


Item Number: 6											
Name of Presenter: Dr Mark Hayes											
Meeting of the Governing Body 6 August 2015	 Vale of York Clinical Commissioning Group										
Assurance Update											
Purpose of Report To Receive											
1. Rationale To provide an update on the CCG Assurance Framework and significant risks for the NHS Vale of York CCG.											
2. Strategic Initiative <i>(double click and select 'checked' for relevant initiatives)</i> <table border="0"> <tr> <td><input type="checkbox"/> Integration of care</td> <td><input type="checkbox"/> Planned care</td> </tr> <tr> <td><input type="checkbox"/> Person centred care</td> <td><input type="checkbox"/> Transforming MH and LD services</td> </tr> <tr> <td><input type="checkbox"/> Primary care reform</td> <td><input type="checkbox"/> Children and maternity</td> </tr> <tr> <td><input type="checkbox"/> Urgent care reform</td> <td><input type="checkbox"/> Cancer, palliative care and end of life care</td> </tr> <tr> <td><input checked="" type="checkbox"/> Effective and Efficient Organisation</td> <td><input type="checkbox"/> System resilience</td> </tr> </table>		<input type="checkbox"/> Integration of care	<input type="checkbox"/> Planned care	<input type="checkbox"/> Person centred care	<input type="checkbox"/> Transforming MH and LD services	<input type="checkbox"/> Primary care reform	<input type="checkbox"/> Children and maternity	<input type="checkbox"/> Urgent care reform	<input type="checkbox"/> Cancer, palliative care and end of life care	<input checked="" type="checkbox"/> Effective and Efficient Organisation	<input type="checkbox"/> System resilience
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4. Actions / Recommendations The Governing Body is asked to note the report.											
5. Engagement with groups or committees The Governing Body held a corporate assurance workshop on 2 July 2015 to consider and review the CCG Assurance Framework and current internal assurance framework and risk management process											
6. Impact on Primary Care N/a											
7. Significant issues for consideration The NHS Vale of York CCG has received the formal letter following the 2014-15 Quarter 3 assurance meeting confirming that we were assessed as 'Assured with Support' for quarter 3 and are awaiting the formal letter following the Q4 2014-15 assurance meeting held in July. There has been an increase in the number of Red risks reported in July, with 4 new red risks. These primarily relate to finance and performance issues for the NHS Vale of York CCG.											
8. Implementation The CCG has established processes for identifying and reviewing risks to the organisation's critical success factors, and for reporting and escalating those risks accordingly.											

9. Monitoring

Risks are reviewed monthly by Heads of Service and Quality and Finance Committee review all risks on a monthly basis, with a detailed exception report on the most significant risks.

Progress against the CCG Assurance Framework will be reported monthly to Quality and Finance through the finance and performance improvement plans in development.

10. Responsible Chief Officer and Title

Rachel Potts, Chief Operating Officer

11. Report Author and Title

Lynette Smith, Head of Corporate Assurance and Strategy

12. Annexes

N/a

NHS Vale of York CCG Governing Body: 6 August 2015

Assurance Update

1.0 Background

- 1.1 The NHS Vale of York Clinical Commissioning Group is held to account through the Clinical Commissioning Group (CCG) Assurance Framework by NHS England. The CCG Assurance Framework has been refreshed for 2015-16, and was reported to Governing Body at the previous meeting.
- 1.2 The NHS Vale of York CCG manages and monitors its own internal Assurance Framework, bringing together the national requirements and the local priorities set out within the five year Strategic Plan for the CCG. This is based upon 'critical success factors' for the organisation and any risks associated with these. It forms the basis of the risk management strategy and associated reporting to Governing Body and Committees.

2.0 CCG Assurance Framework Quarter 3 report

- 2.1 The CCG received confirmation of the 2014-15 Quarter 3 Assurance in June 2015, following the meeting in April. The CCG was found to be Assured with Support, with recommendations to develop a two-year system wide plan in conjunction with Scarborough and Ryedale CCG and York Teaching Hospital Foundation Trust to support a sustainable local health care system which meets the NHS Constitution targets.

Domain Assurance Level: Assured, Assured with support, Not Assured)						
CCG	1. Are patients receiving clinically commissioned, high quality services?	2. Are patients and the public actively engaged and involved?	3. Are CCG plans delivering better outcomes for patients?	4. Does the CCG have robust governance arrangements?	5. Are CCGs working in partnership with others?	6. Does the CCG have strong and robust leadership?
NHS Vale of York CCG	Assured with Support	Assured	Assured with Support	Assured	Assured	Assured

- 2.2 The Quarter4 2014-15 Assurance meeting was held in July, with the report due shortly.

