

NHS Salford CCG 2019/2020 Innovation Fund Locality Call

Terms and Conditions

1. Overview for Applications to the Innovation Fund Locality Call

1.1 Invitation to submit applications to the Innovation Fund

You are invited to submit applications to this Locality Call for funding to deliver pilot projects and real-world evaluations of new innovations in health and social care. The Locality Call is an opportunity for organisations to have their innovations evaluated in an appropriate setting and to build evidence of the value of these new interventions to the population of Salford.

Bids should describe an innovation that is not routinely used in Salford, but that has a sound rationale for piloting in Salford, and/or a track record of effectiveness and impact outside of the City. The programme is open to applicants from any location, although it is expected that applications submitted from Salford organisations will be of particular interest.

The topical scope of the Innovation Fund Locality Call is reviewed and revised on an annual basis in line with current system-wide strategic priorities and opportunities. For full details of the aims and objectives of the 2019/20 Locality Call, eligibility of projects types to apply and the application and selection process, please refer to the **Application Guidance** document.

Please contact the Innovation Team on innovation.salfordccg@nhs.net if you require assistance

1.2 Summary of the Innovation Fund Offer

The offering for successful applicants is a 12-month funding award to facilitate their proposed project activity within a suitable evaluation area (e.g. community care, acute care, primary care or local authority) in the NHS Salford CCG geographical area.

All applicants should plan project activity which can be completed within 12 months of the agreed start date. Once a start date has been agreed, the project is expected to commence within 3 months of this date.

Successful projects will be allocated a relevant CCG Strategy Group Sponsor as a system point of contact and for monitoring and reporting. Project leads will be required to provide update reports to the CCG's Innovation and Research Oversight Group at a minimum of 6 months and 12 months, using templates provided.

By undertaking this evaluation project, both the applicant and NHS Salford CCG will acquire more evidence regarding the effectiveness of the innovation trialed. Applicants are encouraged to consider options for the sustainability of their intervention from the outset; there is no commitment offered by NHS Salford CCG for further or recurrent funding beyond the end of the 12 month award.

2. Terms and Conditions

Applicants are advised to read this document carefully to ensure that they are fully familiar with the terms and conditions of the call.

On submission of an application, you will be agreeing to meet the terms set out in this document and, if successful, additional terms and conditions will be set out in a contract.

2.1 Application Submission

- 2.1.1 All Innovation Fund Call applications will be considered in confidence.
- 2.1.2 An Applicant may submit entries for more than one proposal.
- 2.1.3 The closing date for submissions is close of business on **Wednesday 4th September 2019**.
- 2.1.4 NHS Salford CCG reserves the right to change the closing date at any time, and any changes will be communicated via the CCGs Communication Team.
- 2.1.5 All applications should be submitted to the Innovation Fund via email to innovation.salfordccg@nhs.net
- 2.1.6 Applicants should receive an email within three working days to confirm receipt of their application. If applicants do not receive an email receipt within this period it is their responsibility to ensure that the application has been received by contacting the Innovation Team at innovation.salfordccg@nhs.net
- 2.1.7 The Innovation Team takes no responsibility for, and makes no guarantee regarding, the receipt of intact applications and any loss is entirely at the applicant's own risk.
- 2.1.8 All bids receipted will be allocated a unique Bid Reference, which will be included in the confirmation email sent by the Innovation Team. This Bid Reference must then be included in all communications sent with regards to an application, and any subsequent funded project activity.
- 2.1.9 It is the responsibility of the Applicant to ensure that all funding calculations in their application are correct and fully inclusive of any VAT. Retrospective claims for additional funds due to miscalculations, errors in the bid and/or VAT will not be accommodated.
- 2.1.10 Applications may be amended at any time prior to the closing date by contacting the Innovation Team at innovation.salfordccg@nhs.net with your Bid Reference.
- 2.1.11 Applications may be withdrawn at any time, without prejudice, by contacting the Innovation Team at innovation.salfordccg@nhs.net with your Bid Reference.

