



Transition Controls Data Capture Tool

Instruction Guide

Transition Controls Data Capture Tool

DH INFORMATION READER BOX	
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Instruction Guide

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Executive summary

This document provides guidance on the Transition Controls Data Capture Tool to support commissioners of NHS funded services in the stocktake phase of transition planning

It provides an explanation of the all the elements in the data capture tool and offers guidance on the key information to be captured for all NHS funded agreements

1. Background - Why is a contract data capture tool needed?

The publication of '*Equity and Excellence: Liberating the NHS*' and subsequent policy announcements have collectively set a demanding timetable to reconfigure the commissioning arrangements for NHS funded services by 1 April 2013, subject to the passage of the Health and Social Care Bill and legislative processes. As a consequence, all NHS funded health care service contracts will need to be transferred legally and operationally to new statutory contracting bodies.

It is estimated, based upon work commissioned by the Department of Health in the North West between April and August 2011, that across England in excess of 77,000 contracts and agreements for clinical services exist. The transfer of these agreements, taking into account the number and complexity of these contracts will lead to challenges and risks for Primary Care Trusts and for the new commissioning organisations receiving the agreements. To support the effective transition management of the transition process, an Implementation Plan [and a contract transition information data capture tool have been developed.

This document provides background information on this data capture tool and serves as a guide for its use.

The Dear Colleague letter (Gateway 16818) stated all Primary Care Trust (PCT) Clusters should use a data capture tool to store key information about their contracts and agreements.

The Implementation plan sets out a three phases approach to contract transfer

- Stocktake – in two steps to be completed by the 16th January 2012 and end March 2012
- Stabilise – to be completed by 31st March 2013
- Shift – from end of March 2013 or until statutory bodies are authorised

The data capture tool will support the three phases of the National Implementation Plan in the following ways:

- Phase One: Stocktake
 - The input and storage of all essential contract information (metadata)
 - Risk assessment of contracts by category
 - Production of a risk register by contract/contract category
 - Storage of maturity matrix for the organisation
- Phase Two; Stabilise
 - Update of all material contract changes or new contracts onto the data capture tool and risk report

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- Progress report on the status of remedial actions
- Phase Three: Shift
 - Register of all contracts that need to be transferred to all relevant commissioning organisations (local and national)

How will the data capture tool support transition?

The data capture tool enables management oversight and supports assurance by:

- Capturing essential data for NHS funded health care service contracts and agreements
- Supporting quality and risk profiling for contracts and agreements recorded on the system
- Enabling production of key contract information reports to Strategic Health Authority (SHA) Clusters
- Supporting the production of risk register information for all contracts and contract categories
- Allowing the capture of information on any new contracts signed by PCT Clusters during the transition period including any material changes to existing contracts

For PCT Clusters and Specialised Commissioning Groups the data capture tool **will**:

- Provide a repository for the entering of important contract and risk data for each NHS funded health care service agreement
- Serve as a dynamic register of clinical, legal, financial and organisational risks for each NHS funded health care service agreement and aggregated to contract categories
- Support the progress of Stocktake and Stabilise activities

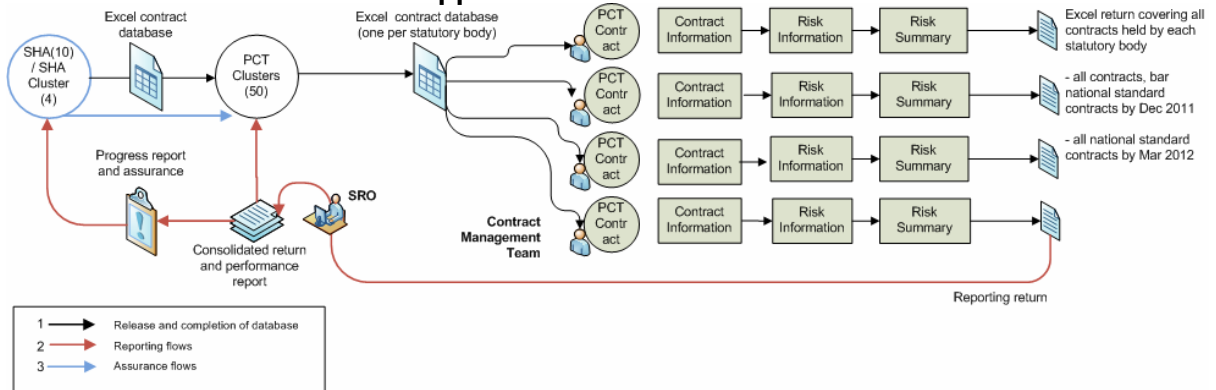
However, the data capture tool **will not**:

- Hold physical copies of all contracts and agreements
- Serve as a repository for non-healthcare or non clinical services contracts and agreements

How will the data capture tool be deployed and used?

The data capture tool will be distributed to PCT Clusters, who will own and manage the tool and data stored.

Diagram One: How will information support the PCTs and PCT Clusters?



