

CLINICAL TRAINING AGENCY CONTRACTING GUIDELINES FOR DHBs

All you need to know about the CTA contracting process

HAUORA MĀORI PORTFOLIO

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2. INTRODUCTION

The Clinical Training Agency (CTA) provides funding for training programmes to facilitate development of a health and disability workforce to meet the future requirements of health and disability services in New Zealand. CTA has standardised contracting arrangements across all training programmes.

These Contracting Guidelines are intended to:

- 1) document the standard processes used by the CTA for Hauora Māori Training contracts
- 2) provide a ready reference for District Health Board (DHB) personnel
- 3) clarify the various roles and responsibilities.

The Guidelines address planning, allocation, contracting, reporting and invoicing. By including all of the steps in the cycle, the reader can better understand how those processes relate to one another.

The overall goal is more efficient, timely and accurate administration of the CTA contracts. The CTA is looking at all aspects of the process, and further improvements will be introduced in the future.

The information collected during the contracting cycle is essential for provider accountability, and is also critical for workforce data analysis and planning for the future.

The CTA website: www.moh.govt.nz/cta, contains important references such as the Purchase Intentions Plan, Head Agreement template, Service Agreement template, training specifications, CTA Hauora Māori Support Policy and Hauora Māori Frequently Asked Questions.

Note: For the avoidance of doubt if any conflict arises between the definitions stated above and those contained in the Head Agreement, Service Agreement and Specification then the definitions contained in the Head Agreement, Service Agreement and Specification shall take precedence.

3. HEAD AGREEMENT

The Head Agreement is an evergreen agreement between the DHB and CTA which covers the general terms and conditions for all CTA training programmes e.g. Māori health, nursing, and medical. Provisions in the Head Agreement are subject to audit.

There is only one copy of the Head Agreement per DHB signed by the CEO. The DHB Medical Contracts Manager should be able to provide you with a copy. Otherwise, a general template for the Head Agreement can be found on the CTA website www.moh.govt.nz/cta.

The areas covered include but are not limited to:

- Quality requirements: trainee selection and feedback processes etc
- Invoicing and Payments: calculation of actual trainee numbers etc
- Privacy: collection of trainee information
- Reporting: complying with CTA reporting requirements.

4. SERVICE AGREEMENT

The Service Agreement falls under the Head Agreement and describes the training services being purchased. Provisions in the Service Agreement are subject to audit. Each DHB Contracts Manager should have a copy of each agreement.

The Service Agreement finalises the volumes and timeframes agreed to with the DHB according to the funding template submitted to CTA. The Service Agreement details the purchase unit, volume, price per training unit and the period for which the funding applies. DHBs can only receive funding for services delivered up to the quantities described in the Service Agreements.

Invoicing is limited to the funding per Purchase Unit code (PU code) for the time period as described in the Service Agreement. Changes can only be made to the Service Agreement with CTA's agreement, and through a variation to the Service Agreement. Any proposed changes are subject to budget considerations.

5. HAUORA MĀORI TRAINING SPECIFICATION

The Specification describes in detail the training programmes being purchased including trainee and training programme eligibility. The Specification describes what the funding can be spent on and forms part of the agreement with CTA which is subject to audit.

Each Contract Manager has a copy of the Hauora Māori Training Specification. CTA Specifications are also available on the CTA website www.moh.govt.nz/cta.

6. ROLES AND RESPONSIBILITIES

In order to ensure an efficient flow of communication, each DHB must notify (in writing/email) the CTA Monitoring Analyst of the contact details of those individuals who are responsible for the following:

- Contracting
- Reporting
- Invoicing
- Co-ordination

Please see Section 11 for a full list of CTA contacts. In the event that the contact details change then the DHB is to notify the CTA Monitoring Analyst.

For the purpose of these Guidelines, the individual responsible for contracting at each DHB is referred to as the “DHB Contracts Manager”, the individual responsible for reporting at each DHB is referred to as the “DHB Reporting Administrator”, the individual responsible for invoicing at each DHB is referred to as the “DHB Invoicing Administrator” and the individual responsible for liaising between trainees, the training provider and the DHB is the “DHB Programme Co-ordinator”.

