Contract Management
Governance arrangements

NHS Standard Contract 2014-15

www.nwlcsu.nhs.uk
info@nwlcswu.nhs.uk
Sections

• Governance arrangements
  – Meetings structure / hierarchy & escalation
  – Contractual meetings with Provider
  – Sub-group meetings

• Preparation for meetings
  – Terms of reference
  – Standard Agendas
  – Forward plan for meetings for non-monthly items

• Contractual Management
  – Standard contractual notices & letters
  – Contract variation
  – Contract termination
Governance system; Escalation; Dispute resolution

CONTRACT MEETINGS STRUCTURE
Regular meetings

CCG meetings
- QSR Committee
- F&P Committee
- CWHHE Performance Committee (for complex contracts)
- Associates Committee for contract

Provider centric contractual meetings
- Clinical Quality Group
- Performance & Contracting Executive
- Finance & Information Group
- Quality & Performance
- Technical Group
- Validations

Internal meetings
- CCG Governing Body
- Quality & Performance
- Finance & Information Group

General contract management
Levels of escalation

CCG meetings

- Review matters on a CCG wide basis
- Determine mid term strategy
- Monitors effectiveness of contract management, performance & use of levers, SDIP & audit programmes
- Determine areas of risk across wider provider base
- Monitor financial performance and risk

Provider meetings

- Reviews activity & financial performance at Provider level against plan
- Ensures progress against action plans
- Reviews quality aspects
- Resolves matters of difference escalated from any working groups

Internal groups

- Ensures data is submitted on time and accurate
- Checks performance against requirements
- Calculates metrics / penalties
- Validations and challenges are agreed/resolved.

General contract management
Matters are escalated up to Board level from PCE via the Dispute Resolution clauses of the contract.

In order to allow DR processes to take effect the CEO and CCG AO should not be involved in discussion at the levels beneath.

Failure to resolve disputes in this way leads to mediation by an external body e.g. CEDR.
CQG; FIG; PCE

CONTRACTUAL MEETINGS WITH PROVIDER
Under clause GC8 the meeting(s) must review the:

- Service Quality Performance Report
- Performance of the Parties
- Provider Plans
- Levels of activity, referrals and utilisation
- Any Variation
- Prices
- Any other matters
Performance & Contract Executive

Under clause GC8 the meeting must review the:

• Service Quality Performance Report
• Performance of the Parties
• Provider Plans
• Levels of activity, referrals and utilisation
• Any Variation
• Prices
• Any other matters

It receives escalation from lower level meetings.

Chair: Managing Director / Chief Officer (Co-ordinating CCG)

Commissioners Membership:
Contract Finance Manager (Chair of FIG)
Contract/account manager
Chair of CQG (Clinician) of Co-ordinating Commissioner
Associate Commissioners (standing invitation)

Providers Membership:
Director of Finance
Deputy CEO/COO
Contract/information lead
Clinician from CQG
PCE feeds

Documents

• Minutes of CQG & FIG meetings
• Matters escalated from lower groups (CQG; FIG)
• Matters referred from CCG groups (Q&SR; F&P)
• Notification of business cases likely to impact on contract
• Contract variation proposals (with recommendations from CQG/FIG)
• Receipt of audit & survey results and monitoring of resultant action plans
• Contractual Notices
  – Report on number & status
  – Copies of Notices issued & any responses
  – Records of management meetings
  – RAPs/AMP’s etc + monitoring reports
  – Exception reports
• Finance:
  – updates on under/overperformance
  – Claims/challenges
  – Reconciliation accounts
  – Withholding/retention
• Monitoring of QIPP programmes
  – impact on contract performance
Clinical Quality Group

Under clause GC8 the meeting must review the:

• Service Quality Performance Report
• Performance of the Parties
• Provider Plans [SDIPs/CQUINs/LIS’s/RAPs etc]
• Levels of activity, referrals and utilisation
• Any Variation
• Prices
• Any other matters (inc. those referred to it by PCE or FIG)

Chair: Quality Lead (GP)

Membership:
Contract Account Director/Manager
Contract Support
Performance lead
Quality leads (CCG and CSU)
Commissioning Managers (CCG)

Provider membership:
Medical Director
Other clinical leads as required for discussions
Deputy CEO/COO
Other service manager leads
Contract Manager
CQG feeds

Documents

- SQPR (monthly Service Quality Performance Report)
- Monitoring of local incentive & CQUIN schemes
- Audit reports (clinical)
- Reports from contractual audit programme
- Patient experience surveys
- Other contractual surveys
- Reports from Regulators [Monitor/TDA/NHSE/CQC etc]
- SDIPs & monitoring reports
- Benchmarking reports (clinical)
- Bi-annual Staffing reviews
- Proposals for contract variations (and advice from FIG on the data/coding/pricing elements)
- Service Alerts – responses & themes
- Contract Query Notices & reports
  - Joint Investigations & reports
  - Remedial Action Plans
  - Monitoring against plans
- Complaints
- Incidents
- SUIs
- Any matters raised of relevance by other commissioners
- Any relevant papers from Provider e.g. Board papers
- Thematic / trend reviews