(A) Release and completion of data capture tool:

- The PCT Cluster identifies a named person to act as senior responsible owner within the Cluster to manage the master data capture tool. This person will allocate responsibilities for completing the key contract information/metadata and risk information across the contract team and other staff within the PCTs
- Locally identified managers within the PCTs complete information on local copies of the data capture tool according to their contract portfolio. Completed version is sent to the senior responsible owner in the PCT Cluster, who will compile the individual returns into a single master version at PCT level. This consolidated version can then be sent onwards to the SHA/SHA Cluster as needed.
- Updates will be submitted as needed throughout the whole contract transition programme.

(B) Reporting work flow:

- A senior responsible owner at PCT Cluster level consolidates the data and risk information for all contracts coordinated by the PCT Cluster.

(C) Assurance work flow:

- The tool supports an assurance process at PCT Cluster level for risk assessment
- Appropriate intervention is taken by the SHA depending on assurances provided

2. A Step-by-step guide to using the capture tool

This next section provides a guide on how to use the data capture tool and must be read in conjunction with the data capture tool

2.1. Installing the data capture tool

When the excel data capture tool is received copy the file to the computer.

If needed, create a shortcut to the file, if it is stored on a network drive.

PCTs should open and save separate files for:

- Primary Care Agreements
- Specialised Commissioning agreements
- All other agreements

The files should be saved with the following naming convention:

PCT name (including organisational code)_type of agreement_date (yyyy/mm/dd), for example

```
5NBExamplePCT_PrimaryCare_20111909
1ABExamplePCT_Specialised_20111023
2CDEExamplePCT_Other_201111213
```

The ownership and management of the data capture tool remains at the PCT Cluster.

Tip: PCTs or PCT Clusters may seek to consolidate primary care, specialised and/or other information into one single file. This procedure is described in Appendix III, point number one.

2.2. Launching the data capture tool

To operate effectively, the following Macro Security settings must be switched on within Microsoft Excel to allow macros to operate.

In **Excel 2010** (the default setting is to allow Macros, if enabled within the bar at the top of the workbook), if this is not operating follow these instructions:

- Click the File tab and then click Options. The Excel Options dialog box appears.
- Click the Trust Center tab and then click the Trust Center Settings button
- The Trust Center dialog box appears with the Macro Settings tab selected. Select Disable all macros with notification: Displays a security alert when a workbook with macros opens. Decide whether to enable the macros associated with the workbook. This is Excel's default setting so it should be operating.

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- Click OK on the menu.
- When opening the file, click Enable in the bar at the top of the workbook.

In **Excel 2007** (the default setting is to allow Macros, if is not operating please follow these procedures:

- On the Developer tab, click the Macro Security button in the Code group.
- The Trust Center dialog box appears with the Macro Settings tab selected.
- Select Disable all macros with notification: This displays a security alert when a workbook with macros opens. Decide whether to enable the macros associated with the workbook.
- Click OK on the menu.
- When opening the file, click 'options' and then 'enable' in the bar at the top of the workbook.

In **Excel 2003**

- Click Tools – 'Options'. When the 'Options' multi-tabbed dialog box appears, click the 'Security' tab.
- Click 'Macro Security'
- When the 'Security' multi-tabbed dialog box appears, select the 'Security Level' tab.
- Select 'Medium'
- When opening the data capture tool, click 'ok' on the request to allow the VBA code to run.
- To operate effectively: Excel "Add ins" must include the Analysis Tool Pack and Analysis Tool Pack - VBA

In Excel **2007 and 2010:**

- Click the Microsoft Office Button, and then click Excel Options. Click Add-Ins, and then in the Manage box, select Excel Add-ins. Click 'Go'.
- In the Add-Ins available box, select the Analysis ToolPak check box and the Analysis ToolPak - VBA, and then click 'OK'.
- If Analysis ToolPak and the Analysis ToolPak - VBA are not listed in the Add-Ins available box, click Browse to locate it.
- If prompted that the Analysis ToolPak and the Analysis ToolPak – VBA are not currently installed on the computer, click 'Ye's to install.

In **Excel 2003**

- On the Tools menu, click Add-Ins.
- In the Add-Ins available box, select the Analysis ToolPak check box and the Analysis ToolPak - VBA, and then click 'OK'.

- If Analysis Toolpak and the Analysis ToolPak - VBA are not listed, click 'Browse' to locate them.
- If an alert advised the Analysis Toolpak and the Analysis ToolPak – VBA are not currently installed on the computer, click 'Yes' to install.

Make these setting changes to the relevant version of Microsoft Excel and then double-click on the excel icon using the left-hand button on the mouse. This will start the data capture tool. When opening the tool, click 'enable' when prompted, to allow Macros to operate.

Managers should contact their IT Helpdesks if they encounter any problems

2.3 Capturing information within the data capture tool.

Information on individual contracts can be captured in two worksheets in the data capture tool 'Single Contract Information' and 'Data Capture Table'. Both worksheets collect the same information but in different formats. It is not possible to import or copy any data into the Single Contract Information worksheet.