In determining who the DHB will nominate to fulfil the three roles, please note the following:

DHB Contracts Manager – this is the CTA’s first point of contact for all contract matters relating to Hauora Māori training, who is addressed or copied in on all communications. This person has an understanding of the CTA contract processes and links within their DHB’s service areas to provide a central point of communication. The DHB Contracts Manager does NOT necessarily have to have contract signing authority, nor a title that incorporates the word “contracts”.

DHB Reporting Administrator – this person has an understanding of computer spreadsheets, databases and data entry. They have the contacts within their DHB to enable them to collate all of the information about trainees needed to meet the reporting requirements.

DHB Invoicing Administrator – this person is the key contact for the invoicing processes. They have the links within their DHB to enable them to invoice accurately (i.e. they are made aware of trainee movements that need to be reflected in the Training Units invoiced).

DHB Programme Co-ordinator – this person is the liaison between the trainees, the training provider and the DHB Reporting Administrator. They will record the progress of the trainees. This role has contractual requirements described in the Specification.

One individual may fulfil more than one of these roles, at the DHB’s discretion.

7. PROCESS MAP FOR HAUORA MĀORI TRAINING

Step 1 CTA RELEASES PURCHASE INTENTIONS PLAN

Step 2 CTA SENDS FUNDING LETTER

Step 3 DHB ADVERTISES TRAINING PLACES

Step 4 DHB RECEIVES AND SUBMITS FUNDING TEMPLATE

Step 5 TRAINING VOLUMES CALCULATED

Step 6 CTA PREPARES SERVICE AGREEMENT

Step 7 DHB SIGNS AND RETURNS SERVICE AGREEMENT

Step 8 CTA SENDS REPORT ONE TEMPLATE TO DHB

Step 9 DHB RETURNS COMPLETED REPORT ONE TEMPLATE TO CTA

Step 10 DHB SUBMITS MONTHLY REPORTS

Step 11 HEALTHPAC SENDS APPROVED PAY SCHEDULE TO DHB

Step 12 DHB SENDS INVOICE TO HEALTHPAC

Step 13 CTA APPROVES INVOICE AND THE DHB IS PAID

Step 14 CTA SENDS REPORT TWO TEMPLATES TO DHB

Step 15 DHB COMPLETES REPORT TWO

8. STEP BY STEP GUIDE TO FOLLOWING THE PROCESS MAP FOR HAUORA MĀORI TRAINING

Step 1 CTA RELEASES PURCHASE INTENTIONS PLAN

The CTA releases its Purchase Intentions Plan for the relevant contracting period. This Plan reflects priorities and influences such as the National Health Targets, relevant strategies, Government directives, budget, and feedback from providers and key stakeholders. The Purchase Intentions document can be viewed at www.moh.govt.nz/cta.

Step 2 CTA SENDS FUNDING LETTER

A Funding Letter is mailed to each DHB Contracts Managers in early September. It outlines the DHB's funding allocation available for eligible trainees, when the Funding Template will be emailed and when the Funding Template is to be returned to CTA. (Step 4)

Step 3 DHB ADVERTISES TRAINING PLACES

The DHB will advertise to DHB and Ministry of Health funded Māori health and disability service providers to announce that there are limited funded training positions available in the upcoming calendar year.

Step 4 DHB RECEIVES AND SUBMITS FUNDING TEMPLATE

The Funding Template will be emailed to the DHB Contracts Manager in the time frame announced in the Funding Letter. The DHB Contracts Manager oversees the DHB process and interacts with the programme co-ordinators who assess the requirements, allocate trainees, and confirms final trainee details.

In accordance with the Head Agreement and Specification, DHBs must ensure that only eligible trainees will fill the positions included in the Funding Template.

The DHB will request places up to the budget allocation figure in the base allocation table. Any additional requests will be recorded in the additional request table. The DHB needs to note on the Funding Template trainees who will be in training for only part of the year, and/or those training part-time. Once the DHB has determined their request for trainee positions, this template is sent to the CTA Analyst.

Please note that the funding requests cannot be approved until Hauora Māori Funding Templates have been received from all DHBs.

Step 5 TRAINING VOLUMES CALCULATED

Any requests within the allocated budget for eligible trainees and programmes will be accepted. Any additional requests will be funded through under spent allocations of other DHBs (where available) and is redistributed using the Māori population formula. (See Appendix 1 for more information.) If further funds are required, the CTA Portfolio Manager will ask the CTA Purchase Board if more funding is available.

The DHB needs to hold full details of each trainee who is to be in the funded positions, so that they can complete the Report One and monthly reporting.

