

**NHS VALE OF YORK CLINICAL  
COMMISSIONING GROUP**

**GOVERNING BODY MEETING**



**Vale of York**

**Clinical Commissioning Group**

**Meeting Date: 7 November 2013**

**Report Sponsor:**

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Chief Operating Officer

**Report Author:**

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**1. Title of Paper: NHS England Clinical Commissioning Group Assurance Framework 2013/14 Update**

**2. Strategic Objectives supported by this paper**

- |  |     |
|--|-----|
| 1. Improve healthcare outcomes                             | Yes |
| 2. Reduce health inequalities                              | Yes |
| 3. Improve the quality and safety of commissioned services | Yes |
| 4. Improve efficiency                                      | Yes |
| 5. Achieve financial balance                               | Yes |

**3. Executive Summary**

This paper provides an update on the quarter 1 (April-June) performance checkpoint, as part of the NHS England CCG Assurance Framework.

**4. Evidence Base**

n/a

**5. Risks relating to proposals in this paper**

n/a

**6. Summary of any finance / resource implications**

n/a

**7. Any statutory / regulatory / legal / NHS Constitution implications**

The checkpoint includes assessment of performance against NHS Constitution indicators and forms part of national regulation of the Clinical Commissioning Groups.

**8. Equality Impact Assessment**

n/a

**9. Any related work with stakeholders or communications plan**

The Checkpoint Scorecard is required to be published on the CCG website.

**10. Recommendations / Action Required**

The Governing Body is asked to note the report

**11. Assurance**

n/a

**Governing Body Meeting: 7 November 2013**

**NHS England Clinical Commissioning Group (CCG) Assurance  
Framework 2013/14 Update**

**1. Introduction**

1.1 The Governing Body received a briefing on the national NHS England CCG Assurance Framework in July 2013. The Assurance Framework takes the format of a balance scorecard with five domains:

1. Are local people getting good quality care?
2. Are patient rights under the NHS constitution being promoted?
3. Are health outcomes improving for local people?
4. Are CCGs delivering services within their financial plans?
5. Are conditions of CCG authorisation being address and removed?

1.2 The Area Team hold quarterly checkpoints with CCGs to confirm and challenge progress against these areas. This is based upon a self-assessment approach, with the CCG identifying the areas of concern and strength against each domain. The first four domains are then given a 'Red/Amber/Green' rating, which is published.

**2. NHS Vale of York CCG Quarter 1 Update**

2.1 The checkpoint meeting for quarter 1 (April-June 2013) for the NHS Vale of York was held on the 6 September 2013. Draft scores were made available for the meeting, with the final validated scores published on the 17<sup>th</sup> October 2013. A copy of the NHS Vale of York Scorecard is attached.

Checkpoint 1 Overview

Domain Buttons	Domain Titles	Domain RAG Status	Domain RAG Summary
Domain 1	Are local people getting good quality care?	AMBER-GREEN	The number of indicators triggering a <b>AMBER-GREEN</b> 4
Domain 2	Are patient rights under the NHS Constitution being promoted?	GREEN	All indicators met 16
Domain 3	Are health outcomes improving for local people?	RED	The number of indicators triggering a <b>RED</b> 2
Domain 4	Are CCGs delivering services within their financial plans?	RED	The number of indicators triggering a <b>RED</b> 2
Domain 5	Are conditions of CCG authorisation being addressed and removed (where relevant)?	No RAG	Total number of outstanding conditions 4

*Domain 1 'Are local people getting good quality care?'*

- 2.2 Domain 1 looks at provider performance for NHS providers where the CCG funding accounts for more than 5% of the providers' income. For the NHS Vale of York this covers York Teaching Hospitals Foundation Trust, Yorkshire Ambulance Service and Leeds and York Partnership Trust.
- 2.3 Areas of focus for quarter 1 included the C.difficile trajectory, learning from Serious Untoward Incidents, arrangements for the early warning of a failing service and Winterbourne requirements. The checkpoint meeting also considered the arrangements for managing the Partnership Commissioning Unit and adult safeguarding arrangements.

*Domain 2 'Are patient rights under the NHS constitution being promoted?'*

- 2.4 This domain looks at performance for the whole Vale of York population. The NHS Vale of York CCG achieved a 'Green' rating for strong performance against the constitutional targets.
- 2.5 The areas of focus for quarter 1 included the referral to treatment time (RTT) for patients waiting more than 52 weeks, the % of patients waiting 6 weeks or more for a diagnostic test and the Care Programme Approach. Areas for discussion included Winter Planning and potential impact on performance, ambulance response times and Mixed Sex Accommodation Breaches for quarter 2 (July – September). The contract management approach to manage performance was described and the current Contract Query Notices raised in response to areas of performance concern.

*Domain 3 'Are health outcomes improving for local people?'*

- 2.6 This domain looks at health outcomes for the whole Vale of York community. For quarter 1 much of the data was not available from NHS England as it uses annual measures. This resulted in the domain being focussed on performance against four areas; MRSA and C.Difficile rates, the roll out of the Friends and Family Test and progress on Improving Access to Psychological Therapies (IAPT). Those measures are all areas of performance concern for the NHS Vale of York CCG, and as a result the domain was categorised as 'Red'. The checkpoint meeting discussed the mitigating actions through use of Business Intelligence, continued focus on CQUIN priorities and the IAPT Service Improvement Plan.

#### *Domain 4 'Are CCGs delivering services within their financial plans?'*

2.7 The financial position and revised plan has been reported to the Governing Body, and the checkpoint meeting reflected those discussions. The financial position is an area of continued focus for the NHS Vale of York CCG, with areas highlighted as on-going concerns including the achievement of a surplus and delivery of the QIPP forecast for 2013-14. The detail of the financial planning assumptions and the revised finance and contracting structures to increase capacity were discussed for the NHS Vale of York CCG.

### **3. Authorisation Conditions (Domain 5)**

3.1 The window for submitting evidence to remove conditions ran concurrently to the Checkpoint process. NHS Vale of York CCG submitted evidence against all four remaining conditions:

- 3.1.1 – B: Clear and credible plan that meets authorisation requirements
- 3.1.1 – C: Financial Plan that delivers balance
- 3.1.1 – D: Demonstrate that QIPP is integrated into planning
- 4.3.1 – C: Capacity and Capability

3.2 The NHS Vale of York CCG has received notification that the four conditions have not been removed in the September review. The NHS England review noted the significant progress that had been made against the conditions, and anticipated additional evidence to be submitted in the autumn round to move towards removal of conditions. In respect of 4.3.1, it was recognised that the organisation had taken steps to enhance the structure, including the restructure of finance and contracting, but reported they could not remove the condition until a permanent Chief Finance Officer is in post.

### **4. Next Steps**

4.1 The quarter 2 review (July- September performance) will be conducted towards the end of November. This is likely to focus on progress against the areas of concern flagged in the first checkpoint and emerging performance issues, such as the reports of MRSA in quarter 2.

4.2 The current model for the NHS CCG Assurance Framework is an interim system, and the final model is anticipated in November. The Governing Body will be notified of any significant changes to the NHS CCG Assurance Framework.