Therefore, there are two options for users:

1. to enter information into the Single Contract Information worksheet, and once submitted the information will automatically populate the Data Capture Table
2. to enter, import or copy information directly into the Data Capture Table, in which case the Single Contract Information worksheets will not need to be used

2.3.1 Disclaimer

When the data capture tool opens, it will display a page of text of commercial information. This sets out the terms and conditions for the use of the data capture tool and requires an information agreement. Once the box has been checked, the data capture tool will open.

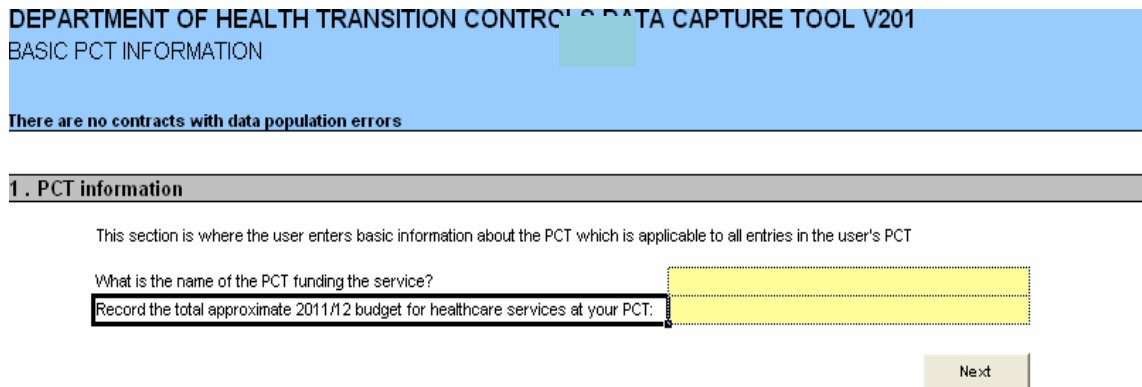
2.3.2 Instructions

This page contains information on the cells which operate within the data capture tool

2.3.3 Basic PCT information

Move to the Basic PCT information page by clicking on the tab at the bottom of the worksheet.

Image 1: Basic PCT Information



Tip: Only enter data into the yellow-shaded boxes

When the data capture tool is used for the first time it will be necessary to answer two questions on the

‘Basic PCT Information’ page

“What is the name of the PCT funding the service”?

Select the yellow box to the right of the question with a single click of the mouse, then, click the grey downward-pointing arrow to activate a list of Primary Care Trusts. Scroll down using the mouse on the blue-bar next to the list and select the appropriate PCT using the left button.

Tip: The answer sought here is the name of the Primary Care Trust (PCT) currently responsible for funding the contracts under review.

“Record the total 2011/12 budget for healthcare services at your PCT”

Enter the value in the yellow box

Tip: Please do not include support services such as contracts for photocopier provision in this figure. Discuss with the Finance Manager if necessary.

Once these boxes are completed, click on the ‘Next’ button on the screen to move to the next page.

2.3.4 Single Contract Information

Tip: Before entering information into the data capture tool, it is recommended in case of any problems, that a back-up copy of the existing version is created.

Move to the Single Contract Information screen,

Image 2: Single contract information data capture page.

DEPARTMENT OF HEALTH TRANSITION CC		OLS V014	
SINGLE CONTRACT INFORMATION			
There are no contracts with data population errors			
1. Essential Information			
This section is the user input section where essential information for a single contract should be documented			
Funding and contracting arrangements	1.1	Name of individual completing this form:	
	1.2	Is this a payment to a Specialised Commissioning Group (SCG) for provision of specialised services?	
	1.2.1	If 'yes', are you the lead SCG-contracting PCT?	
	1.2.2	Which PCT hosts your SCG arrangements?	
	1.2.3	How much is funded by your PCT?	
	1.3	Is there more than one commissioner funding this contract?	
Core information	1.3.1	If 'yes', are you the lead or associate commissioner?	
	1.3.2	If you are an associate, name the lead:	
	1.3.3	If 'other', please specify:	
	1.4	What is the name of the NHS provider as stated within the contract (legal entity)?	
	1.4.1	If 'other', please specify:	
	1.5	What type of contract is used?	
	1.6	What service is provided?	
	1.6.1	If 'other', please specify:	
	1.7	What is the estimated annual value, under this contract directly funded by your PCT as a commissioner? (signed-off financial forecast 2011/12)	
	1.8	Which of the following payment types are stated in the contract?	
Date and location	1.8.1	National Tariff	
	1.8.2	Local Tariff, e.g. cost and volume	
	1.8.3	Block	
	1.8.4	One-off payment	
	1.8.5	Upfront payment	
	1.8.6	Pass-through	
	1.9	Is there a service specification included in the contract?	
	1.10	What was the contract start date?	
	1.11	Is there an expiry date in the contract?	
	1.11.1	If 'yes', please specify the contract expiry date:	
	1.12	Is there a specified notice period in the contract?	
	1.12.1	If 'yes', how many months?	
	1.13	Where is the contract file physically located? Please describe location.	
	1.14	Where is the contract file stored electronically? Please describe location/server name and file path.	

This sheet allows data entry for a single contract and should not be used when importing or copying data from other sources Appendix I provides guidance on completing this section. When completed, use the "Submit" button. The 'Submit' button ensures that the completed data is pasted into the next available row in the data capture table worksheet.

