Item Number: 15 **Name of Presenter: Rachel Potts**	
Meeting of the Governing Body **7 April 2016**	**NHS** **Vale of York** **Clinical Commissioning Group**

NHS Vale of York Clinical Commissioning Group Assurance Framework

Purpose of Report
To Receive

1. Rationale

To provide an update to the Governing Body on the CCG Assurance Framework and proposed reforms for CCG Assurance in 2016-17.

2. Strategic Initiative

☐ 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
☒ Effective and Efficient Organisation   ☐ System resilience

3. Local Authority Area

☒ CCG Footprint   ☐ East Riding of Yorkshire Council
☐ City of York Council   ☐ North Yorkshire County Council

4. Actions / Recommendations

To note the report and proposed revision of the CCG Assurance Framework to an 'Improvement and Assessment' regime.

5. Engagement with groups or committees

Quality and Performance Committee receive the updated risks each month. The Audit Committee reviewed the risks against the corporate Assurance Framework in March 2016 and received the report on the revisions to the national 'Improvement and Assessment' regime for CCGs.

6. Impact on Primary Care

N/A

7. Significant issues for consideration .

The report notes the introduction of a new national 'Improvement and Assessment' regime for 2016-17 which will provide a judgement rating for the CCG.

8. Implementation

Monitoring and refresh of the Assurance Framework is taken forward by the Corporate and Governance Team. Reports are provided in line with agree framework to Governing Body, Quality and Finance and Senior Management Team.

9. Monitoring	
As above	

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 Governing Body

7 April 2016

NHS Vale of York CCG Assurance Framework

1.0   Background

1.1   The NHS Vale of York CCG's internal assurance framework has been in place since June 2013. The internal Assurance Framework sets out the business critical factors for the CCG to deliver its essential functions, and in turn allows the CCG to identify any risks that may impact on its ability to deliver the national requirements. It is based upon the national Assurance Framework and associated key lines of enquiry, combined with local priorities for the CCG relating to quality and transformation https://www.england.nhs.uk/commissioning/ccg-auth/ .

1.2   The national Assurance Framework changes each year, and for 2016-17 a new 'CCG Improvement and Assessment' regime will replace the national Assurance Framework. The consultation on the new proposals closed on 26th February and further detail will be released in the Spring. The purpose of new framework is to better align with the Five Year Forward View and the development of Sustainable Transformation Plans across the Country.

2.0   Governing Body Assurance Framework

2.1   The Assurance Framework for the CCG was reviewed in July 2016 by Governing Body and follows the NHS England Board Assurance process. The Assurance Framework sets out the 'critical success factors' for the CCG, which are:

- Well led organisation 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 healthcare services.

2.2   All work within the CCG Operational Plan is aligned to the five factors. Risks identified as having an impact on those factors, or are assessed as a Significant Risk, are reported on the Corporate Risk Register. The Risk Owner is responsible for determining if an identified risk needs to be reported on the Corporate Risk Register, supported by the governance team if advice is required.

2.3   It is recognised that while systems are in place to capture risk, more can be done to strengthen actions taken to mitigate risk and the reporting of those actions. It is likely mitigating actions are under reported, the governance team have requested team meetings with all departments to identify the causes for this and to put in place supporting actions. Risk training is a priority for implementation in 2016-17.

2.4   The CCG Turnaround Plan includes a review of risk reporting and discussions have taken place with Senior Management Team and Audit Committee on new approaches to risk reporting. The Covalent Steering Group is being refreshed to include a stronger focus on the Programme Management Office arrangements and lessons learned capture to improve controls against delivery work.

3.0   CCG Improvement and Assessment Framework

3.1   NHS England's new proposals for CCGs are designed to create one process for assessment, bringing together the range of performance and financial metrics under one regime. The focus is on Improvement and Assessment with NHS England regional teams having a stronger role in challenge and developing/ sharing best practice across the Country. The new regime is described as 'Ofsted Style' although will be led by NHS England rather than an inspectorate.

3.2   Indicators will be groups under four domains:

- **Better Health**: this domain looks at how the CCG is contributing towards improving the health and wellbeing of its population, and bending the demand curve;
- **Better Care**: this principally focuses on care redesign, performance of constitutional standards, and outcomes, including in important clinical areas;
- **Sustainabilit**y: this domain looks at how the CCG is remaining in financial balance, and is securing good value for patients and the public from the money it spends;
- **Leadership**: this domain assesses the quality of the CCG's leadership, the quality of its plans, how the CCG works with its partners, and the governance arrangements that the CCG has in place to ensure it acts with probity for example in managing conflicts of interest.

3.3   These are underpinned by individual assessment on the clinical priorities areas within the mandate:

- Mental health
- Dementia
- Learning disabilities
- Cancer
- Diabetes
- Maternity

3.4   CCGs will be given a headline judgement based upon local performance from one of four categories 'Outstanding, Good, Requires Improvement and Inadequate'. The initial rating will be provided in June, with subsequent assessments quarterly. This is subject to the consultation process and a final process is yet to be published. The proposed indicators are available on the consultation document: https://www.england.nhs.uk/commissioning/wp-content/uploads/sites/12/2016/02/CCG-IAF-engagement-document.pdf

3.5   Judgements will be published and made more visible than current CCGs Assurance Assessments.

3.6   The annual refresh of the CCG Assurance Framework is scheduled for early Spring to take account of the proposed changes in the new CCG Improvement and Assessment regime once published. The Operating Plan for 2016-17 has set the QIPP and programmes of work under the headings of the new Framework and associated performance measures to demonstrate how these link directly to the CCG's work. The corporate system will be set to report against the new domains and the CCG Assurance Framework to provide the Governing Body with enhanced reporting in 2016-17.