

Primary Care Assurance

Framework

Annual Process

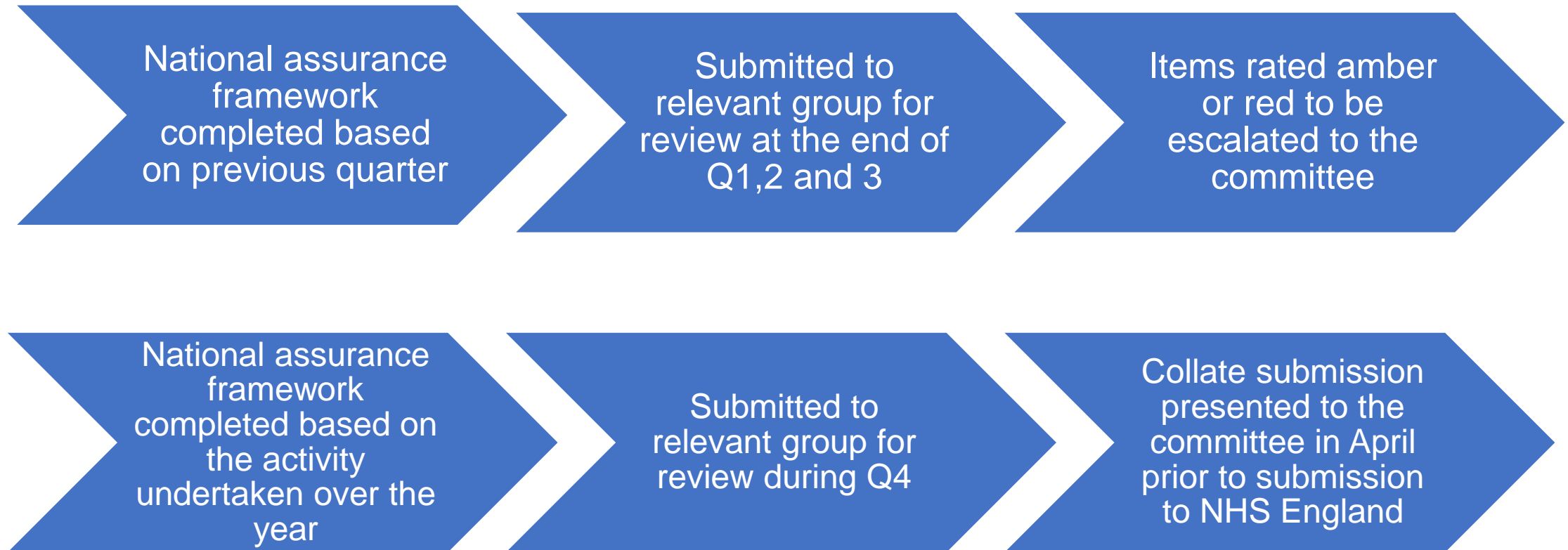
Background

- The ICB holds a Delegation Agreement with NHS England which requires the ICB to make primary care commissioning decisions in line with relevant legislation, national policy and agreed processes.
- NHS England has published an assurance framework which focuses on the responsibilities that have been delegated to the ICB, structured around four domains:
 - Compliance with mandated guidance issued by NHS England
 - Service provision and planning
 - Contracting
 - Contractor/provider compliance and performance
- The ICB is required to complete a retrospective annual self-declaration to confirm compliance with the four domains. The first return is due to be submitted by the end of April 2024 and can be found here: [NHS England » Primary care commissioning assurance framework](#)

ICB process

- In June 2023, the Primary Care Commissioning Committee agreed a process to provide quarterly assurance to the committee that the ICB was meeting the requirements of the Delegation Agreement.
- The process involved the groups of the committee completing a locally designed quarterly assurance framework, utilising the suggested evidence articulated in the NHS England guidance.
- The quarterly framework was presented to the committee at the end of quarter one, two and three and Mersey Internal Audit Agency undertook an audit to validate the information that was presented.
- It was agreed to streamline the process as the framework was resource intensive to populate and the audit demonstrated that the required evidence was available on file if requested. The groups will now review a quarterly return, with any areas of concern highlighted to the committee.

Flow chart



Assurance Framework- general

Red	Non-compliant
Amber	Compliant but some risks identified
Green	Fully compliant

General		
	R/A/G Rating	Comments/Evidence
<p>Compliance with the Delegation Agreement Has the ICB complied with the terms and associated responsibilities and measures required to ensure the effective and efficient exercise of the Delegated Functions?</p>	Green	This can be evidenced via the papers and decisions made by the committee and associated groups.
<p>Governance structures Does the ICB have the appropriate governance structures for the delegated functions in place to enable the commissioning and delivery of high quality care</p>	Green	Primary care commissioning and quality governance structures are in place.