A warning box will be displayed, click yes to complete the submission., and a 'Clear' button is provided, in case the information on the sheet needs to be reset (see image 3)

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- Filter on/off – this allows the user to perform basic filtering of data in the table without affecting the operation of the tool
- Sort ID – this sorts the User ID field which makes it easier for users to search for contracts when using the drop down menu in the Contract Summary Form.

Copying and pasting data

To copy and paste data, copy the data in the source and then paste using paste special (Excel 2003: this is available with a right click, Excel 2007 and later: this is on the home title-bar in a list, which can be accessed by clicking the arrow below the paste button). Use the option to paste values. This is necessary to protect the integrity of the cell values.

Checking inputs

When the form is completed, click the “Highlight Error” button. This will colour all erroneous inputs in pink. If there are errors present, a message will be displayed at the top of the worksheet.

To find and correct errors:

- Go down Column A in the data capture table to those rows where column A has an "Err" value.
- Move along those contract inputs to the pink cells and correct as required

2.4 Contract Summary Calculation

This sheet is an ‘internal’ calculation sheet and is used to create the outputs from the data capture tool.

2.5.2 Contract Volumes Summary

This report is a summary of all data within the data capture tool and includes volumes and values of each contract together with several key volumetric indicators of risk.

Image 6: Contract Volumes Summary Report

DEPARTMENT OF HEALTH TRANSITION CONTROL DLS V014				
CONTRACT VOLUMES SUMMARY				
There are no contracts with data population errors				
1. Contract volumes summary report				
The portfolio below represents all contracts stored in the database. This summary table is updated in real time basis to provide the most current view of the contract volumes.				
Contract Volumes Summary Report				
Date: 23/09/2011				
Time: 12:34:20				
	Quantity (#)	Quantity (%)	Estimated value (£)	Estimated value (%)
Total number of contracts	0	100%	£0	100%
Contracts by services				
# Acute contracts	0		£0	
# Acute / Community contracts	0		£0	
# Mental Health / LD contracts	0		£0	
# Mental Health / LD / Community contracts	0		£0	
# Learning Disability (LD) contracts	0		£0	
# Community Health Services contracts	0		£0	
# Ambulance contracts	0		£0	
# Continuing Health Care contracts	0		£0	
# Prison Health contracts	0		£0	
# Military Health contracts	0		£0	
# Substance Misuse contracts	0		£0	
# Other contracts	0		£0	
# Primary Medical Care contracts	0		£0	
# Dental contracts	0		£0	
# Pharmacy contracts	0		£0	
# Primary Ophthalmic contracts	0		£0	
TOTAL	0	0%	£0	0%
		Budget 2010/11	£0	
		Variance	£0	
NHS Commissioning Board contracts	0	0%	£0	0%
Contracts overhanging 31 March 2013	0		£0	
Agreements / implied contracts that are unsigned and may not have supporting contract documentation	0		£0	
Contracts with more than one commissioner	0		£0	
Contracts with service specification NOT included	0		£0	
Print Name				
Sign name				
Date				
There are no contracts with data population errors				

2.5.3 Outputs – Contract Risk Summary

This report is a summary of all risks relating to the overall contract portfolio split by clinical, legal/contractual and financial as displayed in image 7.

Image 7: Contract Risk Summary

DEPARTMENT OF HEALTH TRANSITION CONTROLS V014 CONTRACT RISKS SUMMARY				
There are no contracts with data population errors				
1. Portfolio risk summary report				
The portfolio displays the summary of Clinical, Legal and Financial risks held by the contracts stored in the database, depending on the service type selected from the input field below				
Portfolio Risk Summary Report				
Date:	23/09/2011	Service Type:		All
Time:	12:34:20	Quantity (#)	Quantity (%)	Estimated value (£)
				Estimated value (%)
Number of Contracts				
Total number of contracts	-		100%	£0
Contracts with one or more risk	-			£0
Clinical, one or more	-			£0
Legal, one or more	-			£0
Financial, one or more	-			£0
Number of Risks				
Clinical				
Quality and safety terms missing	-			£0
Significant incidents in last 12 months	-			£0
Risk to service continuity and vulnerable patients	-			£0
Evidence of regulator intervention	-			£0
Legal/Contractual				
Not signed by both parties	-			£0
Service specification NOT included	-			£0
Overhanging 31 March 2013	-			£0
Not able to assign	-			£0
Deviations from national standard templates	-			£0
Disputes pending/underway	-			£0
Contract file incomplete	-			£0
Financial				
Risk of significant over performance	-			£0
Risk to provider cash flow	-			£0
Print Name				
Sign name				
Date				
There are no contracts with data population errors				

The risk report provides three options for reporting

- All contracts
- NHS Commissioning Board Contracts (Primary Medical, Dental, Pharmacy and Primary Ophthalmic. Excludes specialised)
- Individual Services such as Acute; Acute / Community; Mental Health / LD; Mental Health / LD / Community; Learning Disability (LD); Community Health services; Ambulance; Primary Medical Care; Dental; Pharmacy; Primary Ophthalmic; Continuing Health Care; Prison Health; Military Health; Substance Misuse; Other

Tip: When exporting the report to other applications, either use the paste special values option or paste as a picture format on the paste special menu.