2.2 Eligibility

- 2.2.1 Funding awards will only be made, and paid, to registered organisations and not to individuals.
- 2.2.2 Funding is open to a range of organisations, for example (but not limited to) NHS organisations, Health and social care providers, Academic institutions, Local Authorities, Industry, SMEs, 3rd Sector, Non-profit and Community Interest
- 2.2.3 Organisations with existing Salford CCG Innovation Fund awards are eligible to submit applications for funding new projects, providing that they are fully compliant with the Terms and Conditions and Contractual Obligations of any and all current award/s.
- 2.2.4 Organisations are not eligible to apply for new funding awards while they are in breach of

compliance for any Salford CCG Innovation Fund award/s they are currently in receipt of.

- 2.2.5 NHS Salford CCG may consider exceptions to condition 2.2.4 in the case of large organisations which are arranged into separately managed divisions or departments. We will consider bids submitted by different departments or divisions to the one/s in breach on a case by case basis, based on sufficient assurance of distinction of accountability and oversight for the new project/s.
- 2.2.6 Funding will only be allocated for Project Activity taking place within health and social care in Salford, and/or delivered to Salford registered patients. If funding is being requested for a Project or Provider with a wider footprint than Salford residents and patients, the Innovation Fund Award must be ring-fenced for Salford provision.

2.3 Application Assessment and Scoring

- 2.3.1 Applications failing to comply with the entry form requirements set out in the **Innovation Fund Application Guidance** document will not be eligible for further consideration.
- 2.3.2 Successful Applicants will be expected to be available to attend both the Market Place Event and Innovation Fund Panel assessment if shortlisted, and to respond to any requests made by NHS Salford CCG for additional information pertaining to the Application or Organisation in order to facilitate the Assessment and Scoring Process.
- 2.3.3 Applications will be assessed in the first instance by the appropriate CCG Strategy Groups against predetermined shortlisting criteria.
- 2.3.4 The shortlisting criteria will be made available to Applicants via the NHS Salford CCG Website throughout the Application process.
- 2.3.5 This initial scoring process will be used to identify Applicants that will proceed to a second round of stakeholder shortlisting through a “Market Place” event. The Market Place event will be used to identify the final selection of Applicants that will proceed to interview at the Innovation Fund Panel.
- 2.3.6 The Innovation Fund Panel will decide which Applications to Approve in Principle for funding.
- 2.3.7 The decision of the Panel is final. No appeals against the decisions following application or the panel assessments will be accepted.
- 2.3.8 Confirmation of Award will follow Approval in Principle upon satisfactory completion of Due Diligence, which includes Organisational, Financial and Information Governance checks.
- 2.3.9 Where applicable, Applicants will be expected to provide company registration numbers in order for NHS Salford CCG or its agents to check accounts and filing information at Companies House.
- 2.3.10 Where applicable, NHS Salford CCG or its agents will consult the Charity Commission to check whether companies are compliant with the requirements placed on them as a Charity (filing / SORP accounts etc.) This would be followed up where there were any indicators of non-compliance/ solvency.
- 2.3.11 NHS Salford CCG may retain and process any information contained in, or relating to, an Application for the purpose of the Innovation Fund Panel assessment and Due Diligence process.
- 2.3.12 NHS Salford CCG has the authority to withdraw Approval in Principle, or to halt schemes already underway, if significant concerns are identified through the Due Diligence process.

