

**CCG Assurance:  
delegated functions  
self-certification  
2015/16**



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## **CCG assurance**

### **Delegated Functions Self-Certification**

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The National Health Service Commissioning Board was established on 1 October 2012 as an executive non-departmental public body. Since 1 April 2013, the National Health Service Commissioning Board has used the name NHS England for operational purposes.

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## 1 Introduction

The CCG Assurance Framework for 2015 /16 sets out a new assurance process that takes account of the need for NHS England to have specific additional assurances from CCGs who have taken responsibility for the commissioning of primary medical care services under delegated authority ( 'Delegated Functions') or a joint commissioning arrangement with NHS England. It also covers out of hours primary medical services, which is a directed rather than delegated function.

## 2 Principles

The principles governing the assurance process for delegated functions are that it:

- be part of the wider CCG 15/16 assurance process;
- looks at ways of reducing the burden of assurance on the service whilst implementing a robust process that is mindful of the legislative framework;
- be based on a supportive conversation
- will reflect the flexibility of NHS England to intervene differently in different circumstances;
- includes a mixture of soft intelligence and data;
- seeks to understand CCGs' processes for assuring the system and whether intended outcomes are being delivered;
- tests that core governance arrangements are working successfully, with specific attention to conflicts of interest; and,
- be specific about the achievement of local outcomes.

## 3 Components of assurance

The CCG assurance framework considers the breadth of a CCG's responsibilities. Delegated Functions are one of the components to be assessed, at an overall system level, alongside whether a CCG is well led, and has robust, effective systems in place to meet performance, financial and planning requirements.

In the first year of co-commissioning (subject to review) the Delegated Functions component will be concerned with compliance against five key areas:

- Outcomes
- Governance and the management of potential conflicts of interest
- Procurement
- Expiry of contracts
- Availability of services

## 4 Process overview

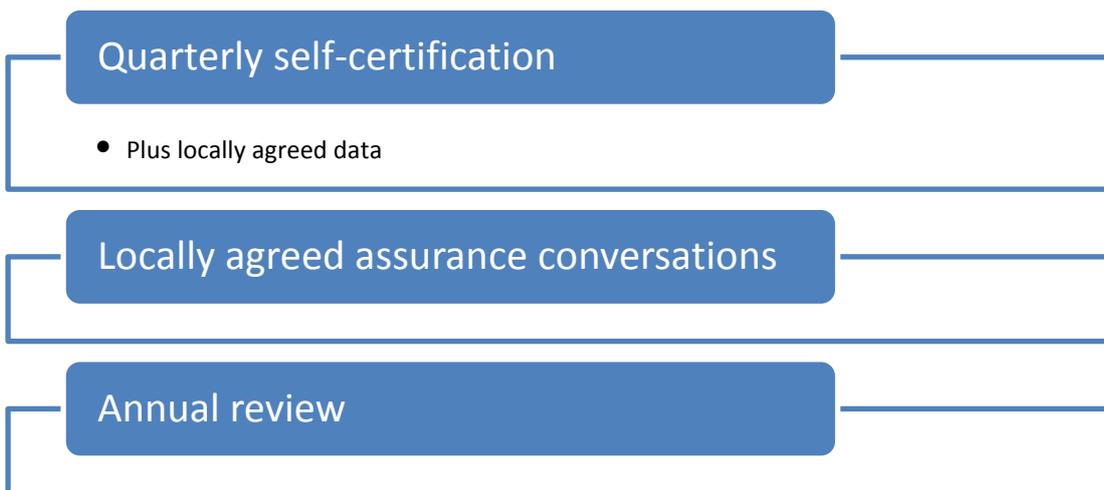
Assurance of Delegated Functions will take place quarterly in the first year of CCGs taking on co-commissioning as a delegated authority.

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This will be supported by CCGs fully or partially completing a quarterly self-certification alongside provision of other locally agreed information sources.

