

**Technical Guidance
for NHS planning
2017/18 and 2018/19**

Published by NHS England and NHS Improvement

Technical Guidance for NHS planning 2017/18 and 2018/19

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1 Introduction

Over the coming months, NHS bodies will need to work together to produce an operational plan for 2017/18 and 2018/19 for each organisation, which is consistent across the planning footprint and with the Sustainability and Transformation Plan (STP).

A number of supporting, technical and supplementary guidance documents have been developed to support commissioners and providers in developing their operational plans. The expectations for the content of operational plans are described more fully in Annex E for commissioners and Annex F for providers. This technical and supplementary guidance and its supporting Annexes also provide more information about: the expectations in relation to key policy areas and deliverables including transformation and efficiency, the timetable, where to find support, content and assurance arrangements for operational plans, and guidance on the various data returns and templates organisations will need to use.

2 Support, Review and Assurance for 2017/2018 and 2018/2019 Operational Plans

The operational plan of each commissioner and provider will need to be approved by its individual Board or Governing body.

NHS England and NHS Improvement will undertake a joint assurance process, working with local organisations in a coherent and joined-up way. Equally, commissioners and providers are expected to ensure their plans reconcile and are agreed locally prior to submission.

This joint assurance approach will focus on:

- How operational plans set out to deliver the next two years of the system STP, covering agreed plans to close the three gaps – care and quality, health outcomes and finance;
- Ensuring milestones and deliverables are clear;
- Provider and commissioner plans reconcile both to the system STP and to each other and share planning assumptions;
- Agreement of robust, stretching and deliverable activity plans by commissioners and providers. They are directly derived from the projections agreed within system STPs and reflect historic growth levels moderated by agreed transformation and efficiency schemes. They enable agreed performance trajectories to be delivered within available financial resources;
- Ensuring that finance, workforce and activity projections are fully aligned with activity projections; and
- That risks inside and outside of the direct control of the organisation are identified and mitigated. This involves considering both the assumptions in individual plans and the shared understanding across the system in terms of how the system will work together to manage risks.

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NHS England and NHS Improvement are developing a joint prospectus of practical planning support for localities to access, including a range of planning tools and a series of workshops and webinars.

The main elements are:

- Areas asked to self-assess their readiness for local health and care community working and support designed around need;
- Structured support and challenge (for example, site visits) provided by joint national teams and STP leads;
- Workshops/webinars on specific aspects of planning; and
- Practical tools, resources and guides.

To support commissioner and provider plans a series of regional Demand and Capacity training events have been held throughout 2016. These events provided a shared understanding of the principles underpinning demand and capacity planning and promoted the use of a series of demand and capacity models that will help inform activity plans.

We encourage attendees to use these skills to help inform the activity plans for 2017/18 and 2018/19. Further one day training events are being held throughout 2016. For further information and support please access the webpage www.england.nhs.uk/demand-capacity

Demand and capacity planning should be regarded as business-critical rather than an optional skillset. The suite of demand and capacity modelling tools has been produced to assist commissioners and providers in embedding these skills in the planning process. Further details can be obtained from england.demandandcapacityproject@nhs.net or from the webpage as listed above.

2.1 Joint data collections

To ensure coherence of plans across the locality, activity and finance assumptions made by providers and commissioners should be consistent. For the 2017/18 and 2018/19 planning rounds, commissioners and providers will provide aligned planning information to NHS England and NHS Improvement respectively. Information from these collections should be shared locally between commissioners and providers, allowing transparency and understanding of common data and enabling alignment of plans.

The contract tracker collection (Technical Guidance Annex G) will commence on 21st November 2016. Throughout the contracting round, providers and commissioners will submit information through UNIFY relating to their individual contracts. This will help all parties to understand misalignment and contract risk early on, thus; providing meaning support to commissioners and providers; encouraging contracts that contain realistic levels of activity that providers have the capacity to deliver; and helping to ensure that contracts are signed by the national contract deadline.

Support is available from regional NHS England and NHS Improvement teams to help organisations make progress and resolve outstanding issues. Where contract

discussions have not progressed, the escalation processes detailed in the Joint Contract Dispute Resolution Annex should be followed. However, they should be used only as a last resort. Details of the joint contract dispute resolution process can also be found on the NHS England website.

