requiring investigation</b>		
	↓	<ul style="list-style-type: none"> <li>Material variances across several areas</li> <li>Lack of confidence in recovery plans</li> </ul>	<ul style="list-style-type: none"> <li>Review recovery plan</li> <li>Close liaison with commissioners</li> <li>Interaction led by Portfolio Director</li> </ul>
4	<b>Material issue</b>		
	↓	<ul style="list-style-type: none"> <li>Material variances across large number of areas/system-wide with significant impact on patients</li> <li>Performance continuing to deteriorate</li> </ul>	<ul style="list-style-type: none"> <li>Commission independent investigation</li> <li>Risk summit</li> <li>Interaction led by Director of Delivery and Development</li> </ul>
5	<b>Formal action required</b>		
		<ul style="list-style-type: none"> <li>Material issue as above with failure to achieve improvement</li> </ul>	<ul style="list-style-type: none"> <li>Identify which formal action using TDA powers are appropriate including review of leadership, unsustainable provider regime</li> <li>Interaction led by Chief Executive</li> </ul>



# The development & support model



Understanding the development needs

NHS Trusts set out development needs as part of an integrated plan

Meeting those needs

**Provided by the NHS TDA** – e.g. clinical faculty, engagement, information and benchmarking, appointments & governance

Reviewing development plans

Quarterly review of development plan by DDD teams, annual refresh through planning process



# The approvals model



Foundation Trust  
Applications

Sets out an initial phase of **diagnosis**, a subsequent phase of **development** and a final assurance phase culminating in a NHS TDA **decision to support** the application to proceed to Monitor assessment.

Transactions  
Approvals

A standardised approach to transactions, to support NHS Trusts without a standalone future

Significant Capital  
Approval  
Transactions

A process which enables us to assess the quality, safety, productivity, affordability, value for money and workforce implications associated with any investment proposal, as well as ensuring that any applications help ensure the sustainability of the wider local health economy.

Service Change  
Model

To be further developed following the publication of the Carruthers review





## Stage 1: Diagnosis

Trust develops business plans and financial model  
External reviews financial and quality  
TDA interviews

Public Consultation

## Stage 2: Development

Refinement of plans  
Address concerns  
Stakeholder views

Readiness review

## Stage 3: Assessment

Final plans assessed  
Quality reviewed  
Board to Board

TDA Board Approval

Passed to Monitor for assessment



# Leeds Community NHS Trust

## Performance

- No issues identified

## FT application

- Final stage (Stage 3)
  - Business plan assessment
  - Financial model assessment
  - Quality assessment
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- Due to be considered by TDA board 26 Sept



# Leeds Teaching Hospitals NHS Trust

- Material concern resulting in escalation
  - Historic non delivery of performance standards
  - Weak financial position
  - No agreed timeline for an FT application
- Also outcome from risk summit on children's heart surgery
  - Review of complaints
  - Review recording data for clinical audit
- Recovery plan
  - A&E to achieve 95% from 1 June onwards, robust winter plan
  - Referral to treatment to achieve all targets between Oct 13 and Dec 13
  - Implement actions from risk summit on children's heart surgery
  - Review board structure and processes
  - Balance the books (delivery of the financial plan 13/14)
  - Ensure stable financial footing for an FT application eg 1% surplus
  - Agree a timetable for FT application.