2.6 Reference Lists

This section includes the data validation rules which are used throughout the data capture tool. This sheet is pre-set and password protected. Any requests for changes to the reference lists should be made to the SHA Transition Lead

2.7.GMS/PMS/APMS/Dental/Pharmacy/PharmacyDAC/Ophthalmic Checklists

These checklists are unique to primary care services and serve as a reminder to the named PCT Lead of the information required for these contracts.

Appendix I - Populating the data capture tool

Key Contract information

Tip: A flow-chart in Appendix IV presents a diagram to define the recommended order for answering the questions.

As responsibilities transfer between commissioning organisations there is potential for loss of information and knowledge in relation to contracts. The following questions aim to record important, business critical information about the contracts currently managed.

Question 1.1: Name of individual completing this form:

In this cell please type the name of the person reviewing the contract.

Question 1.2: Is this a payment to a Specialised Commissioning Group (SCG) for provision of specialised services?

If this contract is associated with specialised commissioning and payments are made to a Specialised Commissioning Group for the activities defined within the contract, select 'Yes' then move to question 1.2.1. Click the mouse in the yellow cell alongside question number 1.2. A small arrow to the right of the cell will appear, click on this arrow with the left button of the mouse to select 'Yes'

If this contract is not associated with payments to a Specialised Commissioning Group select 'No' and move to question 1.3.

Tip: Specialised Commissioning funding arrangements vary around the country. If in doubt regarding the funding flows please liaise with your finance manager

Question 1.2.1: If 'yes', are you the lead SCG-contracting PCT?

Does the PCT lead negotiations on behalf of other commissioners with the Specialised Commissioning Group? If so please select 'Yes' Click with the mouse in the yellow cell alongside question number 1.2.1. A small arrow to the right of the cell will appear, click on this arrow with the left button of the mouse. Move on to Question 1.3.

If another PCT acts in the lead role please select "No" alongside question number 1.2.1 and move to question 1.2.2.

Question 1.2.2: Which PCT hosts your SCG arrangements?

If you are not the lead/host PCT, please name the organisation responsible from the drop-down list. Click with the mouse in the yellow cell alongside question number 1.2.1.

A small arrow to the right of the cell will appear, click on this arrow with the left button of the mouse, scroll down using the mouse on the blue-bar next to the list and select the name of the PCT with the lead role. Move to 1.2.3.

Tip: The Lead PCT will be the PCT mentioned at the top of the front page and detailed in Schedule 1 of National Standard Contract

Question 1.2.3: How much is funded by your PCT?

Please record the amount of specialised commissioning activity associated with this contract, funded by the PCT. Enter the figure into the free-text yellow shaded field adjacent to question 1.2.3. Then move to 1.3.

Tip: If in doubt regarding please ask your finance manager

Question 1.3: Is there more than one commissioner funding this contract?

If more than one PCT is funding the specialised services commissioned through this contract, please select 'Yes'. Click with the mouse in the yellow cell alongside question number 1.3. A small arrow to the right of the cell will appear, click on this arrow with the left button of the mouse to select 'Yes.' Move on to Question 1.3.1.

If services are funded by a single PCT select 'No' using the same procedure. Move on to 1.4.

Question 1.3.1: If 'yes', are you the lead or associate commissioner?

Complete this question if the answer was 'Yes' to question 1.3.

Tip: The lead commissioner is typically the PCT who is responsible for the contract. Associate PCTs/Commissioners influence the contract through the lead PCT.

Select 'Lead' or 'Associate' by clicking with the mouse in the yellow cell alongside question number 1.3.1. A small arrow to the right of the cell will appear, click on the option associated with this contract.

Question 1.3.2: If you are an associate please name the lead:

Use the drop down box of commissioners by clicking in the yellow cell next to question 1.3.2. Click with the mouse in the yellow cell alongside question number 1.3.2.

Select the commissioner who is named in the contract/leads the contract negotiations. If not recorded in the list select 'other' and move to 1.3.3. If listed move to 1.4.

Question 1.3.3: If 'other', please specify:

If the lead was not recorded in the drop-down list in the previous question and 'other' was selected, now type the name of the commissioner in the yellow free-text entry box alongside 1.3.3.

This will typically be the PCT recorded in the contract who leads the contract negotiations. .

Question 1.4: What is the name of the NHS provider as stated within the contract (legal entity)?

This question is seeking the name of the NHS organisation that is the provider of the healthcare services detailed in the contract. Where possible select the name from the drop-down box alongside question 1.4.

If the provider is not listed, please select 'Other' and move to question 1.4.1.

Tip: The provider will typically be recorded on the front page on National Standard Contracts or in Schedule 1 of the document.

Question 1.4.1: If 'other', please specify:

Please type the name of the provider stated in the contract into the yellow free text field alongside question 1.4.1.

Question 1.5: What type of contract is used?

A variety of different contractual forms are used to manage business within the NHS. A drop-down list defines the contract types.