3 Key Planning Advice Contacts

NHS England

NHS England central team will be contactable via email at england.ops-planning@nhs.net Regional colleagues should be contacted in the first instance using the contact details in the table below.

| Location of trust | Email address |
|-------------------|------------------------------------------------------------------------------------------|
| North of England | england.planning-north@nhs.net |
| Midlands and East | me-ops.england@nhs.net |
| London | england.londonsubmissions@nhs.net |
| South of England | england.operations-south@nhs.net |

NHS Improvement

The main contact point for providers will be through the regional teams. The names and contact details are set out in the table below. Any queries should be directed to your usual regional team contact.

| Location of trust | Email address |
|-------------------|------------------------------------------------------------------------------|
| North of England | NHSI.planningnorth@nhs.net |
| Midlands and East | NHSI.planningmande@nhs.net |
| London | NHSI.planninglondon@nhs.net |
| South of England | NHSI.planningsouth@nhs.net |

The leads at NHSI in relation to specific technical elements of the operating plans are set out in the table below.

| Operating plan element | Email address |
|------------------------|--------------------------------------------------------------------------------------|
| Quality | NHSI.clinicalquality@nhs.net |
| Workforce | NHSI.workforce@nhs.net |
| Performance & activity | NHSI.returns@nhs.net |
| Finance | NHSI.finplan@nhs.net |
| Capital and cash | NHSI.capitalcashqueries@nhs.net |

4 Directory for 2017/18-2018/19 operational plans

4.1 Annexes to the Technical Guidance

Annex A -Information on CQUIN

| | |
|--------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Link to CQUIN engagement exercise: | https://www.england.nhs.uk/planning-guidance |
| Link to CCG CQUIN scheme 2017-2019: | https://www.england.nhs.uk/nhs-standard-contract/cquin/cquin-17-19/ |
| Audience: | CCGs, NHS Trust and NHS Foundation Trusts |
| Purpose: | To outline the CQUIN |
| Content: | <ul style="list-style-type: none"> • Information on the engagement exercise that was undertaken • Guidance for the scheme 2017-2019 • Detailed information on the indicator definitions |
| Publication Dates | 22 September 2016 – Engagement draft 4 November 2016 – CCG CQUIN scheme 2017-2019 and engagement exercise outcome |

Annex B - Information on Quality Premium

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|-------------------------|---------------------------------------------------------------------------------------------------------------------------------------|
| Link: | https://www.england.nhs.uk/planning-guidance |
| Audience: | CCGs |
| Purpose: | To outline the Quality Premium scheme to CCGs |
| Content: | <ul style="list-style-type: none"> • Information on Quality Premium • Calculation of Quality Premium Payments |
| Publication Date | 22 September 2016 |

Annex C - Joint Contract Dispute Resolution

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| Link: | https://www.england.nhs.uk/planning-guidance |
| Audience: | CCGs, direct commissioning teams, NHS Trusts and NHS Foundation Trusts |
| Purpose: | To provide the process of the dispute resolution process |
| Content: | <ul style="list-style-type: none"> • Information on the Contract Dispute Resolution Process |
| Publication Date | 22 September 2016 |

Annex D – NHS England Guidance for Completion of Commissioner Finance Templates

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| Link: | https://www.england.nhs.uk/planning-guidance |
| Audience: | CCGs, NHS England direct commissioning teams |

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| Purpose: | To provide guidance for Commissioners on to how to complete the financial plan template |
| Content: | <ul style="list-style-type: none"> • Guidance on CCG finance templates • Guidance for Direct Commissioning Financial Templates |
| Publication Date | 22 September 2016 |

Annex E – NHS England CCG Guidance for Operational and Activity Plans

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| Link: | https://www.england.nhs.uk/planning-guidance |
| Audience: | CCGs, NHS England direct commissioning teams |
| Purpose: | Sets out the business rules, Operational planning measures and explain the requirements for completion of the Monthly activity planning templates. |
| Content: | <ul style="list-style-type: none"> • Details of business rules and financial planning requirements • A table setting out the full range of operational planning measures, including NHS Constitution standards. • Information on Direct Commissioning • Details of template requirements for plans • Activity Planning |
| Publication Date | 22 September 2016 |