Step 6 CTA PREPARES SERVICE AGREEMENT

Once the CTA Portfolio Manager has confirmed the DHB's funding (including any approved requests for additional funding), the CTA draws up the Service Agreement.

The Service Agreement sets out the maximum number of Training Units funded, payment terms and the specific terms on which the DHB will provide the training services being purchased. The full agreement to provide funds for training consists of the Service Agreement, Head Agreement and Hauora Māori Training Specification.

When the Service Agreement is completed, the CTA Portfolio Manager instructs HealthPAC Agreements Administration to send it to the DHB Contracts Manager.

Step 7 DHB SIGNS AND RETURN SERVICE AGREEMENT

The DHB Contracts Manager ensures that a person who has the authority to sign a legally binding contract on behalf of the DHB signs the Service Agreement, and returns both copies of the signed Service Agreement to the CTA Contracts Administrator. The DHB signer may initial each page however; this is not a legal requirement.

Step 8 CTA SENDS REPORT ONE TEMPLATE TO DHB

On receipt of the signed Service Agreement by the CTA Portfolio Manager, the CTA Monitoring Analyst emails the DHB Reporting Administrator a template spreadsheet (known as Report One Template Spreadsheet.)

The CTA Monitoring Analyst may send the Report One Template Spreadsheet to the DHB Reporting Administrator in the absence of a signed contract in order to ensure that the reporting requirements are current. However, it should be noted that the

DHB will not receive payment until the contractual and reporting requirements are complete.

Step 9 DHB RETURNS COMPLETED REPORT ONE TEMPLATE TO CTA

The DHB Reporting Administrator is responsible for entering the trainee details, demographics and programme details directly onto the Report One Template.

The required information is to be entered under the Report One tab and not under the tab headed “glossary”. The existing columns should not be edited or amended in any way. The Report One template is generated via a computer based system and therefore it requires the information to be entered in a very specific method. The information should not be reformatted or abbreviated (e.g. the date must be entered as follows DD/MM/YYYY, not DD/MM/YY). No commas or brackets should be used.

The information submitted to the CTA should always be checked against the current service agreement.

The DHB Reporting Administrator emails the completed Report One back to the CTA Monitoring Analyst. Trainees’ details must be submitted via Report One before payment is authorised and this should be done without delay.

On receipt of the completed Report One Template spreadsheet from the DHB Reporting Administrator, the CTA Monitoring Analyst reviews the information to ensure that it is complete and correct. In the event of any discrepancies the CTA Monitoring Analyst works with the DHB Reporting Administrator until the template is formatted correctly.

The template is then uploaded into the CTA database and the username and password is sent to the Reporting Administrator along with details of how to access the website.

Step 10 DHB SUBMITS MONTHLY REPORTS

The DHB Reporting Administrator continues to provide the CTA with up to date information for all Trainees on a monthly basis. The DHB Reporting Administrator completes a Monthly Report on the CTA Online database by copying the previously submitted data over to the next month, and then submitting accurate and up to date information for the new month amending the information to reflect trainee movements in and out of training programmes.

As per the Head Agreement, all funded, eligible trainees are funded for any month when they are receiving training on the 15th of that month.

For example, trainee A leaves the training programme on 8 March. The DHB is not entitled to be paid for trainee A for March, and they should delete that trainee from the March Monthly Report.

Conversely, the DHB can be paid for trainee B who leaves training on the 17th March. The DHBs are entitled to be paid for trainee B for the month of March, but must remove that trainee for the April Monthly Report.

Each time the Monthly Report is submitted by the DHB Reporting Administrator, the CTA Online database displays a white, red or green flag next to the name of each Trainee. A green flag indicates that the trainee has been accepted as eligible for funding. If a trainee has either a white or red flag next to their name then the Reporting Administrator must contact the CTA Monitoring Analyst to resolve the issue.

In the event that two DHBs submit reports containing details for the same trainee then the CTA Online Database displays a red flag against that trainee's name and the CTA Monitoring Analyst checks the information and contacts the appropriate DHB Reporting Administrators.

It is crucial that DHBs follow the progress (in training, completed or withdrawn etc.) of trainees during the training programme in its entirety and that DHBs maintain accurate written records as this reporting documentation provides the basis for accurate invoicing and is subject to financial audit.