2.4 General Obligations of the Funding Award

- 2.4.1 Successful Applicants (hereafter “Award Holders”, once Confirmation of Award issued) will be expected to liaise with the Pilot site / Organisation hosting the evaluation and be in a position to provide any appropriate support required (e.g. staff training) to the Pilot site / organisation promptly.
- 2.4.2 Only those Organisations listed as Applicants on the Application Form will be classed as “Award Holders” and held liable for accountability to NHS Salford CCG for delivery of Project Activities under the Award.
- 2.4.3 Pilot sites / Organisations who may be involved in Project Activities but are not Joint Applicants to the Award will not be considered “Award Holders” and will have no agreement with, or obligation to, NHS Salford CCG to carry out or accommodate Project Activities on behalf of the Award Holders. It is the full responsibility of Award Holders to ensure Project Activities are delivered. Applicants are therefore strongly encouraged to either include all partners as Joint Applicants, or to formalise any agreements they enter separately with these organisations.
- 2.4.4 Award Holders will be required to submit a written 6 month Progress report and a written final 12 month Evaluation report.
- 2.4.5 The final evaluation report must be submitted within 90 days of the completed project.
- 2.4.6 Failure to submit an Evaluation report within 90 days will be classified as a breach of contract, and the Award Holder will be required to repay the full value of their Award to NHS Salford CCG.
 - i. Breaches of contract by an Award Holder will impact on that Organisation’s future funding requests to the Innovation Fund
- 2.4.7 Evaluations should consider the impact of the proposal from a public perspective. Consideration should be given to protected and vulnerable groups to ensure that there are no negative or adverse impacts this includes; disability, race, religion, sexual orientation, gender, breastfeeding mothers, transgender, people who are married or in civil partnerships, older and younger people and carers.
- 2.4.8 Applicants must agree to a 3 and 9 month interim site visit and / or audit visit by a member of NHS Salford CCG.
- 2.4.9 Project leads should be mindful of the need to keep good records, evidence, data and metrics to support evaluation when it is required.
- 2.4.10 NHS Salford CCG sponsoring groups have the authority to halt schemes that are not successful.

2.5 Funding and Costs

- 2.5.1 Costs incurred and funds spent prior to the funding period are not allowable.
- 2.5.2 Any Award funding not spent by the end of the 12 month Project must be returned to NHS Salford CCG no later than 90 days following completion of the Project.
- 2.5.3 Please note there is no further commitment to provide funding beyond the end of this agreement. The project lead should consider future plans for financial support when applying as part of their sustainability plan.
- 2.5.4 It is the responsibility of the project lead to look for other funding options at the end of the project. It is recommended that this takes place at around month 9 of the project to prevent a gap in delivery. Please note that the normal procurement rules and tender no tender

processes will apply.

- 2.5.5 If for any reason the successful applicant is unable to deliver the agreed activities in accordance with this agreement, they will inform NHS Salford CCG in writing immediately and return any funding already received for the agreed activities.
- 2.5.6 The funding shall only be used for the purpose(s) detailed in your funding application, unless agreed in advance by NHS Salford CCG
- 2.5.7 For any variation in the delivery of the project, including expenditure, permission must be sought in writing from NHS Salford CCG before any variations made. This may be achieved through submitting an 'Extension/Variation Request Form' through the I&R Team.
- 2.5.8 Unless a Variation has been approved, expenditure not detailed in your funding application will be deemed unallowable and will be recoverable by NHS Salford CCG.

2.6 Invoicing Process

- 2.6.1 The below process applies to approved bids under the innovation fund. Given the potentially varied nature of bids, this may not be the optimum process for all bids; however, this process must be used unless agreed by the CCG finance team. The principle of not paying up-front in full will apply to all schemes.
- 2.6.2 When your scheme has been approved, the finance department will inform you of a purchase order number and details of when invoices should be raised. Invoices should be raised at the appropriate time, as agreed at the Planning Meeting and sent to the following address:

NHS Salford CCG
01G Payables L135
Phoenix House
Topcliffe Lane
Tingley
Wakefield
WF3 1WE
- 2.6.3 All invoices must include the following information:
 - i. Purchase order (PO) number (supplied by finance)
 - ii. Unique Reference Number of scheme
 - iii. Details of the Scheme (short description)
 - iv. Backing information must be sent with the invoice (where appropriate)
- 2.6.4 The CCG may request further information on any invoice before payment is made.
- 2.6.5 Please ensure that the costs detailed in your application are inclusive of VAT where applicable.
- 2.6.6 Please ensure you keep all records and receipts, as NHS Salford CCG reserves the right to ask you to provide us with financial evidence of the use of 100% of payments at the end of the funding period.
- 2.6.7 **Please note that if your scheme underspends at the end of the funding period, any and all remaining monies will need to be returned to NHS Salford CCG.**