Annex F - NHS Improvement Guidance for Operational and Activity Plans

| | |
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| Link: | https://www.england.nhs.uk/planning-guidance |
| Audience: | NHS Foundation Trusts and NHS Trusts |
| Purpose: | To clarify the main elements that should be included within operational plans produced by providers and to detail the approach to be taken by NHS Improvement in reviewing them |
| Content: | <ul style="list-style-type: none"> • Objectives for 2017-18 and 2018-19 operational plans • Requirements of provider operational plans • Summary of operational plan submissions • Guidance on operational plan narrative • Approach to review of provider operational plans |
| Publication Date | 22 September 2016 |

Annex G - Joint Contract Tracker

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| Link: | https://www.england.nhs.uk/planning-guidance |
| Audience: | CCGs, direct commissioning teams, NHS Trusts and NHS Foundation Trusts |
| Purpose: | To provide guidance on the Contract Tracker collection |
| Content: | <ul style="list-style-type: none"> • Guidance on how to complete the contract tracker for weekly submission in UNIFY2 • Details of collection requirements |
| Publication Date | 22 September 2016 |

4.2 Linked Publications and Information

These documents should be read in conjunction with the Planning Guidance.

Information on National Tariff

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| Link: | https://improvement.nhs.uk/resources/proposed-national-tariff-prices-1718-1819 |
| Audience: | CCGs, NHS Trust and NHS Foundation Trusts |
| Content: | <ul style="list-style-type: none"> Information on National Tariff S118 Publication of draft National Tariff Prices |

NHS Standard Contract

| | |
|------------------|-------------------------------------------------------------------------------------------------------------------------------|
| Link: | https://www.england.nhs.uk/nhs-standard-contract/17-18/ |
| Audience: | CCGs, direct commissioning teams, NHS Foundation Trusts and NHS Trusts |
| Content: | <ul style="list-style-type: none"> NHS Standard Contract consultation |

Specialised Commissioning Intentions

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| Link: | https://www.england.nhs.uk/planning-guidance |
| Audience: | NHS Foundation Trusts, NHS Trusts and Independent sector providers of specialised services, NHS England direct commissioners, CCGs, Suppliers of medical devices, drugs, diagnostics and other healthcare interventions |
| Content: | <p>Provides notice to healthcare providers and partners about changes and planned developments in the commissioning and delivery of specialised services, informing contracts, STP and organisation specific business plans, covering:</p> <ul style="list-style-type: none"> National intentions, national priorities for the six programmes of care (Mental Health, Cancer, Blood & Infection, Internal Medicine, Women's & Children's, Trauma) and specific priorities for London, North, Midlands and East, South regions. Detail about how the new strategic framework for specialised commissioning will enable place and population based care Changes approved by ministers to prescribe new services as specialised and the national adoption of new information rules Commissioning processes supporting the Carter Review implementation including reform to locally priced services, utilisation management, medicines optimisation, medical device supply chain, high cost drugs reimbursement and data flows. Priorities for national and regional strategic service reviews which will reshape care provision in key services, and support implementation of national strategies in cancer, mental health and for patient with learning disabilities. Priorities for clinical policy and service specification development, payment reform, quality improvement and peer review. |

Specialised Commissioning CQUIN

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| Link: | https://www.england.nhs.uk/planning-guidance |
| Audience: | NHS Foundation Trusts, NHS Trusts and Independent sector providers of specialised services, particularly clinical service leads. NHS England direct commissioners |
| Content: | <p>Sets out Specialised Commissioning CQUIN guide and scheme templates, which are the basis of a provider-specific package of incentives offered to each contracted healthcare provider of specialised services. The scheme sets out goals for change, how improvements for patients will be rewarded, and how success will be measured:</p> <ul style="list-style-type: none"> • The scheme retains multi-year CQUINs introduced in 2016/17 • The number of CQUINs per contract is proportionate to the financial value of CQUIN investment, with up to 10 schemes for the largest providers of services • As now, Hepatitis C network lead providers will earn up to 2.8%, other acute providers 2.0% and mental health providers 2.5% • Incentive payments have been increased from 'typical provider cost plus 25%' to 'plus 50%' rather than fixed percentages of contract, so financial rewards relate to the scale of patient benefits. |

