

## Greater Manchester LWEG Process for Allocation of Forerunner Fund

### 1. Introduction

This document describes the approach the Greater Manchester LWEG will use to allocate the Forerunner Fund, this is based on the LWEG/ HENW Principles and Process for Allocation of Forerunner Fund which is attached to this paper. The Forerunner Fund provides £1m for each North West LWEG for 2014/15 and is a non-recurrent allocation.

### 2. Local Principles of Allocation

In addition to the principles set out in the LWEG/NENW paper the Greater Manchester LWEG have agreed the following requirements:

- a) The Forerunner Fund allocation is consistent with
- b) Proposals should be between £25k and £75k – the reason being:
  - To provide opportunities for a wider impact across the LWEG
  - Smaller bids have higher chance of being delivered in the timescale
  - Increases the opportunities for smaller services or organisations to access the fund
- c) Proposals should describe how they benefit the NHS economy within Greater Manchester and in agreeing funding the Greater Manchester LWEG consider the balance between:
  - Sectors (primary/ secondary/ tertiary care),
  - Workforce (medical/non-medical/Bands 1-4),
  - Services (mental Health/acute/community/rehabilitation/learning disability, etc.)

In addition the proposals should demonstrate:

- Clear and tangible outcomes/impact
  - Engagement with wider stakeholders
  - Impact on patients/carers/Public Health
  - Evidence base for future work or how the initiative can be made sustainable
- d) Forerunner Fund allocations must be fully allocated with clear, detailed spending and utilised by bidders within the financial year.
  - e) The Forerunner Fund is intended to fund transformational and developmental projects. If a proposal is or could be supported through other funding routes then it will not be funded through the Forerunner Fund.

### 3. Process for Allocation

The process for submitting and agreeing proposals by the Greater Manchester LWEG is outlined below. While this describes the local LWEG process it is based on the LWEG/ HENW Principles and Process for Allocation of Forerunner Fund:

- a) The timetable for submission of proposals is:
  - 27 June 2014 - Completed proposals should be submitted to HENW
  - 04 July 2014 - Shortlisting of Proposals
  - 11 July 2014 - LWEG to select final proposals

- b) Each proposal must have an Director sponsor or equivalent senior officer and the support of the appropriate senior HENW officer/ budget holder – [Neil McLauchlan](#)
- c) In order that shortlisting and selection of proposals is able to meet the timetable and be fair and equitable proposals forms must be clear and complete – any which are not will be rejected and returned to the proposer.
- d) Feedback will be given by the HENW Senior Officer to any unsuccessful proposals
- e) The HENW Head of Finance will obtain final HENW SMT approval of Forerunner Fund allocations before final decisions are communicated to LWEG members and proposers.
- f) (Following final Forerunner Fund allocation approval) LWEG sponsors will report progress on projects to each LWEG meeting with supporting summary report from HENW Head of Finance. LWEG Chairs to report summary progress for each sub region to LETB.

#### Subsequent actions

- a) If not all funds have been allocated in this first round, Greater Manchester may undertake a second round, LWEG Chair and HENW senior officer to agree a second process.
- b) Should any proposal fail to meet its project timescales or deliverables then the LWEG may withdraw funding and reallocate this to new proposals.

**Forerunner Fund Business Case:**

Title:

**PART A – Proposer to Complete**

1. Proposer: [name, title, organisation], Lead Director or equivalent: [name, title, LWEGB representative role], HENW senior officer/ budget holder: [name, title]

Proposer	Lead Director	HENW Senior Officer/Budget Holder
Name:	Name:	Name: Neil McLauchlan
Title:	Title:	Title: Associate Head for Education Commissioning
Organisation:	Organisation:	Organisation: Health Education North West

2. Description of context for, and specific proposal for workforce/ education initiatives (include evidence, notable exclusions etc):

3. Description of deliverables - inputs, processes, outputs, outcomes – and impact success measures/KPIs to manage ongoing progress, and details of how these will be performance managed.

4. Description of how the deliverables will have an impact across the health and social care system/ be able to be replicated across the system

5. Description of how the proposal and deliverables will be made sustainable subsequent to the completion of this stage of the project.