Please click in the yellow cell next to question to activate the list and make your selection.

Tip: On National Standard Contracts the type of contract is typically noted on the cover.

Question 1.6: What service is provided?

A variety of healthcare services may be provided under a single contract, for instance learning disability and mental health care activities. A drop-down list defines the service categories. Please click in the yellow cell next to question to activate the list and make the selection.

If the service type is mentioned, move to question 1.7 if the service type of service is not listed in the pre-populated drop-down list please select 'other' and move to question 1.6.1.

Question 1.6.1 If other, please specify:

Please type the name of the service stated in the contract into the yellow free text field alongside question 1.6.1.

Question 1.7 What is the estimated annual value, under this contract directly funded by your PCT as a commissioner? (signed-off financial forecast 2011/12)

Please type into the free text box shaded yellow the forecast estimated value the PCT will spend for the services outlined within this contract during the financial year 2011/12.

Question 1.8 Which of the following payment types are stated in the contract?

The following options are available to select:

A national tariff of fixed prices is most commonly used and reflects the national average price for services and is standardised across the NHS with some adjustment made for market forces.

A local tariff is typically agreed between a commissioner and a provider and may deviate from any national fixed prices. It may take the form of a cost per case agreement, where payment is based on the quantity of care provided

A block contract is an arrangement where a provider receives a set contract payment to care for a patient population regardless of the actual volume of care given.

A one-off payment is typically made for an ad-hoc service and as a consequence may not be accompanied by comprehensive contract papers. An example might include a payment to a charity for counselling services to a brain injury patient.

An up-front payment is paid in advance for healthcare services. Sometimes this mechanism is used with smaller provider organisations. This transaction is only valid for 'Compact' providers. If you are unsure please contact your Finance Manager or the SHA Contract Transition Lead.

Pass-through payments are linked with the National Standard Contract Agreements, for example funding for pharmaceutical drugs, is streamed through a PCT from central government, purely as a mechanism for distributing the monies.

Please select from the drop-down list the payment mechanism associated with this contract for each of these payment types. More than one answer is accepted.

Question 1.9: Is there a service specification included in the contract?

This question asks whether there are details recorded of the services that should be delivered.

Question 1.10: What was the contract start date?

The new commissioning bodies receiving contracts will need clear information about the start and end dates for the agreements they are to receive.

Please record the date (as stated in the contract) when the agreement starts. Use the free text field, which includes date-formatting within the box.

Question 1.11: Is there an expiry date within the contract?

The new commissioning bodies receiving the contracts will need clear information about the start and end dates for the contracts they are due to receive.

Please select from the drop-down list to the right of this question 'yes' or 'no'.

Question 1.11.1: If 'yes', please specify the contract expiry date:

This should include the expiry date as stated in the contract.

Use the free text field, which includes date-formatting within the box.

Question 1.12: Is there a specified notice period in the contract?

This relates to the notice period required to terminate the contract prior to the expiry date. Please select from the drop-down list to the right of this question 'yes' or 'no'.

Question 1.12.1: If yes, how many months?

Please select the number of months that are specified within the contract by clicking on the drop-down list to the right of the question and select the number of months

Question 1.13: Where is the contract file physically located? Please describe location.

Please record the address, building, room and actual storage area where the contract paperwork is stored. This must include location details of contract, contract variation documents and performance reports. Please complete the free-text box.

Question 1.14: Where is the contract file stored electronically? Please describe location/server name and file path.

Where contract documents are stored electronically, please record information regarding the server and file-path ideally in a URL link. Include a link to the location of contract variation documents and performance reports.

Note: URL references will not work if activated outside the PCT, but, should be stored in such a way that the data can be accessed by PCT staff.

Key Risk Information

Risks relating to the transfer of contracts must be identified and managed to ensure that there is service continuity during the transition process

Question 2.1: Does the contract include terms to enable commissioner to monitor and manage the quality and safety of service(s)?

Contracts should define set quality and safety standards against which provider performance should be measured.

Please answer the question by selecting 'yes' or 'no' on the drop down option list.

Question 2.2: Have there been any significant quality, safety and performance issues resulting in intervention by the commissioner during the last 12 months?

With regards to the services detailed within this contract, is there evidence that suggests the commissioner/PCT has raised a performance issue? Please only consider the past year and the effect on services within this contract during that time.

Consider reviewing information from monthly/bi-monthly performance management reports/meetings along with existing risk-registers.

Please record by selecting 'yes' or 'no' on the drop down option list.

Question 2.3: Is there a significant risk that the contract transition process will affect service continuity, particularly with regards to vulnerable patients (e.g. Risk of payment cessation)?

Commissioners and providers must first and foremost ensure service continuity during the contract transition period.

With knowledge of the contract process and the provider and commissioner information available, is there is a risk of a break in the delivery of services as a result of the contract transition and commissioning changes ahead?

Please record either a 'yes' or a 'no' on the drop down option list.

Question 2.4: Has the statutory regulator (e.g. CQC or Monitor) intervened with the provider over the last 12 months?

Is there evidence of any intervention from statutory regulators that recorded negative findings?

