

Support and Delivery Service

Delivery Framework - Performance Management of Local Support and Delivery Services 2020/21

Every NHS organisation is part of the Health and Care Research Wales **Support and Delivery Service**. In order to provide a range of local R&D services, each NHS organisation is in receipt of **Local Support and Delivery Funding** and should align local R&D strategies to the vision outlined in **The Support and Delivery Service Strategic Framework 2017-2022**.

This delivery framework sets out how the Welsh Government will performance manage the NHS organisations in Wales in relation to R&D, including performance against national objectives, key indicators and targets.

1. STRATEGIC SETTING

Welsh Government's strategic vision is for Wales to be internationally recognised for its excellent health and social care research that has a positive impact on the health, wellbeing and prosperity of the people in Wales. Our ambition is that Wales is a place where research prospers as a vehicle for health and social care wellbeing. To achieve this, Welsh Government is committed to funding a research infrastructure and capacity that will facilitate improvements to the health, wealth and well-being of the people of Wales.

In support of this, an integrated and coordinated research Support and Delivery Service has been established to achieve maximum efficiency, effectiveness and international competitiveness of the research environment in Wales. The functions of this service are delivered through the ten NHS organisation's R&D offices (Local Support and Delivery Services) and the National Support and Delivery Centre. **The Support and Delivery Service Strategic Framework 2017-2022**¹ has 3 strategic aims which focus on the following:

Strategic Aim 1: Public: We will increase opportunities for patients and the public to participate in, and benefit from safe ethical research, regardless of geographical locations.

Strategic Aim 2: Research Community: We will enable Industry and Chief Investigators to set-up studies in multiple sites across Wales in a single access, streamlined and efficient way.

¹ <https://www.healthandcareresearch.gov.wales/support-and-delivery-1/>

Strategic Aim 3: Staff: We will attract and deploy appropriately skilled, qualified and experienced staff in a consistent way across Health and Care Research Wales, embedding shared values and behaviours.

Welsh Government provides Local Support and Delivery Funding to each NHS organisation to facilitate their contribution to these strategic aims and to support NHS organisations to meet the national NHS R&D objectives, key indicators and targets as set out in this Delivery Framework. Additionally, throughout 2020/21, specific key issues within the Support & Delivery Service will be reviewed as part of the delivery of the strategic vision to realise a one Wales seamless service for public, research customers and staff.

The Welsh Government has a number of key strategies and policy documents which link to the development of this Delivery Framework for Performance Management of NHS R&D.

a) Prosperity for All: The National Strategy

Launched in September 2017, *'Prosperity for All'*² sets out the Welsh Government's clear commitment to well-being objectives which are integral parts of the Well-being of Future Generations Act (2015)³.

The document sets out the long term priorities of the Welsh Government which include underpinning objectives to ensure Wales is **prosperous, healthy and connected**. The strategy acknowledges that the issues facing Wales can only be tackled through working differently and advocates greater collaborative working across boundaries to deliver Welsh Government priorities.

² <http://gov.wales/docs/strategies/170919-prosperity-for-all-en.pdf>

³ <http://gov.wales/topics/people-and-communities/people/future-generations-act/?lang=en>

For the NHS in Wales, this builds upon the current work underway to further develop engagement between the Life Science Sector, Universities, social services and third sector to drive economic growth through applied research and innovation.

b) Integrated Medium Term Plans

The Integrated Medium Term Plans (IMTPs) play a fundamental role in the planning and delivery of high quality care to the population of Wales. As such, IMTPs should align to the growing body of evidence that demonstrates that research active organisations provide better care and have better patient outcomes than those NHS organisations that conduct less research⁴. Additionally, opportunities for greater development through research provides an enhanced job role which in turn develops leaders and critical thinkers who contribute positively to the environment that they are working in⁵. Research is a key driver in providing evidence based improved treatment and care options for patients and should be aligned organisationally to find new and better ways of delivering health and social care outcomes. Furthermore, a research active organisation is a distinguishing character of University Health Boards and a key enabler for NHS Wales to deliver ‘*A Healthier Wales.*’

Aligned with this, Welsh Government published the NHS Wales Planning Framework (2020-23)⁶ to provide guidance on what each organisation should deliver for a successful IMTP. Within this context, Research and Development is specifically identified as a ‘key enabler’ of high quality care and viewed as an important contributor of the effective, patient centred approach identified within the principles of Prudent HealthCare.

⁴ Transforming health through innovation: Integrating the NHS and Academia – Academy of Medical Sciences; January 2020 - <https://acmedsci.ac.uk/file-download/23932583>

⁵ Time for research: Delivering innovative patient care in Wales – Royal College of Physicians; July 2019 - [Time for research - Delivering innovative patient care in Wales](#)

⁶ <https://gov.wales/sites/default/files/publications/2019-09/nhs-wales-planning-framework-2020-to-2023.pdf>.

