Item Number: 6

Name of Presenter: Rachel Potts

Meeting of the Governing Body

4 June 2015

NHS
Vale of York
Clinical Commissioning Group

NHS Vale of York CCG Assurance Update

Purpose of Report
For Approval

1. **Rationale**
   NHS England have released the new CCG Assurance Framework for 2015-16 and this report provides a summary of the new Framework and impact for the internal CCG Assurance Framework.

2. **Strategic Initiative** *across all initiatives*
   ☐ Integration of care   ☐ Planned care
   ☐ Person centred care   ☐ Transforming MH and LD services
   ☐ Primary care reform   ☐ Children and maternity
   ☐ Urgent care reform   ☐ Cancer, palliative care and end of life care
                                    ☐ System resilience

3. **Actions / Recommendation**
   To note the change in the CCG Assurance Framework and associated domains.

   To approve the revised critical success factors for the internal Assurance Framework and a Governing Body workshop to review risk in July.

4. **Engagement with groups or committees**
   N/a

5. **Significant issues for consideration**
   The new CCG Framework has a more robust approach where NHS England is partially or not assured, with a wider range of interventions including a new 'special measures' category for CCG's at high risk.

6. **Implementation**
   The Head of Corporate Assurance and Strategy will take forward the preparation for the CCG Assurance Framework and for the refresh of the NHS Vale of York internal Assurance Framework.

7. **Monitoring**
   The Governing Body will receive updates on the internal CCG Assurance at each formal Board meeting, with updates on the progress of implementing the 2015-16 CCG Framework as required.

8. **Responsible Chief Officer and Title**	9. **Report Author and Title**
Rachel Potts	Lynette Smith
Chief Operating Officer	Head of Corporate Assurance and Strategy

10. Annexes
N/a

NHS Vale of York Clinical Commissioning Group Governing Body

4 June 2015

Update on the CCG Assurance Framework

1.0   Background

1.1   NHS England sets out an quarterly review process for assessing CCG performance against a set of six domains:[1]

1.2   CCGs can be assessed against these domains as 'Assured', Assured with Support or 'Not Assured, intervention required.' NHS Vale of York CCG has been assessed overall as 'Assured with Support'. The breakdown of the Domains is below:

Focus	Assurance level
Are patients receiving clinically commissioned, high quality services?	Assured with Support
Are patients and the public actively engaged and involved?	Assured
Are CCG plans delivering better outcomes for patients?	Assured with Support
Does the CCG have robust governance arrangements?	Assured
Are CCGs working in partnership with others?	Assured
Does the CCG have strong and robust leadership?	Assured

1.3   The primary challenges for the CCG are the delivery of NHS Constitutional targets relating to urgent care and access (referral to treatment time and diagnostics) and delivery of the QIPP financial plan. These risks are regularly reported to the Governing Body.

2.0   CCG Assurance Framework 2014-15 – Quarter 3 Assurance

2.1   The quarterly process for 2014-15 has been reported a quarter in arrears, and as such the Q3 meeting was held in April with the area team. The focus of the meeting was a discussion around the CCG's Integrated Operational Plan 2015-16 and ambitions to reduce non-elective admissions within the Better Care Fund plans.

2.2   The CCG is awaiting the formal feedback from the Q3 Assurance meeting, but it is not anticipated that the Domain assessment will change.

---

[1] (http://www.england.nhs.uk/wp-content/uploads/2014/06/ccg-ass-op-guid-2014-15.pdf)

3.0   CCG Assurance Framework 2015-16

3.1   NHS England has released the guidance on the 2015-16 CCG
       Assurance Framework [2]. The new framework moves on from a focus
       on CCG capability to deliver as new organisations and incorporates the
       national drivers in the 'Five Year Forward View' and increased
       delegation of commissioning.

3.2   The new framework has five core domains:

3.2.1 **Well-led organisation:** this will assess the extent to which a CCG:
       - has strong and robust leadership;
       - has robust governance arrangements;
       - involves and engages patients and the public actively;
       - works in partnership with others, including other CCGs;
       - secures the range of skills and capabilities it requires to deliver all of
       its commissioning functions, using support functions effectively, and
       getting the best value for money; and
       - has effective systems in place to ensure compliance with its statutory
       functions.

       This section encompasses a number of the previous domains,
       reflecting an expectation that equalities, engagement and partnership
       working are all embedded in the CCG's organisational behaviour.

3.2.2 **Performance**: delivery of commitments and improved outcomes
       - improved quality and outcomes for patients
       - Mandate requirements and NHS Constitution standards
       - Safeguarding, digital record keeping and transfers of care
       - Supported by delivery metrics in the CCG scorecard (currently
       referred to as the delivery dashboard). This scorecard will be published
       on the NHS Choices website.

3.2.3. **Financial management**: the monitoring of a CCG's financial
       management capability and performance will be continuous throughout
       the year, including
       - assessment of data quality and contract enforcement
       - Action will be immediately taken is financial problems become
       evidence, including the use of the new 'special measures' or statutory
       directions.

3.2.4 **Planning**: the assurance of a CCG's plans will be a continuous process
       - Better Care Fund
       - Integrated Operational Plans
       - System resilience plans
       - Digitisation and use of the NHS Number

3.2.5 **Delegated functions**: specific additional assurances will be required
       where delegation has been taken on. For NHS Vale of York CCG this

---

will relate to Out of Hours functions and Primary Care Co-Commissioning.

3.3   The Assurance process will be risk based, with assurance meetings or submission frequencies dependent on the level of identified risk. NHS England will use source evidence, such as the scorecard and 360 degree survey's to identify areas of risk. The level of risk for NHS Vale of York CCG has not yet been confirmed.

3.4   The CCG Assurance Framework for 2015-16 is more robust in its approach to levels of assurance. There will be 4 categories:
- assured as outstanding;
- assured as good;
- limited assurance, requires improvement; and,
- not assured.

3.5   Where a CCG is either in limited assurance or not assured, an improvement plan will be required. The level of direction from NHS England in this will be determined by the level of assurance and the risk within the CCG.

3.6   Should a CCG in these categories (but not limited to those categories) have 'chronic and persistent' financial, performance or governance issues they may be placed under the new 'special measures' regime. Chronic and persistent is classed as at least two quarters, however they can intervene more promptly in relation to finance. Special measures may include NHS England signing off all plans and attending key meetings, legal directions and intervention in the CCG leadership.

4.0   Refresh of the NHS Vale of York Assurance Framework 2015-16

4.1   The current NHS Vale of York CCG Assurance Framework and associated risk management framework is based upon 5 critical success factors to the organisation, agreed in 2013.
- Improving health outcomes for the local population
- Improve the quality and safety of commissioned services
- Achieving financial balance
- Working collaboratively with all stakeholders in service developments and decision making
- Ensuring the CCG has the capacity and processes to deliver statutory duties.

4.2   Risks for the corporate risk register are assessed against the critical success factors for the organisation. It is proposed that these critical success factors are refreshed for 2015-16 to take account of the five year strategic plan and the new CCG Assurance Framework. The following critical success factors are proposed:

- Well led organisation with the skills and capacity to deliver statutory functions (Domain 1&5)
- Effective Clinical and quality assurance improving the quality and safety of commissioned services (Domain 2)

- Resilient health care system, improving health outcomes for the local population (Domain 2)
- Financial sustainability supported by effective financial management (Domain 3)
- Transforming local healthcare services (Domain 4 / Strategic Initiatives)

4.3   It is proposed that the Governing Body reviews the Assurance Framework risk appetite and reporting arrangements at the July workshop to ensure the CCG continues to have robust and effective arrangements for monitoring risk.