2.7 Procurement

- 2.7.1 The processes surrounding the Innovation Fund are intended to allow for quick decisions to be made and projects to be implemented as quickly as possible. Thus it is not anticipated that Innovation Fund projects will follow the procurement requirements set out in The Scheme of Reservation and Delegation. This is considered appropriate as it is in line with NHS Salford CCG's procurement policy which sets out that for pilot projects contracts should be awarded without going through a procurement process.
- 2.7.2 It is further considered appropriate as in many cases it is providers themselves who identify the opportunity for new ways of working, if these ideas were then put out to tender there would be no incentive for providers to share their innovative ideas.
- 2.7.3 Nevertheless it is worth being mindful of The Scheme of Reservation and Delegation as it is always important to ensure value for money is obtained; in some cases project leads may believe it would be worthwhile considering tendering for the project. The Scheme of Reservation and Delegation sets out the following requirements in relation to tendering for new services to ensure value for money is achieved.
- i. European Directives – in accordance with the European Directive level and above (current level £113k).
 - ii. Consider procurement Options; seek advice from the Commissioned Services Quality Group - £50,000 to European Union Directives levels (current level £113k).
 - iii. Minimum of 3 written quotes - £10,000 to £50,000.
 - iv. No requirement to obtain quotes; although no formal requirement it is deemed to be best practice and demonstrates value for money – up to £10,000.

2.8 Communications and Branding

- 2.8.1 Successful Applicants have a responsibility to adhere with the following minimum publicity and branding requirements of NHS Salford CCG:
- i. Include the NHS Salford CCG logo on all publicity materials such as stationery, posters, leaflets, the final slide on presentations/short films, declarations in peer reviewed journal and exhibition stands etc. relating to the scheme it has funded.
 - ii. Include the NHS Salford CCG logo on the homepage of any website relating to the funded scheme.
 - iii. Inform NHS Salford CCG's communications team in advance of any publicity event relating to the scheme.
 - iv. Notify and liaise with NHS Salford CCG's communications team in respect of media enquires relating to the funding of the scheme.
 - v. Allow NHS Salford CCG reasonable access to the project for photography/PR reasons
 - vi. Allow NHS Salford CCG to use the scheme as a case study of projects funded by the NHS Salford CCG Innovation Fund.
 - vii. Any use of the NHS logo is done so in accordance with the NHS identity guidelines detailed at: <http://www.nhsidentity.nhs.uk/>
- 2.8.2 Successful Applicants may be required to participate in activities that promote the Innovation Fund Locality Call, including but not limited to: having photographs or film recordings taken of them; being asked for quotes about the project; and providing feedback on the evaluation
- 2.8.3 Successful Applicants may be contacted by NHS Salford CCG at any time via email, telephone or post in connection with the administration of the Award and the delivery of its activities.
- 2.8.4 Contact will be made by NHS Salford CCG via the details provided in the Application Form. It is the responsibility of the Applicant to ensure that correct contact details are provided and updated when necessary.

2.9 Statutory Obligations of Successful Applicants

- 2.9.1 If your organisation does not have the following policies in place you will be required to develop and implement them within three months of this funding being awarded.
- i. Health & Safety (risk assessment) policy.
 - ii. Equality and Diversity statement or policy
 - iii. Safeguarding Vulnerable Adults policy (if working with vulnerable adults)
- 2.9.2 If your organisation is working with Children and Young People and / or Vulnerable Adults it is your responsibility to provide a copy of your Safeguarding Children policy.
- 2.9.3 It is your responsibility to ensure you are appropriately insured for any and all activities carried out throughout the course of Award funded activities.
- 2.9.4 Successful Applicants must provide evidence of all valid and appropriate insurance e.g. Public Liability; Employers Liability; Professional Indemnity - which comply with statutory requirements.
- 2.9.5 The Health & Safety at Work Act 1974 must be complied with when delivering your activities.
- 2.9.6 Applicants will ensure that all activities comply with the law and that it does not commit any act of discrimination that is unlawful under the Equalities Act 2010.
- 2.9.7 Applicants will need to be able to demonstrate that they have a current Equal Opportunities Policy in place (this cannot be more than 3 years old).
- 2.9.8 Applicants will need to advise if they have been involved in any litigation breach in the last three years under the Equality Act 2010.