Specialised CQUIN Scheme Guidance for 2017-19

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| Link: | https://www.england.nhs.uk/planning-guidance |
| Audience: | NHS Foundation Trusts, NHS Trusts and Independent sector providers of specialised services, particularly clinical service leads. NHS England direct commissioners |
| Content: | <p>Sets out the CQUIN scheme for Prescribed Specialised Services (PSS) for the two year period from April 2017 to March 2019.</p> <ul style="list-style-type: none"> • NHS England will invest almost £600m through the Specialised CQUIN scheme in the next two years. • Some CQUINs apply across acute or mental health services, but many are service specific, by programme of care. • To ensure sufficient time to deliver change, PSS CQUIN schemes are again multi-year, with most CQUINs continuing from 2016/17. New schemes are designed for implementation over two years. |

4.3 Future Publications and Information

NHS Improvement Guidance for Completion of Provider Finance Template

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| Link: | https://improvement.nhs.uk/uploads/documents/20161031_2017-18_Finance_Technical_Guidance_-_Final.pdf |
| Audience: | NHS Foundation Trusts and NHS Trusts |
| Purpose: | To provide guidance for providers for the completion of the financial plan template |
| Content: | <ul style="list-style-type: none"> • Details of the structure and revised approach of the new financial planning template • Overview of the content within the template • Approach to checks and validations within the template • Submission details |
| Publication Date | 1 November 2016 |

NHS Improvement Guidance for Completion of Provider Workforce Template

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| Link: | https://improvement.nhs.uk/uploads/documents/Workforce_planning_-_technical_guidance_2017-18.pdf |
| Audience: | NHS Foundation Trusts and NHS Trusts |
| Purpose: | To confirm the requirement for inclusion of workforce planning within provider operating plans |
| Content: | <ul style="list-style-type: none"> • Guidance on how to produce a workforce plan and complete the necessary documentation |
| Publication Date | 1 November 2016 |

Provider Control Totals and Sustainability and Transformation Fund

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|-------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Link: | https://improvement.nhs.uk/uploads/documents/STF_and_Financial_CT_1718_1819_Guidance_Indicative.pdf |
| Audience: | CCGs, NHS Trusts and NHS Foundation Trusts |
| Purpose: | The guidance introduces the Sustainability and Transition Fund (STF) for the two-year period 2017/18 and 2018/19, outlining the methodology for allocations of STF to trusts, the criteria attached to receipt of STF and the methodology for determining providers' financial control totals. |
| Content: | <ul style="list-style-type: none"> • Methodology paper • Criteria for receipt of STF |
| Publication Date | 30 September 2016 |

Better Care Fund Planning Requirement

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|------------------|---------------------------------------------------------------------------------------------------------------------------|
| Link: | Link to be added when document published |
| Audience: | CCGs, Local Authorities |
| Purpose: | To outline the planning requirements of commissioners in order to access funding through the Better Care Fund in 2017/18. |
| Content: | TBC |

| | |
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| Publication Date | TBC |
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Joint Technical Definitions for Performance and Activity

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| Link: | https://www.england.nhs.uk/wp-content/uploads/2015/12/joint-technical-definitions-performance-activity.pdf |
| Audience: | CCGs, Direct Commissioners, NHS Foundation Trusts and NHS Trusts |
| Purpose: | To describe the indicators in the NHS Operational Planning and Contracting Guidance 2017/18 and 2018/19 to set out for each measure definitions, monitoring, and accountability and planning requirements. |
| Content: | <ul style="list-style-type: none"> • Definitions for planning trajectories |
| Publication Date | 30 September 2016 |

NHS England Commissioner Allocations

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|-------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Link: | https://www.england.nhs.uk/wp-content/uploads/2016/10/2017-18-2018-19-ccg-allocation-adj.pdf |
| Audience: | CCGs, Director Commissioners |
| Purpose: | To confirm revised commissioner allocations for 2017/18 and 2018/19 as a result of the changes to national tariff and the IR specialised commissioning rules |
| Content: | <ul style="list-style-type: none"> • Methodology • Revised commissioner allocations |
| Publication Date | 21 October 2016 |