Supporting a culture of research

R&D Division, Welsh Government expects executive leads in each NHS organisation to purposefully support research, this includes encouragement and support for medical and allied health professionals to undertake research, allowing clinicians to have protected time specified in job plans for appropriate engagement in research and creating an environment where participation in research is considered a patient's right. Health Boards and Trusts should ensure research activity is integral to the work of their organisation and corporate functions for R&D should be embedded into the normal organisational infrastructure, aligned to the IMTP which demonstrates how the patients in Wales will be offered opportunities to participate in high quality research within their locality.

Inclusion of Research and Development within the IMTP

What does good look like?

- Provide visible research leadership, actively integrate R&D into local planning, financial and decision making as well as the innovation, knowledge mobilisation and quality improvement plans and activities
- Have an up to date R&D strategy and evidence based practice culture
- Value and promote research through leading and/or hosting studies, ensuring that all staff recognise and understand the role research plays in increasing and delivering good quality care, embedding in staff recruitment, retention and development activities
- provide equity of access to opportunities that enable participation in research for patients and service users, especially in under-researched populations such as children and young people
- have transparent and efficient mechanisms to allocate resources and recover costs from relevant sources (industry, research grants).

Review of IMTPs

R&D Division, Welsh Government in its review of IMTPs will particularly focus on identifying how NHS R&D Directors have aligned themselves and their R&D departments to other parts of the NHS to promote R&D and maximise the potential for the uptake of findings across their organisations, including, as appropriate, primary care.

c) NHS Delivery Framework

The NHS Wales Delivery Framework measures the NHS throughout the year on the delivery of services and process that contribute towards the goals of the Public Health Outcomes Framework for Wales, and ultimately the national 'healthier Wales' indicators of the Well-being of Future Generations (Wales) Act (2015) mentioned previously. The relevant performance outcome indicators and measures related to R&D⁷ are reported on a quarterly basis and include data reflecting the number of patients involved in non-commercial and commercial research.

d) Partnership with the Life Science Sector

In 2012, the Welsh Government published 'Industry Engagement in Wales'⁸ a policy document outlining the expectation for NHS in Wales to develop a business friendly culture where engagement with industry is a core activity and for NHS organisations to build on existing strengths and consistently deliver commercial research studies in a competitive, global environment. Commercial research is defined as research sponsored and funded by industry and is captured on the Health and Care Research Wales Portfolio⁹. Within this context, it is essential that Wales continues to be seen as a consistent performer against a backdrop of global competition confirmed in recent UK reports¹⁰. Commercial research not only provides unique benefits

⁷ Includes activity across both primary and secondary care

⁸ <https://www.healthandcareresearch.gov.wales/industry-engagement/>

⁹ <https://www.healthandcareresearch.gov.wales/research-studies-in-wales/>

¹⁰ <https://www.gov.uk/government/publications/life-sciences-industrial-strategy>

to patients but, also assists in ensuring that Wales attracts and retains high calibre researchers. Within the context of funding, a premium exists for commercial studies and, when underpinned by robust cost recovery processes, commercial research provides opportunities for patients to gain access to medicines that may not be available for many years.

2. FUNDING NHS RESEARCH

National Support and Delivery Funding

Providing specific investment at a national level enables Welsh Government to take an all-Wales approach to achieving Health and Care Research Wales strategic priorities. National Support and Delivery Funding is categorised and ring-fenced for specific activities and where appropriate, the funding will be allocated to NHS organisations based on the outcomes for national competitions or costs related to the following:

- NHS Research Time Award and support for Specialty Leads
- National Support and Delivery Centre
- Local Portfolio Management System
- Excess Treatment Costs
- Centralised Support Costs*

In 2020/21 a new approach to distributing Research Delivery Funding is being implemented, requiring transition from the previous formula based 'activity based funding' model. **Local Support and Delivery Funding will be provided** based on the needs of research studies and directed to where and when those resources are needed and to where and when those costs are incurred. This responsive, more agile funding model will ensure that funding moves to where the research activities are taking place and commensurate with the level of costs incurred. It also supports collaboration across all NHS organisations in support of the one Wales agenda.

The funding also includes a centralised support cost budget for Primary Care, Public Health Wales and Welsh Ambulance Service NHS Trust which all NHS

organisations can access*. Further information about Local Support and Delivery Funding is provided in the All Wales Support and Delivery Funding Technical Guidance 2020/21.