2.10 General Data Protection Regulations (GDPR)

- 2.10.1 Successful applicants need to provide assurance that they are fully compliant with the changes in Data Protection Legislation. The Information Commissioners Office can provide guidance on this <https://ico.org.uk/for-organisations/guide-to-data-protection/guide-to-the-general-data-protection-regulation-gdpr/>
- 2.10.2 Applicants will ensure that they fully comply with their obligations under the Data Protection Act 1998 and will not do anything which places themselves or NHS Salford CCG in breach of the Data Protection Act 1998.

2.11 Data Protection Impact Assessments (DPIA)

- 2.11.1 Successful Applicants will be required to complete a Data Protection Impact Assessment (DPIA). DPIAs are used to:
- i. Ensure that an organisation has complied with their data protection obligations, identifying and minimising the privacy risks of new projects or policies.
 - ii. Help to identify and fix problems at an early stage, reducing the associated costs and damage to reputation which might otherwise occur.
 - iii. Reduce the risks of harm to individuals through the misuse of their personal information.
 - iv. Help design more efficient and effective processes for handling personal data.
- 2.11.2 DPIAs must be completed because:
- i. Should a Data Breach occur a DPIA demonstrates to the Information Commissioner (ICO) how personal data processing complies with the DPA, and what risks have been identified. A DPIA will be taken into account should the ICO decide to impose a financial

- penalty.
- ii. Identifying problems/risks/issues early generally allows the CCG to look at simpler and less costly solutions.
- iii. Individuals can be reassured that the CCG/organisation which use their information have followed best practice – improving transparency.
- iv. A project which has been subject to a DPIA should be less privacy intrusive and therefore less likely to affect individuals in a negative way.

2.11.3 A DPIA should be completed if you are doing any of the following:

- i. Setting up a new process using personal confidential data (PCD) e.g. a proposal to identify people in a particular group or demographic and initiate a course of action.
- ii. Evaluation or scoring;
- iii. Automated decision-making with significant effects;
- iv. Systematic monitoring;
- v. Processing of sensitive data or data of a highly personal nature;
- vi. Processing on a large scale;
- vii. Processing of data concerning vulnerable data subjects;
- viii. Innovative technological or organisational solutions;
- ix. Processing that involves preventing data subjects from exercising a right or using a service or contract.
- x. Changing an existing process which changes the way personal confidential data is used, e.g. using existing data for a new and unexpected or more intrusive purpose.
- xi. procuring a new information system which holds personal confidential data

2.11.4 In particular, the GDPR says you **must** do a DPIA if you plan to:

- i. Use systematic and extensive profiling with significant effects;
- ii. Process special category or criminal offence data on a large scale; or
- iii. Systematically monitor publicly accessible places on a large scale.

2.11.5 A DPIA should begin early in the life of a project, but can run alongside the project development process, and should be updated in line with any relevant changes to the project activity.

2.11.6 A DPIA contains a number of screening questions which include:

- i. Basic project information, which will decide initially if a DPIA is needed.
- ii. Describing information flows
- iii. Identifying privacy and related risks
- iv. Identifying and evaluating privacy solutions
- v. And finally the signing off and recording of the DPIA outcomes

2.11.7 All Successful Applications will be required to complete a DPIA, using NHS Salford CCG's approved template. No Award monies can be released or Project Activities commenced, until an appropriate DPIA has been provided for the project and approved by NHS Salford CCG's Information Governance Team.

2.11.8 Failure to produce an approved DPIA by the agreed start date of the Project will result in the Approval in Principle for the Application being withdrawn by NHS Salford CCG.

2.12 Intellectual property

2.12.1 If Innovations are developed into commercial products as a direct result of Project Activities carried out under the Award, the CCG will agree and receive a return on investment. Full details will be set out in the Contractual Agreement between the CCG and Award Holders

2.12.2 In line with NHS Salford CCG's Intellectual Property Policy, all results and findings from the evaluation of the project will be owned by NHS Salford CCG and will not be distributed, reproduced, re-branded or republished in any way by the Applicant without prior written consent.

If you have any queries regarding the terms and conditions please contact a member of the Innovation Team; contact details can be found here: innovation.salfordccg@nhs.net