6. Description of how the proposal and deliverables fit with relevant strategy/ strategic planning (eg national/ regional/ local strategy, commissioning/ provider plans – include specific details)

7. Description of how the proposal and deliverables would create an evidence base for future work.

8. Description of other attempts to source alternative/ additional funding for initiative and outcome.

9. Confirmation of any recurrent cost or saving post March 2015. Include details of how recurrent cost would be funded.

10. Details of any (other) key risks/dependencies to be managed?

**PART B – HENW Senior Officer to complete in conjunction with Proposer**

11. Description of engagement with relevant stakeholders to ensure there is broad stakeholder support?

12. Link to HEE's strategic objectives & HENW priorities (HENW senior officer to advise/ complete)

13. Details of link/ overlap with other HENW/HEE projects (HENW senior officer to advise/ complete)

14. Description of how and where the FF money, if granted, will be spent, and confirmation of responsibility for tendering/ staffing etc. (Proposer to give details/ complete and HENW senior officer and Head of Finance to advise)

15. Confirmation of classification of expenditure – workforce development/future workforce/education support (HENW Head of Finance to advise/ complete)

16. Details of spending plan for 2014/15 funding (include VAT where applicable) (Proposer to give details using table below, HENW senior officer to check specifics):

Dates for spend 2014/15	Description of spend inc. counterparty	£000

**Completed proposals should be returned to Neil McLauchlan at [neil.mclauchlan@nw.hee.nhs.uk](mailto:neil.mclauchlan@nw.hee.nhs.uk) by 5.00pm on the 27 June 2014**

## APPENDIX

### **FRAMEWORK - LWEG/ HENW Principles and Process for Allocation of Forerunner Fund**

#### **4. Introduction**

This framework document describes HENW's requirements, and support resources to LWEGs in allocating the £1m of forerunner funds (FF) identified for each sub-region for 2014/15.

It also is a guide for LWEGs in identifying principles and processes for FF allocation. Each LWEG may establish its own principles and process in agreement with HENW officers, on the basis that the requirements of HENW as the accountable organisation are met.

#### **5. Principles of Allocation**

HENW requirements:

- f) FF allocation consistent with HEE's strategic objectives and HENW's priorities.
- g) FF for funding transformational and developmental projects. 'Business as usual' activities (eg increasing nurse commissions) should be dealt with by normal HEE processes.
- h) At least 50% of FF should be for funding workforce and education initiatives relating to the existing workforce.
- i) FF must not be used to increase HENW running costs.
- j) Application should demonstrate if/ how alternative sources of finance have been pursued
- k) FF should benefit local NHS economy, and each LWEG should consider a justifiable overall balance within the £1m total possible allocation between primary/ secondary/ tertiary care, medical/non-medical, MH/acute/community etc..
- l) HEE retains intellectual property rights in the work funded by the FF and reserves the right to share knowledge more widely.
- m) FF funded projects must avoid duplicating work within in HEE, and other LWEGs and LETBs.
- n) FF allocation must be fully allocated with clear, detailed spending plans by 31 October 2014 and utilised by bidders within the financial year. If there is remaining FF allocation by 31 October 2014 which is either unallocated or for which there are not clear spending plans, this will be returned to HENW for allocation at its discretion.

LWEG principles:

Proposals should:

- i) Demonstrate impact across system/ replicability
- ii) Demonstrate tangible outcomes/ impact
- iii) Demonstrate fit with relevant strategy/ strategic planning
- iv) Be representative of/ demonstrate engagement with wider stakeholders
- v) Be underpinned with patient/ person centric deliverables
- vi) Treat the issue or opportunity at its source, not the symptom

- vii) Demonstrate how the initiative would be made sustainable
- viii) Create an evidence base for future work

## 6. Process for Allocation

HENW requirements:

- g) Good practice NHS procurement principles should be followed where appropriate.
- h) Each LWEG to agree a timetable for consideration of bids for funding with deadlines to be met with the aim of allocating as much of the fund as possible at the first round.
- i) HENW to coordinate LWEG timetables to enable 2g) (above) to be achieved
- j) Each proposal must have an LWEG sponsor and the support of an appropriate senior HENW officer/ budget holder – [Lisa Ellis](#) (C&M), [Mike Burgess](#) (C&L) and [Neil McLauchlan](#) (GM).
- k) Each proposal must be made on the attached template 10 days before the meeting date, at which proposals will be considered.
- l) LWEG members should have regard to their role as representatives and should assure themselves that decisions on FF allocation proposals would have broad support of the local NHS.
- m) HENW Head of Finance will obtain final HENW SMT approval of FF allocations before final decisions are communicated to LWEG members and proposers.
- n) (Following final FF allocation approval) LWEG sponsors to report progress on projects to each LWEG meeting with supporting summary report from HENW Head of Finance. LWEG Chairs to report summary progress for each sub region to LETB.