Please record either a 'yes' or a 'no' on the drop down option list.

Question 2.5: Has the contract been signed and dated by both parties?

Please record either a 'yes' or a 'no' on the drop down option list.

Tip: Remember, check the master copy of the contract is to hand. Copies of the contract may not be signed.

Question 2.6: Has the commissioner made payment for services that were delivered after the expiry of the contract?

This question aims to highlight services funded by a commissioner or provided by a Provider following contract expiry. There is significantly increased risk for the commissioner and service users when activities are provided outside of robust contractual agreements.

If the contact has been officially extended with robust arrangements and paperwork, record 'no'.

Please record either a 'yes' or a 'no' on the drop down option list.

Question 2.7: Can the contract be assigned to another commissioner?

During the contract transition process it is important to establish the degree of flexibility within a contract and whether services and responsibilities can be transferred without impediment to other commissioners and providers.

Tip: Assignment can be defined as the process of transferring or allocating a contract between organisations.

Please record either a 'yes' or a 'no' on the drop down option list.

Question 2.8: For contracts based on national standard templates, are there any additional clauses or deviations from the core terms and conditions of the original agreement?

This question only applies to national standard contracts.

National NHS contracts provide a robust foundation for managing healthcare services. However, if clauses are removed, items added, or changes made to the core terms and conditions, this could adversely affect the legal standing of the agreement.

Based upon knowledge of the contract please record whether there have been any deviations from the core terms.

Please record either a 'yes' or a 'no' on the drop down option list.

Question 2.9: Are there disputes, appeals, investigations or legal actions underway or pending (within the next 6 months)?

Are there any known legal problems or disputes?

This needs to be aligned with Q 2.14 (financial risk) and also needs to consider if there are any outstanding/unsettled historical issues, consistent with any unsettled values agreed as part of the agreement of 'Balances Exercise'.

Tip: If the organisation has an in-house legal team, seek their view on this question

Question 2.10: Is the contract file incomplete or missing key documents; such as agreed variances and performance management reports?

Are all the necessary and important contract documents available? Please record either a 'yes' or a 'no' on the drop down option list.

Tip: Consider contract papers, activity reports, minutes from contract meetings.

Question 2.11: Is the contract file information, such as the contract papers, agreed variances and performance management reports, in a form that can be handed over in a complete package?

Are the necessary, important contract documents all together in one location

Please record either a 'yes' or a 'no' on the drop down option list.

Tip: Consider contract papers, schedules, activity reports, minutes from contract meetings, service-user/patient complaints etc.

Question 2.12.1: What is the name of the Contract Manager? If there is no Contract Manager please explain

Record the name of the PCT contract manager responsible for the management of the contract. This information is important to help capture organisation knowledge.

Enter the name of the contract manager into the yellow shaded box. If there is no known contract manager, please enter 'No contract manager' into the box.

Question 2.12.2: Please record email and/or telephone number of the Contract Manager:

Enter details of the contract manager's telephone number and or e-mail address into the yellow shaded box. If there is no identified contract manager please enter n/a.

Question 2.13: In your judgment is there a significant risk of financial over-performance against the 2011/12 financial forecast?

Drawing on the information available, is it likely the commissioner will over-spend during 2011/12 to the extent that it might cause problems for the commissioning organisation and service?

Please record either a 'yes' or a 'no' on the drop down option list.

Question 2.14: In your judgment, could the transition of contracts negatively impact provider cash-flow?

Consider the provider and the services delivered under the contract. Could contract transition adversely affect cash-flow? This could be a result of the provider losing a significant contract.

Please consider the risk of contract transition particularly with regards to the impact on smaller providers such as local charities.

This also needs to align with Q2.9 legal / contractual risks

Please record either a 'yes' or a 'no' on the drop down option list.

Appendix II – Frequently Asked Questions

Question 1: How do I delete data from the table?

- The user may **only delete data** from the yellow cells from column D to AU
- Click the 'Delete' key on the keyboard

If a message prompts that rows are deleted or it indicates moving information to the left or right, please try again using the above steps.

Question 2: How do I perform my own analysis on this data?

Simple filtering of the Data Capture Table within the Data Capture Tool can be achieved by the following steps:

- In Excel 2007 and later – go to the review ribbon, click unprotect sheet. In Excel 2003 select tools --> protection --> unprotect sheet. Use the password which is 'unlockdct'.
- Click the "Filter On/Off" button on the Data Capture Table worksheet
- Click the down arrows on row 25 and select the options in the columns to locate specific contracts.
- The user should then restore the file once completed by clicking the "Filter On/Off" button on the Data Capture Table worksheet
- In Excel 2007 and later – go to the review ribbon, click protect sheet. In Excel 2003 select tools --> protection --> protect sheet enter the password 'unlockdct' to both screens to put the file back into its original security settings

Extracting information to perform offline analysis

- In Excel 2007 and later – go to the review ribbon, and click unprotect sheet. In Excel 2003 select tools --> protection --> unprotect sheet. Use the password which is 'unlockdct'.
- Copy any data to a separate excel file
- In Excel 2007 and later – go to the review ribbon, and click protect sheet. In Excel 2003 select tools --> protection --> protect sheet enter the password 'unlockdct' to both screens to put the file back into its original security settings

Question 3: Why are certain sections of the file password protected?