3.0 Internal Assurance Framework

- 3.1 The Governing Body workshop in June was focussed on assurance and risk management within the CCG. The critical success factors were considered and the overall risk management matrix, and domains for impact and probability were reviewed.

3.2 The critical success factors agreed are:

- Well led organization with the skills and capacity to deliver statutory functions
- Effective clinical and quality assurance improving the quality and safety of commissioned services
- Resilient health care system, improving health outcomes for the local population
- Financial sustainability supported by effective financial management
- Transforming local health services for long term sustainability

3.3 All risks and associated mitigating actions have been re-assessed and aligned to the impact on the critical success factors. This is managed via the Covalent system internally.

3.4 It was agreed at the Governing Body workshop to retain the current risk matrix for probability and impact assessment and to retain the current levels for escalation of risk on to the corporate risk register and reporting arrangements. Risks assessed at a score of 15 or above (Red) are classified as significant risks are included on the corporate risk register. Work has been done to improve the links with the Partnership Commissioning Unit and significant risks for the NHS Vale of York CCG from the Partnership Commissioning Unit will be included in future reports.

3.5. All risks are assessed monthly, with new risks being included on team and project risk registers as they emerge. All risks are reported on team registers, and heat maps of all risks are reported at each Quality and Finance Committee. It was agreed at the Governing Body workshop that additional impact information would be included in risk descriptions, including the proximity of the risk, to help inform decision making about risk at a Committee level. This work is in progress. Each Red risk is reported to Quality and Finance Committee monthly, and it was agreed that each Governing Body meeting would receive the Red risk summary.

3.6 Further to the Governing Body workshop, the NHS Vale of York CCG has implemented an 'event' function on the system to record the lessons learned against any materialised risk.

Significant Risks

3.7 There are 12 significant risks (Red) for the NHS Vale for July. Of these risks, 5 have increased in severity, with 4 moving from an Amber rating to Red and one, Better Care Fund, increasing from a score of 15 to 20. No Red risks were reduced in their assessment. (See next page)

Critical Success Factor	Risk	Status	Direction
Well led organization with the skills and capacity to deliver statutory functions	There is a risk that Integrated Operational Plan does not meet planning, performance and finance requirements from NHS England*	Red: 16	↑
	There is a risk that Business Intelligence capacity is reduced during the Commissioning Support transition period	Red: 16	↔
Effective clinical and quality assurance improving the quality and safety of commissioned services	There is a risk that YTHFT Serious Incident processes are not effectively managed	Red: 16	↔
	Lack of assurance on quality and performance monitoring in Primary Care	Red: 16	↔
Resilient health care system, improving health outcomes for the local population	Constitutional performance on A&E waiting times	Red: 16	↔
	Constitutional performance on diagnostic waiting times	Red: 16	↔
Financial sustainability supported by effective financial management	There is a risk that the CCG fails to deliver QIPP savings *	Red: 20	↑
	There is a risk that providers will overtrade against contracts*	Red: 15	↑
	Better Care Fund financial savings	Red 20	↑
Transforming local health services for long term sustainability	There is a risk the CCG will not reduce non-elective admissions to planned levels*	Red: 16	↑
	There is a risk QIPP will not deliver the transformational change needed to deliver savings	Red: 16	↔
	There is a risk that delivery of BCF targets is dependent on partners and outside the immediate control of the CCG	Red 16	↔

* New red risk in June assessment.

- 3.8 A number of the risks are related to the finance and performance position of the CCG, as regularly reported at Governing Body. In addition to the existing mitigating actions outlined in the strategic plan, and reported to Quality and Finance Committee, the NHS Vale of York CCG are in the process of developing a more detailed finance and performance improvement plan, to manage and hopefully reduce the risk levels during 2015-16 in these areas.
- 3.9 A review of business continuity through the Commissioning Support changes has been established internally, focussing on Business Intelligence capacity and IT resilience. The CCG data group is reviewing all BI requests and prioritising workloads to ensure core functions are delivered during the transition period.
- 3.10 The CCG is engaged in discussions with NHS England on performance and quality monitoring in primary care as part of the Co-Commissioning arrangements. The CCG has approved the use of a reporting tool to be shared across primary care to enhance reporting and intelligence. The Serious Incident Reporting has been raised through the Yorkshire and Humber Commissioning Support SI team, with initial meetings held to progress this work.