Step 11 HEALTHPAC SENDS APPROVED PAY SCHEDULE TO DHB

Once the data in the CTA Online database is accurate and complete, HealthPAC Payments sends the DHB Invoicing Administrator an Approved Pay Schedule via email which specifies the maximum trainee volumes and the maximum dollar amounts that the CTA is able to pay the DHB for that month. This is based on the volumes submitted in Report One.

The CTA can only authorise payments providing it receives an appropriate invoice from the DHB and all reporting requirements have been met according to the Head Agreement, Service Agreement and the Hauora Māori Training Specification.

Step 12 DHB SENDS INVOICE TO HEALTHPAC

On receipt of the Approved Pay Schedule, the DHB Invoicing Administrator raises an invoice and emails the invoice with the Approved Pay Schedule to cta@moh.govt.nz which is received by HealthPAC Payments. The invoice is then checked by HealthPAC Payments who contact the DHB Invoicing Administrator in the event of any discrepancies. Invoices must meet the requirements in the Head Agreement and volumes must match those in the monthly report.

Please note that payment of each month's invoice is dependent on the completion of the online monthly report as per the Head Agreement.

Step 13 CTA APPROVES INVOICE AND THE DHB IS PAID

When HealthPAC Payments have completed their verification process they produce a Service Invoice Header. The Service Invoice Header and Approved Pay Schedule are forwarded to the CTA Portfolio Manager for approval. If there are any inconsistencies the CTA Portfolio Manager contacts the DHB Contract Manager in order to resolve matters. Once any issues are resolved, the CTA Portfolio Manager approves payment, and HealthPAC makes the payment to the DHB.

Steps 10 to 13 repeat each month until the last month of the service agreement term.

Please note that the payment for the final service month is subject to the completion of Report Two.

Step 14 CTA SENDS REPORT TWO TEMPLATES TO DHB

Report Two is made up of two components. The first part is the **Report Two Outcomes** template. One month before the Service Agreement ends, the CTA Monitoring Analyst sends each DHB Reporting Administrator a Report Two Outcomes template spreadsheet together with specific instructions on how to complete it. The Report Two Outcomes template which is based on the Report One template records individual trainee's results. E.g. Successfully Completed, Failed or Withdrew.

The second part of the Report Two template, known as **Report Two Evaluative**, is completed online. A link to the website with username and password details is emailed by the CTA Monitoring Analyst to the DHB Reporting Administrator. The Report Two Evaluative collects feedback on the programme from the trainees and supervisors.

Step 15 DHB COMPLETES REPORT TWO

On receipt of the Report Two templates, the CTA Monitoring Analyst reviews the data submitted to ensure that the format of the data is correct (e.g. use of abbreviations is not possible in Report Two¹). If the data is in the correct format then the CTA Monitoring Analyst uploads the information into the CTA Online database. If the format is incorrect the Report Two Outcomes is returned for the DHB Reporting Administrator to amend and re-submit.

Once the trainee outcomes data is uploaded it enables a detailed profile of each trainee to be created which can then be used by the CTA for analytical purposes and to monitor the performance of the Training Programme.

Only once the Report Two Outcomes and Evaluative components are finalised will payment be made for the final month of the training programme.

¹ The CTA is currently amending its database to make it more user-friendly and to allow use of abbreviations

9. DEFINITIONS

Approved Pay Schedule – the document that is generated by HealthPAC Payments and which sets out the maximum dollar amounts that the CTA pays to DHBs for the Training Programme funded by the CTA. The document also contains other information such as the Purchase Unit Code, name of the DHB and time period to which the payment relates so that the DHB Invoicing Administrator is able to raise an appropriate invoice.

CTA – the Clinical Training Agency, Ministry of Health.

CTA Analyst – the person who calculates Training Units and evaluates programme performance.

CTA Contracts Administrator – the person who drafts Service Agreements to the instructions of the CTA Portfolio Manager and organises the process around the signing of Service Agreements.

CTA Monitoring Analyst – the person who is responsible for ensuring all reporting functions are up-to-date and accurately completed by the training providers in accordance with the provisions stated in the Head Agreement, Service Agreement and training Specification. The DHB Monitoring Analyst also provides training and support for parties using the CTA Online Database.

CTA Online Database – a reporting and monitoring tool for the CTA and training providers. Its purpose is to record the names, demographic data and programme information of all trainees on all training programmes funded by the CTA.