Local Support and Delivery Funding will be awarded based on the agreed spending plan for 2020/21. NHS organisations are encouraged to draw on other sources of funding to invest in the growth of capacity and capability for NHS research within their organisation. This could include, funding from the NHS organisation to augment the Local Support and Delivery Funding in support of the local research endeavour. Other sources includes commercial R&D income from sponsors of commercial trials and non-commercial research costs recovered from grant holders of non-commercially funded studies as well as charitable funds donated by patients and the public to the NHS organisation.

Further detail on Delivery and Development funding streams is provided in guidance document The Appropriate Use of Local Support and Delivery Funding 2020/21.

3. FINANCIAL PROBITY

Welsh Government is clear that supporting NHS research yields real benefits for the NHS, its patients, research sponsors and investigators. This is underpinned by Support & Delivery Funding specifically allocated to R&D organisations to facilitate and undertake high quality research in NHS Wales.

To assist with this, Welsh Government published the **NHS R&D Finance Policy**¹¹ which covers the details and mechanisms necessary for the management, accountability and distribution of NHS research funding and income in each NHS organisation. In line with the requirement set out in the Welsh Health Circular 2018 (005), all NHS R&D organisations in receipt of Local Support and Delivery Funding are expected to manage their R&D budget within the scope of an approved NHS R&D finance policy as set out in

¹¹ https://www.healthandcareresearch.gov.wales/uploads/About/NHS_RD_Finance_Policy_FINAL.doc

national R&D objectives, key indicators and targets in 2020/21.

FINANCIAL RESPONSIBILITY

NHS organisations are expected to make strategic decisions to maximise the use of the funding and create a research environment which promotes and encourages high quality Welsh led research within NHS Wales. R&D Directors within NHS organisations are accountable for the NHS R&D funding (including Local Support and Delivery Funding) within their NHS organisation. It is the responsibility of each R&D Director to maximise the use of this funding alongside other funding streams, such as charitable and commercial funding, to invest in the growth of capacity and capability of research within their organisation.

Furthermore R&D Directors are expected to support research which is aligned to the organisation's own NHS R&D strategy and reflected in the IMTP, thereby increasing opportunities for patients to take part in high quality non-commercial and commercial research in their locality. It is therefore the expectation from Welsh Government that R&D Directors have full responsibility for the oversight and submission of spending plans to Welsh Government reflecting their accountability for NHS R&D funding allocated to their organisations.

4. RESEARCH DATA REPORTING and BUSINESS

INTELLIGENCE

In accordance with Welsh Government initiatives, the Local Portfolio Management System (LPMS) for Wales is in place in all NHS organisations as the tool for day to day research management and is the main source of all local research data, including confirmation of capacity and capability.

From 1 April 2019, LPMS replaced all other systems and methods for capturing local research related data, providing an unprecedented ability to showcase all research in Wales to the public and research sponsors alike.

Robust data for Wales will provide insight into how opportunities can be increased for patients and the public to access high quality research studies in Wales. On a UK wide platform, work is underway to link all Local Portfolio Management Systems to the Central Portfolio Management system, resulting in a change in the way research related data is collected for non-commercial and commercial research.

This change places the responsibility for uploading activity data with local study teams for verification by central study teams.

In line with the implementation of LPMS, there is also a requirement that all research studies enter a minimum data set and maintain this within LPMS. The minimum data set for Wales includes the UK wide minimum data set to ensure consistency with the UK four nations and provides information based on the same criteria for accurate comparison with UK countries which can be monitored on a routine basis.

The minimum data set provides greater flexibility for understanding performance at all points across the study lifecycle at both a site and study level, without the need for duplicating metrics. Welsh Government therefore expects NHS organisations to work closely with all potential users by raising awareness of LPMS in the day to day delivery of studies as set out in the All Wales LPMS SOP¹² to ensure complete, robust and accurate data and to put in place effective mechanisms for responding to queries about activity data from study teams in a timely and responsive way.

5. SUPPORT AND DELIVERY

Objectives, key indicators and targets

¹² All Wales LPMS SOP January 2019

Welsh Government has set national objectives for NHS organisations to guide the effective use of **Local Support and Delivery Funding** and to help inform the development of local R&D strategies. Welsh Government has also set key indicators to enable measurement of NHS organisations' performance against the national objectives, as well as provided targets that these NHS organisations should aim to achieve. These are set out in Annex 1.

Whilst R&D Directors are responsible for ensuring that their NHS organisation makes progress against the national NHS R&D objectives, key indicators and targets, the Support and Delivery Centre also has a role in supporting NHS organisations to meet these. The Support and Delivery Centre is also able to provide advice on NHS R&D funding and assist NHS organisations to meet Welsh Government's requirements.