The file uses password protection to maintain the integrity of the tool.

Question 4: What is the password?

'unlockdct'

Question 5:How do I unlock the worksheet I am working on?

- In Excel 2007 and later versions, go to the review title bar, and click unprotect sheet. In Excel 2003 select tools --> protection --> unprotect sheet. Use the password which is 'unlockdct'

It is suggested that before the user saves their version, they should re-protect the workbook by using the following step:

- In Excel 2007 and later – go to the review ribbon, and click protect sheet.
- In Excel 2003 select tools --> protection --> protect sheet enter the password 'unlockdct' to both screens to put the file back into its original security settings.

Question 6:What should I do with new contracts that are agreed in the future

As new contract agreements are arranged, it is important these are added to the data capture tool

Question 7:I have two contracts that have identical fields, what is the impact and how can I amend them?

The Data Capture Tool creates a unique ID reference for each contract as an amalgamation of the following fields:

- The name of the provider as stated within the contract (legal entity)
- The name of the PCT funding the service?
- The type of contract used
- The service provided
- The estimated annual value, under this contract directly funded by the PCT as a commissioner (signed-off financial forecast 2011/12)
- The Start Date of the contract

The default value for unpopulated rows within the data capture table is 'zzz.' This allows data to be sorted.

If a PCT has two contracts which are identical for all of these fields, the ID will not be unique which will impact the single contract form. We suggest that the user manually edits the value of one of the contracts by increasing it by £1 only in. This will create a minor difference between the unique IDs and have an immaterial effect on the outputs.

Question 8: How do I send the file to others?

Because of the size of the file the following shipping steps are recommended:

- 1) Ideally, copy the file to a shared drive
- 2) Send a zipped file by email
- 3) Copy the file onto an encrypted USB Data Key or CD and provide this to the person who needs the copy

Appendix III – Expert User Information

How to combine data from different sources within the Data Capture Tool

Tip: It is critically important before consolidating other copies of the data capture tool that you use the same version of the template.

PCTs may decide, for local operational and managerial reasons, to issue a number of copies of the data capture tool to users and then combine data captured into a master copy.

PCT Clusters may also need to combine a number of master copies to gather an overall view in their area. It is highly recommended that one Senior Responsible Owner is identified to manage the master copy and consolidation process within each organisation.

- To consolidate/combine information in spreadsheets, please perform the following steps:
 - Open a blank template copy of the Data capture Tool. For the purposes of this list, this is the ‘Consolidated Tool’
 - Obtain the different copies of the fully populated data capture tools from those who are populating the individual tools.
 - Check the top of the sheet on the Data Capture Table worksheet on each individual tool and verify it states: “There are no contracts with data population errors”.
 - If there are errors, review the information with the manager responsible for completing the data. If it is not possible to review the information, the reports should not be relied upon if there is a message at the top of the screen and within the reports which shows that there are any contracts with data population errors.
 - Open the Data Capture Table within an individual tool, Go to section 3 of the data capture table, for those rows which are populated copy column C to AU (which includes one column to the left of the yellow cells) starting at row 26 (i.e C26) and ending at the end of the PCT’s contract list in column AU.

The user should then go to their consolidated version of the Data Capture Tool and then on the Data Capture Table worksheet, the user should Paste (using the special and values options) in starting in cell C26, the PCT name column.

Transition Controls Data Capture Tool

If any error messages appear, the user should click 'yes' on each of the 6 screens, but then use the undo feature to remove the data entered and repeat the steps above.

Repeat the above steps for each PCT, pasting (with the special values option) starting in column C directly below the last contract in the previous PCT.

Once all data is populated in the template, the reports for the whole PCT cluster can be used.

Amending and editing names on the reference lists

- In Excel 2007 and later – go to the review title bar, and click unprotect sheet. In Excel 2003 select tools --> protection --> unprotect sheet. Use the password which is 'unlockdct'
- Edit the list required in the reference list sheet
- It is suggested that if the user is extending a list, add rows into the middle of the relevant list rather than the end as this will automatically extend those sections which reference the lists.
- In Excel 2007 and later – go to the review ribbon, and click protect sheet. In Excel 2003 select tools --> protection --> protect sheet. and enter the password 'unlockdct' to both screens to put the file back into its original security settings

Version Control

Each SHA and PCT cluster will identify a Senior Reporting Officer (SRO) for their organisation who owns the Data Capture Tool. It is their responsibility to:

- Understand how to operate the Data Capture Tool
- Own the master copy of the Data Capture Tool for their organisation and identify where it is stored so that others may use it in their absence.
- Act as the first point of call for local questions on how to use the Data Capture Tool
- Where questions arise that cannot be answered, the SRO should send them to the SRO in their cluster, or if they are in the cluster to the National SRO

Before commencing any work on the tool, the SRO in the PCT should contact their SRO in the cluster to verify whether the latest version is available

Appendix IV – Recommended order for answering questions