CTA Portfolio Manager – the person who is responsible for the management, control and administration of budgets and contracts for a portfolio of training programmes.

DHB Contracts Manager – the person who is nominated by the DHB as the first point of contact with the CTA for matters related to contracts and service agreements.

DHB Invoicing Administrator – the person who is nominated by the DHB to raise invoices and manage queries relating to the training programme that is funded by the CTA.

DHB Programme Co-ordinator – the person who is nominated by the DHB to be the liaison between the trainees, the training provider and the DHB Reporting Administrator.

DHB Reporting Administrator – the person nominated by the DHB to complete all of the reporting functions on behalf of the DHB that are required by the CTA as detailed in the Head Agreement and Specification.

Eligible Trainees – means Trainees who meet the eligibility requirements detailed in the relevant specification for whom the DHB has provided information to the CTA via the Report One Trainee Database.

Funding Letter – before DHB's advertise training positions, CTA send a letter stating the DHB's funding allocation and a deadline to have the Funding Template returned electronically to CTA.

Funding Template – the template which the DHB use to request funding. It contains a base allocation table and an additional allocation table. The dollar amount of the base allocation table is to sum to a maximum of the DHB's funding allocation. Any requests in excess of the funding allocation are to be entered into the additional request table and are subject to availability.

Head Agreement – an evergreen written contract between the CTA and the training provider which specifies the general terms and conditions for all subsequent Service Agreements which fall under the overarching Head Agreement.

HealthPAC Payments – the person who checks and processes invoices for payments that relate to the purchase of training programmes funded by the CTA as well as dealing with payment queries that arise from internal and external sources (e.g. CTA, Ministry of Health, DHBs).

Monthly Reporting – an electronic schedule of information submitted by the DHB directly into the CTA Online Database based on the trainee information submitted in Report One. This is then edited to reflect any changes in that month's trainee record.

Purchase Unit Code – a code that is generated by the CTA for each training programme that is purchased so that the name of the training programme can be identified from the code used.

Report One Trainee Database – an electronic schedule of information about trainees currently training in the Training Programmes purchased under each Service Agreement. This information is updated by the DHB and submitted to the CTA on a monthly basis as a Monthly Report.

Report Two Evaluative – an electronic schedule of information submitted by DHBs directly onto the CTA Online Database that is focused on the Training Programme provided by each training provider rather than trainee specifics.

Report Two Outcomes - a template of information completed by DHBs based on the outcomes of individual trainees who have either completed a stage of their training or have completed the training in its entirety.

Service Agreement – an agreement entered into by the CTA and the training provider that specifies the terms and conditions (including funded trainee numbers, price and payment details) of the service provided by the training provider and which falls under the overarching Head Agreement.

Service Invoice Header – the internal document that is generated by HealthPAC Payments once an invoice from the DHB Invoicing Administrator is received and sets out the full payment details together with invoice numbers, contract number etc.

Trainee – a person enrolled in a CTA funded programme.

Training Programme – means an organised schedule of activity that may include academic and clinical experiences that are required to be completed by a Trainee to pass a relevant qualification.

Training Provider – an organisation that delivers a relevant training programme that meets the requirements of the specification.

Training Specification – the document that outlines the requirements for training. The specification for Māori training is: 1/B52 Hauora Māori Training Fund Specification which can be viewed at: <http://www.moh.govt.nz/moh.nsf/indexmh/cta-specifications>

Training Unit – means a trainee on a CTA funded training programme which is normally completed in between six months and 12 months. If a trainee commences a six month programme but is going to take 12 months to complete, they equate to 0.5 Training Units. The DHB can claim 0.5 Training Units for 12 months which equates to 1.0 Training Unit for six months. If the programme is 12 months long and a trainee is going to take 24 months to complete, the DHB can claim 0.5 training units for 24 months.

Variation Agreement – means an additional agreement that is entered into by the CTA and the training provider if the CTA agrees to alter the volume of funded trainees from the initial Service Agreement volumes.