Example Process (with Roles and Responsibilities, assumes one FF allocation meeting with panel)

- i) LWEG Chair (Chair of Panel) to communicate with LWEG members to agree panel of LWEG reps to hear proposals and make preliminary decisions (LWEG Chair with support of HENW senior officer/ admin, suggest at least 4 including Chair – see below)
- ii) LWEG Chair to agree date (existing LWEG meeting date or separate meeting) at which proposals will be heard/ considered and preliminary FF allocation decisions made (LWEG Chair with support of HENW senior officer/ admin, particularly in coordinating across LWEGs. HENW Head of Finance (or representative) and HENW senior officer to support process, make arrangements for meeting and be present at meeting to oversee proceedings including admin support for notes of meeting)
- iii) HENW senior officer to agree with Chair indicative template for scoring for panel based on LWEG principles, and including range of potential decisions (support fully – all funds requested allocated, support partially – portion of funds requested allocated, support conditionally – conditions to be met for support, not supported), send out to panel members in advance of the meeting, and produce sufficient copies for decision making meeting
- iv) HENW senior officer to prepare comms to each LWEG rep obo LWEG Chair to forward on to networks invitations for proposals (or agree with HENW senior officer/ admin to circulate on their behalf) to include details of principles and process (including dates for submission and decision making), business case template, and making clear each



- proposer needs a LWEF sponsor and HENW senior officer support and including contact details.
- v) Business case templates to be completed by proposer following contact with and advice of HENW senior officer on any HENW requirements (including link to any relevant internal support staff, eg Finance on procurement rules), and with advice of LWEF sponsor on LWEF principles.
  - vi) Business case templates to be forwarded to HENW senior officer and LWEF sponsor at least 10 days in advance of decisionmaking meeting. LWEF sponsor to confirm support for proposal, and HENW senior officer to ensure HENW requirements met, and to collate and circulate to decisionmaking panel at least 5 days in advance of decisionmaking meeting.
  - vii) Any proposals where HENW requirements cannot be met or demonstrated will not be submitted for consideration by the panel.
  - viii) HENW senior officer to confirm timetable for consideration of proposals and inform proposers and LWEF sponsors, and confirm their attendance, and send this out at least 5 days in advance of the decisionmaking meeting.
  - ix) FF allocation decisionmaking meeting:
    - a. Chaired by LWEF Chair
    - b. At least three other LWEF panel members (representative of different groups/ sectors)
    - c. Any LWEF panel member who is also a proposer, or who otherwise has a direct conflict of interest in any proposal will stand down from the decisionmaking panel when those proposals are considered, and the average of the scores of the remainder of the panel will be used in place of their scores. This should leave at least 3 panel members remaining.
    - d. HENW senior officer will oversee proceedings and administration, and Head of Finance (or representative) will be present
    - e. Each proposer will have up to 5 minutes to present to the panel without Powerpoint etc., with the support of the LWEF sponsor. The panel will have an opportunity for questions afterwards.
    - f. Each panel member will complete a scoring sheet for each proposal
    - g. Once all proposals have been heard, the panel will adjourn to consider their decisions. The panel will, with the support of the HENW senior officer and Head of Finance (or rep) collate the list of supported proposals.
    - h. The HENW Head of Finance will present the preliminary list of supported proposals to the next HENW SMT meeting for approval with the support of the HENW senior officer.
    - i. The HENW Head of Finance will communicate the final decision of SMT to the Chair, and panel members
    - j. The HENW senior officer will inform each proposer and LWEF sponsor the outcome of the process in relation to their proposal, and deal with any follow up queries.

## Subsequent actions

- c) If not all funds have been allocated in this first round, and there remains enough time to undertake a second round, LWEG Chair and HENW senior officer to agree a second process.
- d) A performance management process to be established, led and coordinated by HENW senior officer, for LWEG oversight of supported proposals through to spend and completion of deliverables, including proposers to update on standard template to be devised, and LWEG sponsors to be in a position to answer general queries on progress.
- e) Each HENW senior officer to hold and manage the budget for each FF 'pot', and feed progress on spend into the performance management process.