Assurance Framework- pharmaceutical services

Pharmaceutical Services		
	R/A/G Rating	Comments
Compliance with mandated Guidance issued by NHS England		
Has the ICB understood and complied with all nationally set operating procedures and policies (e.g. the Pharmacy Manual)?	Green	All processes and decisions have been made in line with the manual. The group papers demonstrate that the manual has been followed when making decisions and also gains assurances that those decisions made by individuals are also inline.
Service provision and planning		
Has the ICB been actively involved with all Pharmaceutical Needs Assessments (PNA) in their area, as undertaken by HWBs in year?	Green	Two PNAs were produced by HWBs during the year (Westmorland and Furness and Cumberland). The ICB provided input into both.
Has the ICB assured itself that there are no material gaps (as defined by the PNA) in pharmaceutical provision and has it taken action to address any gaps identified?	Green	All three PNAs that cover the ICB area have been reviewed and there are no identified gaps.
Can the ICB confirm that all payments made to community pharmacy contractors, dispensing appliance contractors and dispensing doctors are as outlined in the Drug Tariff, in line with usual NHSBSA custom and practice or are made within other formal contractual routes (e.g. LPS contracts or NHS Standard Contract)?	Green	All payments have been made by the NHS Business Services Authority, in line with the national contract or in line with the locally held LPS contract.
Can the ICB confirm that all contracts put in place for local enhanced services are in line with The Pharmaceutical Services (Advanced and Enhanced Services) (England) Directions 2013?	Green	All local services are commissioned via the standard NHS contract. The ICB has not commissioned any local enhanced services under the directions.
Has the ICB obtained written consent of NHS England prior to making any new LPS schemes?	N/A	No new LPS schemes have been entered into.
Can the ICB confirm that all applications for the Pharmaceutical List received by the ICB related to community pharmacy contractors, dispensing appliance contractors and dispensing doctors have been decided within their regulatory timescales? Reasons should be provided where this is not the case.	Green	All applications have been processed in-line with the regulations. The group has oversight of applications being processed.
Contractor/ Provider compliance and performance		
Can the ICB confirm that it has the necessary processes in place to comply with all guidance/regulations for contractor compliance and has taken appropriate action where necessary.	Green	All potential contractual breaches are discussed informally at the operations group, and escalated to the group should contractual action be required. Contractual breaches have been issued.
Can the ICB confirm that contractors have completed the Community Pharmacy Assurance Framework (CPAF) and it has taken appropriate action where this is not the case?	Green	The group received a report of all contractors that have not completed the CPAF return and contractual action is currently being taken in line with the manual.

Assurance Framework- primary ophthalmic services

Primary Ophthalmic Services		
	R/A/G Rating	Comments
Compliance with mandated Guidance issued by NHS England		
Has the ICB understood and complied with all nationally set operating procedures and policies (e.g. the Eye Health Policy Book)?	Green	All processes and decisions have been made in line with the policy book. The group papers demonstrate that the book has been followed when making decisions and also gains assurances that those decisions made by individuals are also inline.
Service provision and planning		
Can the ICB confirm that it has the necessary processes in place to plan and manage service provision.	Green	Ophthalmic provision is managed by a reactive application process rather than actively commissioned. No complaints have been received with regards to service provision. This is in line with the National Eye-care Policy Book
Contracting		
Can the ICB confirm that it is managing the processes involved for new, varied and terminated contracts effectively and efficiently.	Green	All processes and decisions have been made in line with the manual. The group papers demonstrate that the manual has been followed when making decisions and also gains assurances that those decisions made by individuals are also inline.
Contractor/ Provider compliance and performance		
Can the ICB confirm that it has the necessary processes in place to comply with all guidance/regulations for contractor compliance and has taken appropriate action where necessary.	Green	All potential contractual breaches are discussed informally at the operations group, and escalated to the group should contractual action be required. Contractual breaches have been issued

Assurance Framework- dental services

Dental Services		
	R/A/G Rating	Comments
Compliance with mandated Guidance issued by NHS England		
Has the ICB understood and complied with all nationally set operating procedures and policies (e.g. the Policy Book for Primary Dental Services)?	Green	All processes and decisions have been made in line with the manual. The group papers demonstrate that the manual has been followed when making decisions and also gains assurances that those decisions made by individuals are also inline.
Service provision and planning		
Can the ICB confirm that it has the necessary processes in place to plan and manage service provision.	Green	As per the Dental Access and Oral Health Improvement plan. A commissioning plan for 23/24 has also been developed.
Contracting		
Can the ICB confirm that it is managing the processes involved for new, varied and terminated contracts effectively and efficiently.	Green	All processes and decisions have been made in line with the manual. The group papers demonstrate that the manual has been followed when making decisions and also gains assurances that those decisions made by individuals are also inline.
Does the ICB have local process mechanisms in place for the collection of data relating to decisions on Discretionary Payments or Support?	Green	No discretionary payments/support has been made. Any requests would be considered in line with the ICB governance processes/ the policy book.
Contractor/ Provider compliance and performance		
Can the ICB confirm that it has the necessary processes in place to comply with all guidance/regulations for contractor compliance and has taken appropriate action where necessary.	Green	All potential contractual breaches are discussed informally at the operations group, and escalated to the group should contractual action be required. Contractual breaches have been issued

Assurance Framework- primary medical services

Primary Medical Services		
	R/A/G Rating	Comments
Compliance with mandated Guidance issued by NHS England		
Has the ICB understood and complied with all nationally set operating procedures and policies (e.g. the Primary Medical Care Policy and Guidance Manual)?	Green	All processes and decisions have been made in line with the manual. The group papers demonstrate that the manual has been followed when making decisions and also gains assurances that those decisions made by individuals are also inline.
Service provision and planning		
Can the ICB confirm that it has the necessary processes in place to plan and manage service provision	Green	As per the general practice access plan.
Contracting		
Does the ICB have local process mechanisms in place for the collection of data relating to decisions on Discretionary Payments or Support?	Green	No discretionary payments/support has been made. Any requests would be considered in line with the ICB governance processes/ the policy book.
Does the ICB have processes to implement Premises Costs Directions Functions?	Green	Yes, this is articulated in the governance structure and is primarily managed by the capital group.
Contractor/ Provider compliance and performance		
Has the ICB got the appropriate systems and processes in place to manage quality and performance of providers? Has the ICB taken appropriate action where necessary.	Green	All potential contractual breaches are discussed informally at the operations group, and escalated to the group should contractual action be required. Contractual breaches have been issued. The ICB is also mobilising its proactive quality process.



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South Cumbria**
Integrated Care Board

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