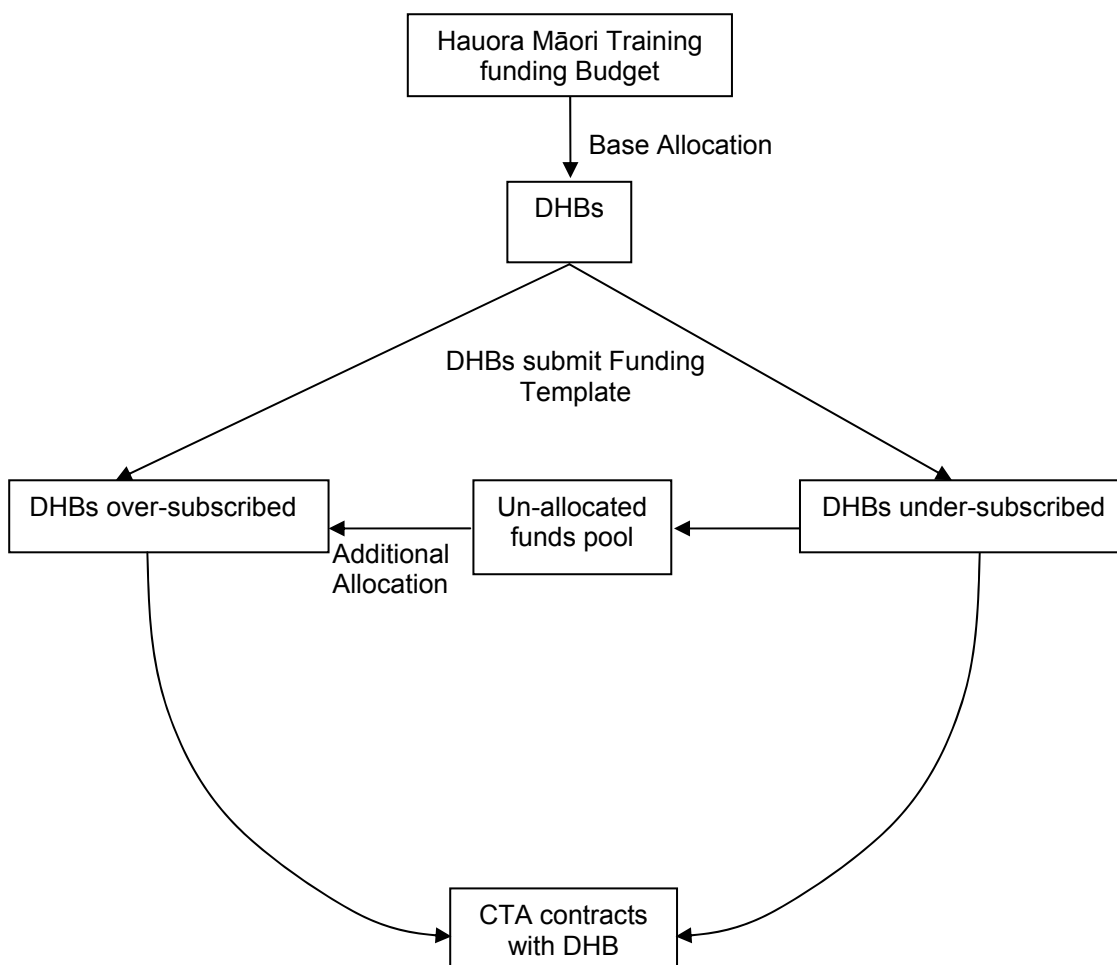
Note: For the avoidance of doubt if any conflict arises between the definitions stated above and those contained in the Head Agreement, Service Agreement and Specification then the definitions contained in the Head Agreement, Service Agreement and Specification shall take precedence.

10. APPENDIX 1: REALLOCATION OF FUNDS

Figure 1 demonstrates how Hauora Māori Training funding is allocated. The Base Allocation is calculated for each DHB by multiplying the fund by the ratio of the DHB's Māori population by total New Zealand Māori population.

- If a DHB cannot fill its Base Allocation, it can contract with the CTA at the lower amount and the difference is transferred to the un-allocated funds pool.
- If a DHB requests more funding than its Base Allocation, it will be included in a redistribution process which uses the same principles as the Base Allocation. In the contract between CTA and the DHB, there will be a table for the Base Allocation and the Additional Allocation.

Figure 1: Allocation of Hauora Māori Training funding



11. CTA CONTACTS LIST

1) CTA Contacts:

Tony Gibling – Manager

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Daria Martin, Portfolio Manager (Māori)

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Anne-Marie Taylor– Contracts Administrator

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Esther Docherty – Monitoring Analyst

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David Adair – Analyst

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2) HealthPAC Payments Contact

Joanne Fallow – HealthPAC Payments – Payments Officer

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