Owner

June 2014

General contract management
Finance & Information Group

Under Clause GC8 the meeting must review the:

- Service Quality Performance Report
- Performance of the Parties [£/KPIs/Activity/Metrics]
- Provider Plans
- Levels of activity, referrals and utilisation
- Any Variation
- Prices
- Any other matters

Chair: Contract Finance Manager

Membership:
- Contract Manager
- Information lead
- Performance lead
- CCG representatives

Provider membership:
- Contract Manager
- Information lead
- Deputy Director of Finance
- Performance lead
FIG feeds

Documents

- Activity & Information reports
- Referral reports
- Under & overperformance reports
- Contract penalties (consequences of breach)
- Claims & challenges
- Withholding values / causes
- Contract variation proposals to review for coding & pricing
- NCA evaluations
- Information schedule monitoring report
- DQIP monitoring report
- Audit reports & action plans (financial/data/data quality)
- Activity Query Notices
- Activity Management Plans
- Information Breach Notices
- Monitoring of contract metrics
- Monitoring of Information Governance requirements

Owners
Quality & Performance; Technical Group; Validations

CSU INTERNAL MEETINGS
WITHOUT PROVIDER
Quality & Performance Group

 Prepares for review of:

• Service Quality Performance Report
• Performance of the Parties
• Provider Plans
• Levels of activity, referrals and utilisation
• Any Variation
• Prices
• Any other matters

Chair: Performance Manager
Membership:
Contract Manager
Contract data analyst
Quality Manager
Quality & Performance
Group Feeds

Documents

- Outline agenda for CQG
- Integrated performance report
- SQPR/SUIs
- CQNs/responses/plans
- All quality feeds for CQG

Owner
Technical Group

Prepares for review of:

• Service Quality Performance Report
• Performance of the Parties
• Provider Plans
• Levels of activity, referrals and utilisation
• Any Variation
  – evaluate proposed technical aspects counting/coding
  – pricing
  – volumes/CCG impact
  – potential consequential reductions in other activity across this/other contracts
• Prices
  – evaluation of prices charged
  – technical guidance/contractual prices
• Any other matters

Chair: Contract Manager
Membership:
Finance manager
Information analyst

June 2014
# Technical Group feeds

<table>
<thead>
<tr>
<th>Documents</th>
<th>Owners</th>
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<tbody>
<tr>
<td>• Contract variation details (to evaluate &amp; resolve counting, coding and pricing questions)</td>
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<tr>
<td>• Activity plans v actual at CCG level (for review of impact of proposal)</td>
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<tr>
<td>• Data related to contract metrics – for agreement of outputs</td>
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<tr>
<td>• Evaluation of under or overperformance against contract plan</td>
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<tr>
<td>• Evaluation of NHSE or LA activity charged to CCGs</td>
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<tr>
<td>• Evaluation of NCA invoices</td>
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Validations

Prepares for the review of:
• Service Quality Performance Report
• Performance of the Parties
• Provider Plans
• Levels of activity, referrals and utilisation
• Any Variation
• Prices
• Any other matters

Chair: Contract finance Manager

Membership:
Contract Manager
PPwT lead
Prescribing lead (if required)
Performance Manager
Contract data analyst
Validation feeds

<table>
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<tbody>
<tr>
<td>• PPwT outputs</td>
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<tr>
<td>• Provider’s responses</td>
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<tr>
<td>• Contractual penalties against Quality Requirements</td>
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<td>• Withholdings for:</td>
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<td>– failure to agree plans</td>
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<td>– failure to deliver milestones within agreed plans</td>
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<td>• Any other claims &amp; challenges</td>
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<tr>
<td>• Checks on accuracy of prices used for activity</td>
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<td>• Checks on double counting of pathway prices across providers e.g. Maternity or within Provider e.g. double charging</td>
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<tr>
<td>• Checks on accuracy of billing CCG for all activity</td>
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<tr>
<td>• Checks on NCA invoicing to prevent double billing</td>
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<tr>
<td>• High Cost Drugs expenditure</td>
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<tr>
<td>• Transport costs</td>
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For CQG; FIG; PCE

MEETINGS PLANNER
Timetable for meeting preparations

Example based on Meeting Date of 15 May and counted in calendar days. Where a date falls on a Saturday would expect to target Friday; where Sunday – target Monday.