- All CCGs will need to complete all 6 sections of the self-certification for out of hours services.
- CCGs that have taken on fully delegated commissioning functions will need to complete all 6 sections of the self-certification for co-commissioning .
- Those CCGs undertaking joint commissioning with NHS England will need to complete section 3 only of the self-certification for co-commissioning.
- Where a number of CCGs have entered in to a joint commissioning arrangement one full self-certification should be completed and signed off by the chair of the joint committee.

It is expected the emphasis will normally be on commissioners' progress in improving primary medical services and out-of-hours services for their patients and how they are using their Delegated Functions to deliver these and support their wider improvements. NHS England and CCGs will annually review progress and forward plans.



## 5 Quarterly self-certification

CCGs will need to complete and return the quarterly self-certification at Annex A which focuses on progress in the previous quarter against the five key areas (outcomes, governance and the management of potential conflicts of interest, procurement, expiry of contracts and availability of services).

The quarterly self-certification will support NHS England's assurance assessments of CCGs, however its assessments will not be determined solely by it. This recognises there are a number of sources of additional primary care data and information that may be prioritised and considered locally (e.g. local plans, performance against GP High Level Indicators, OOH National Quality Requirements etc.)

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CCGs are under a duty to ensure the information reported in the self-certification is accurate and up to date. CCGs will need to ensure returns are reviewed by internal audit and report if any audit recommendations are made and implemented.

The CCG Audit Chair and Accountable Officer will need to sign off the self-certification as accurate and to confirm the CCG's compliance with the conflict of interest guidance.

**Timescale for completion – this will be agreed locally with the CCG's DCO team, to align with their assurance cycle. Completion will be required during the quarter following that which is being self-certificated.**

The self-certification should also be copied to [england.primarycareops@nhs.net](mailto:england.primarycareops@nhs.net) using the email subject 'Delegated functions self-certification.'

## 6 Locally agreed assurance conversations

The assurance process for delegated functions is to be based on a supportive conversation and the process will reflect the flexibility of NHS England to intervene differently in different circumstances.

If available data suggests emerging issues or that support is required in relation to the Delegated Functions outside the quarterly assurance conversations, the 2015/16 continuous assurance process allows for on-going conversations between NHS England and CCGs.

## 7 Annual review

An annual review between NHS England and CCGs will take place prior to the business planning process.

The review will consider the following areas in relation to Delegated Functions:

- what has gone well over the last year, what has worked in practice, what has made a difference and progress to date;
- any key issues over the year; and
- a forward look setting up for the planning round 2016/17. This will include the plan for the local primary care strategy.

Particular themes to be explored within these areas should include:

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### Increasing capacity to deliver more and better care

- Increasing existing provider workforce, improving skill mix
- Improving support to general practice through utilisation of other primary care professions
- Premises improvement and use of IM&T

### Improving quality of care to patients

- Addressing current variability in delivery and the services offered between providers
- Improving care for the elderly and the vulnerable (reducing breakdown in care and urgent care admissions)
- Prevention – increasing screening, take-up of vaccinations as well as addressing rising obesity and avoidable diseases/ill health

### Improving patient access to services

- Addressing variability in core hours provision
- Extending patient provision towards 8-8, 7-day service
- Increasing awareness of out of hours GP services

### Maximising investment in and through the delegated services

- Achieving vfm from investment based on measurable improvements in health and outcomes for the population
- Strategy for ensuring equitable funding within general practice

## CCG Assurance Framework 2015/16 Delegated Functions - Self-certification

CCG Name or joint committee of CCGs	
Quarter/year to which certification applies	

### 1. Assurance Level

To support ongoing dialogue, CCGs are asked to provide a self-assessment of their level of assurance for each Delegated Function (as appropriate) .		
	Assurance Level	Change since last period
Delegated commissioning	Choose an item.	Choose an item.
OOH commissioning	Choose an item.	Choose an item.