6. PERFORMANCE MANAGEMENT

Welsh Government will performance manage all aspects of Support and Delivery Funding and specifically manage this against national NHS R&D objectives, key indicators and targets. This includes the ongoing monitoring of non-commercial and commercial research studies to ensure that the management of research related to funding and income is fully compliant with procedures set out in the NHS R&D Finance Policy and transparency can be demonstrated in all research undertaken in the NHS organisation.

Under the direction of Welsh Government, Health and Care Research Wales National Support and Delivery Centre will:

- Monitor NHS organisations' progress against the national objectives, key indicators and targets by monitoring R&D activity;
- Review whether NHS organisations are spending their Local Support and Delivery Funding in line with Welsh Government's guidance, through submission of the monthly financial status reports.

- Manage the Health and Care Research Wales Research Directory¹³ and provide research activity data in support of performance monitoring.

Operational guidance

A suite of operational guidance has been developed by the Health and Care Research Wales National Support and Delivery Centre to explain to NHS organisations how the performance monitoring will be undertaken. These guidance documents are available on the Health and Care Research Wales website¹⁴ and titled:

- All Wales Support & Delivery Funding 2020/21 - Technical Guidance
- The Appropriate Use of Local Support and Delivery Funding 2020/21
- Agreed Spending Plan and Monthly Financial Status Reports Guidance – 2020/21
- Detail on National NHS R&D objectives, KIs and targets 2020/21
- Monitoring NHS R&D Activity 2020/21

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https://www.healthandcareresearch.gov.wales/uploads/About/Research_Directory_Policy_Paper.pdf

¹⁴ (<http://www.healthandcareresearch.gov.wales/nhs-randd-funding-policy/>)

Annex 1: Welsh Government NHS R&D Objectives, Key Indicators (KIs) and Targets for NHS Wales

Objective	Key Indicators (KIs)	Target/ Measurement	Implementation Date
A Create and support a culture of research aligned to the needs of the local population	<p>A1. NHS research data tabled at the NHS organisation’s Board meeting</p> <p>A2. R&D representation at the NHS organisation’s Board meeting</p> <p>A3. An up-to date R&D strategy aligned to the Integrated Medium Term Plans (IMTP)</p>	<p>Minimum of twice a year. Confirmation of data being tabled</p> <p>Confirmation of attendance by R&D Director or alternate if R&D Director unable to attend</p> <p>Integrated Medium Term Plan (IMTP) showing inclusion of plans for research and link within IMTP to R&D strategy</p>	<p>2013/14</p> <p>2012/13</p> <p>2017</p>
B Manage appropriate use of R&D income	<p>B1. Full compliance with all aspects of the NHS R&D Finance Policy evidenced through submission of monthly financial status reports</p>	<p>Confirmation of compliance with WHC (2018) 005) by organisation</p>	<p>2018/19</p>

C To increase the quantity of high quality research being undertaken in NHS Wales	C1. Number of non-commercial studies on the Health and Care Research Wales Portfolio	Increase of 10% per annum	2012/13
	C2. Number of commercially sponsored studies on the Health and Care Research Wales Portfolio ¹⁵	Increase of 5% per annum	2012/13
D To increase the opportunity for patients and public to participate in, and benefit from, clinical trials and other well designed studies	D1. Number of participants recruited into non-commercial Health and Care Research Wales portfolio studies	Increase of 10% per annum	2012/13
	D2. Number of participants recruited into commercially sponsored studies on the Health and Care Research Wales Portfolio	Increase of 5% per annum	2013/14
E To improve the efficiency of processes for study set-up and delivery of research in NHS Wales	E1. Time taken from receipt of Local Information Pack (LIP) to recruitment of first participant into Health and Care Research Wales non-commercial Portfolio studies *	Median number of days	2018/19
	E2. Time taken from receipt of Local		2018/19

¹⁵ Commercially Sponsored Studies are those studies that are industry funded and industry sponsored

*Those studies which are planning to recruit less than 1 patient per month are excluded from measure against this KI within the report (unless the patient is recruited within 70 days from receipt of Local Information pack (LIP), in order to promote success in this area).

	Information Pack (LIP) to recruitment of first participant into Health and Care Research Wales Portfolio commercially sponsored studies *	Median number of days	
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	E3. Data no longer collected		
	E4. Data no longer collected		
	E5. Percentage of Health and Care Research Wales non-commercial Portfolio studies recruiting to target	100% of studies	2015/16
	E6. Percentage of Health and Care Research Wales Portfolio commercially sponsored studies recruiting to target	100% of studies	2015/16
	E7. Percentage of non-recruiting Health and Care Research Wales non-commercial Portfolio studies within NHS organisations	0%	2015/16

	E8. Percentage of non-recruiting Health and Care Research Wales Portfolio commercially sponsored studies within NHS organisations	0%	2015/16
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