

BUSINESS CASE APPROVAL FORM



Reference Information			
Title:	Special Measures Improvement Director at Norfolk and Suffolk NHS Foundation Trust (the trust) – extension		
Name of requestor:	██████████	PCOE Reference:	
Directorate/Team /ALB:	NHS Improvement	Name of Budget Holder:	NHS Improvement
Tel number of requestor:	██████████	Date submitted for approval:	22 August 2016
E-mail address of requestor:	████████████████████	Total Value (£) (excl VAT):	██████████
Duration (days):	26	For interim and specialist contractors, the Department assumes a contractor year of 220 days, reduced pro rata	
Start date:	August 2016	End date:	December 2016
Approvals Required (please tick ✓) ¹			
Director General/ALB Chief Executive	DH Financial Approvals Panel	Department of Health Ministers	Cabinet Office or HM Treasury
✓	✓	✓	
Expenditure type (please tick ✓)			
New Business Case		Extension to Business Case	✓
		Original PCOE Reference	PSBC 6026

All Professional Services		Other expenditure types	
Specialist Contractors	✓	ICT	
Interim Manager		Communications	
Consultancy		Digital	
Other Professional services (describe)		Other	

Endorsements, Authorisation and Approvals		
Endorsers/Authorisers/Approvers	Required	Name and Date
PCOE/Procurement Business Partner	✓	By: N/A (recruitment)
HR Business Partner	✓	By: ██████████ Date: 19 August 2016
Finance Business Partner	✓	By: ██████████ Date: 19 August 2016
Director General or ALB Chief Executive	✓	By: Kathy Maclean; Date: 22 August 2016
Finance Approvals Panel	✓	By: [Specify name]; Date: [Specify date]
Department of Health Minister	✓	By: [Specify name]; Date: [Specify date]
HMT (over £500k & programme funded)		By: [Specify name]; Date: [Specify date]
Cabinet Office/ERG		By: [Specify name]; Date: [Specify date]

Note: It is the responsibility of the requestor to ensure that approval information is retained for audit purposes.

¹ To enter a tick in a cell, press shift and p; or copy and paste the ones provided.

What outputs or specific deliverables are required, and how do they support the overall objectives?

The ID will assist NHS Improvement in continuing to ensure that the trust improves the quality and safety of its services for patients. The key outcome would be for continued improvements in quality and leadership within the trust, and for the CQC to formally recommend exit from special.

Although the CQC re inspection has now taken place, we propose that Alan Yates will continue to provide ID support with a focus on improving quality governance, sustaining pace in delivering the full CQC action plan, maintaining cultural change and supporting the management team until end of December 2016. ID support is an expectation of the special measures regime whilst the trust formally remains in Special Measures (which it will do until the CQC report is published).

There is a need for continuity at the trust and therefore we are recommending that Alan remains the ID. For such a short period (August- December 2016) it would not be efficient to fill this role via another route at this stage. This case includes the requirement for continued support of up to two days per week from August to end of December 2016. [REDACTED]

Job Purpose:

The purpose of the ID is to provide NHS Improvement with assurance about the trust's approach to improving performance. They also support the trust, using their experience to provide constructive challenge. They will administer the 'Buddy Trust' arrangement, another key element of the special measures programme.

They are engaged to (a) understand the root-cause of the problem and ensure the trust focuses on key issues (they are to focus on delivering outcome as opposed to diagnosing a problem), (b) drive change and (c) provide quality assurance to NHS Improvement as required.

Main Accountabilities:

The ID will be accountable for:

- *Assurance of the special measures trust's action plan:* the ID will oversee the trust's development and implementation of a credible turnaround plan to improve the quality and safety of its services for patients;
- *Assurance of the special measures trust's implementation of this action plan:* the ID will act on behalf of NHS Improvement, and in concert with the relevant Regional Team of NHS Improvement, to oversee delivery of the required improvements in the trust;
- *Assessing Risk:* the ID will report to NHS Improvement on progress with improvements, barriers and risks preventing the achievement of plans, the working relationships within the trust and relationships with stakeholders in the wider sector (e.g. NHS England or CCGs);
- *Assuring the accuracy of progress reporting:* the ID will promote transparency and public accountability through validating the accuracy of each trust's reporting against its action plan;

Procurement route (please tick ✓)			
Framework (Insert which one if known)		Open tender	Other (speak to PCoE)
Procurement Method: The appointment has been made via a recruitment agency, Michael Page, who handle the administration of the appointment (Michael Page are a framework supplier under CCS framework RM971: Non Medical Non Clinical).			
Category Code:	Professional services/specialist contractors		
General Ledger Code:			
Selected provider (if known):	Alan Yates (via Michael Page)		

Approvals:

1. Except as set out below, final financial approval for all expenditure requested within this Business Case Approval Form will be given by the Department of Health Finance Approvals Panel. This panel exercises the authority of the Director General, Strategy, Finance & NHS.
 - Requests which require ministerial approval;
 - Any proposal to extend a consultancy agreement beyond 9 months; or
 - Procurement-related consultancy greater than £20k.

2. Ministerial approval is required for all cases in respect of:

- A contract value in excess of £200k (for any other category of professional service); or
- Any case for interim or specialist contractors with a contract value that would, if the applicable daily rate were applied for a year, exceed £200k (i.e. £900 per day).

Commercial case/Procurement route

3. **Basis of payment** – as far as possible, the Department prefers prices to be fixed on appointment. You should provide details of an agreed fixed fee, or provide an explanation as to why you are proposing an alternative pricing structure (including the extent to which expenditure caps should apply).

Financial case

4. If the value of the service sought exceeds £500k, and funded from a programme budget, you will need to work with your Finance business partner to obtain HM Treasury approval for this category of expenditure. This is to be undertaken after the DH Finance Approvals Panel has approved the case.
5. In the case of all types of specialist contractor, DH assumes a contractor year of 220 days, reduced *pro rata* for shorter appointments (e.g. 110 days for six months). You will need to justify any appointment that exceeds this limit. You should also identify any risks associated with the use of an external provider (including your plans to mitigate such risks). Provide details of internal resources that will assist with the provision of the service.