### 2. Outcomes

Briefly describe progress in last quarter towards the objectives and benefits the CCG set out in taking on delegated functions, in particular the benefits for all groups of patients <maximum 200 words>

### 3. Governance and the management of potential conflicts of interest in relation to primary care co-commissioning (this section should be completed by those CCGs which undertake joint commissioning with NHS England as well as those that have delegated commissioning arrangements)

	Co-commissioning	OOH commissioning
Have any conflicts or potential conflicts of interest arisen during the last quarter?	Choose an item.	Choose an item.
If so has the published register been updated?	Choose an item.	Choose an item.
Is there a record in each case of how the conflict of interest has or is planned to be managed?	Choose an item.	Choose an item.
Please provide brief details below and include details of any exceptions during the last quarter where conflicts of interest have not been appropriately managed <maximum 200 words>		

#### 4. Procurement and expiry of contracts

**Briefly describe any completed procurement or contract expiry activity during the last quarter in relation the Delegated Functions and how the CCG used these to improve services for patients (and if and how patients were engaged). <maximum 250 words per Delegated Function>**

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#### Local Incentive Schemes

Is the CCG offering any Local Incentive Schemes to GP practices?	Choose an item.
Was the Local Medical Committee consulted on each new scheme?	Choose an item.
If any of those schemes could be described as novel or contentious did the CCG seek input from any other commissioner, including NHS England, before introducing?	Choose an item.
Do the offered Local Incentives Schemes include alternatives to national QOF or DES?	Choose an item.
<i>If yes, are participating GP practices still providing national data sets?</i>	Choose an item.

**What evidence could be submitted (if requested) to demonstrate how each scheme offered will improve outcomes, reduce inequalities and provide value for money?**

**<maximum 250 words for each Delegated Function>**

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#### 5. Availability of services

**Briefly describe any issues raised during the last quarter impacting on availability of services to patients (include if and how patients were engaged). <maximum 250 words for each Delegated Function>**

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	Delegated commissioning	OOH commissioning
How many providers are currently identified by the CCG for review for contractual underperformance?	[number]	[number]
And of those providers, how many have been reviewed and there is action being taken to address underperformance?	[number]	[number]
During the last quarter were any providers placed into special measures following CQC assessment?	Choose an item.	Choose an item.

**If yes, please provide brief details of each case and how the CCG is supporting remediation of providers in special measures**  
 <maximum 50 words per case>

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In the last 12 months has the CCG published benchmarked results of providers OOH performance (including Patient experience)	Choose an item.
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If yes, please provide link to published results:

**6. Internal audit recommendations**

	Co-commissioning	OOH commissioning
Has internal audit reviewed your processes for completing this self-certification since the last return?	Choose an item.	Choose an item.

**If so, what was their conclusion and recommendations for improvement?**  
 <maximum 200 words for each Delegated Function>

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**Use this space to detail any other issues or highlight any exemplar practice supporting assurance as outstanding**

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## 7. CCG declaration

I hereby confirm that the CCG has completed this self-certification accurately using the most up to date information available and the CCG has not knowingly withheld any information or misreported any content that would otherwise be relevant to NHS England assurance of the Delegated Functions undertaken by the CCG.

I confirm that the primary medical services commissioning committee remains constituted in line with statutory guidance.

I additionally confirm that the CCG has in place robust conflicts of interest processes which comply with the CCG's statutory duties set out in the NHS Act 2006 (as amended by the Health and Social Care Act 2012), and the NHS England statutory guidance on managing conflicts of interest.

**Signed by [insert name] CCG Accountable Officer / Chair of joint committee (delete as appropriate)**

Name:  
Position:  
Date:

**Signed by [insert name] Audit Committee Chair**

Name:  
Position:  
Date:

Please submit this self-certification to your local NHS England team and copy to [england.primarycareops@nhs.net](mailto:england.primarycareops@nhs.net) using the email subject 'Delegated functions self-certification.'