


Date:	13/12/18
Meeting:	Governing Body
Item Number:	11.6
Public/Private:	Public <input checked="" type="checkbox"/> Private <input type="checkbox"/>

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Director approval <i>(Name)</i>	Emma Sayner Interim CFO
Director Signature	

Report Title:	CCG Self-Assessment Checklist Q2
Decisions to be made:	Governing Body is asked to note the Q2 Self-Assessment position of the CCG in relation to Financial Control, Planning and Governance.

Link to a Strategic Objective?	<input checked="" type="checkbox"/>	Financial Sustainability
Link to a Strategic Risk	<input type="checkbox"/>	

Continue to improve the quality of services	<input type="checkbox"/>	Improve patient experience	<input type="checkbox"/>		
Reduced unwarranted variations in services	<input type="checkbox"/>	Reduce the inequalities gap in North Lincolnshire	<input type="checkbox"/>		
Deliver the best outcomes for every patient	<input type="checkbox"/>	Statutory/Regulatory	<input checked="" type="checkbox"/>		
Purpose (tick one only)	Approval <input type="checkbox"/>	Information <input type="checkbox"/>	To note <input checked="" type="checkbox"/>	Decision <input type="checkbox"/>	Assurance <input type="checkbox"/>

Executive Summary (Question, Options, Recommendations):	
<p>The report demonstrates the CCG's achievement as at Q2 against the assessment criteria of each domain.</p> <p>The CCG's overall performance has improved in Q2, with the Risk Management and Audit domains both having improved scores whilst all other domains remain consistent with Q1.</p>	
Recommendations	1 To note the improved CCG Self-Assessment position in Q2
Report history	
Equality Impact	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>

Sustainability	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>	
Risk	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>	
Legal	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>	
Finance	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	The report highlights the CCG's performance against key financial targets as well as an assessment of achievement against a range of financial domains.

<i>Patient, Public, Clinical and Stakeholder Engagement to date</i>									
	<i>N/A</i>	<i>Y</i>	<i>N</i>	<i>Date</i>		<i>N/A</i>	<i>Y</i>	<i>N</i>	<i>Date</i>
Patient:	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>		Clinical:	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	
Public:	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>		Other:	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	

CCG Financial Control, Planning and Governance Self-Assessment

Table below demonstrates % of answers equating to a Yes

Domain	Q1	Q2	Q3	Q4	Annual
Detailed Financial Planning	100%	100%	0%	0%	82%
In year Financial Performance	100%	100%	0%	0%	100%
Contracts	67%	67%	0%	0%	N/A
System-wide Performance	50%	50%	0%	0%	N/A
Financial Control	86%	86%	0%	0%	83%
Risk Management	80%	100%	0%	0%	N/A
Audit	67%	100%	0%	0%	100%
Finance & Investment Committee	100%	100%	0%	0%	80%
Governing Body (GB)	100%	100%	0%	0%	100%
Capability and Capacity	25%	25%	0%	0%	100%
PMO Function (QIPP)	100%	100%	0%	0%	100%
CSU Support	25%	25%	0%	0%	N/A

Checklist for completion	Q1	Q2	Q3	Q4	Annual
Assessments	52	52	52	52	33
Completed	52	52	0	0	33
Status					
Yes	40	42	0	0	29
No	2	1	0	0	0
Partial	10	9	0	0	4
Not Applicable	0	0	0	0	0
Incomplete	0	0	52	52	0

CCG Financial Control, Planning and Governance Self-Assessment

Domain	#	Assessment Criteria	Frequency	Q1	Q2	Q3	Q4	Annual
Detailed Financial Planning and Budget Setting	1	Is the CCG planning to meet all business rules in 2018 - 19 as set by NHS England? (In-year control total compliant, achieving 1% cumulative surplus, contingency set aside for unforeseen events, Admin spending contained within technical limits, Mental Health Investment Standard compliant)	Annual	Partial	Partial			Partial
	2	Is the CCG planning compliance with all additional expectations in 2018 - 19 as defined by NHS England? (Meeting Mental Health Investment expectations across all metrics (e.g. C&YP Year on Year growth), Compliant with requirement to invest £3per head in primary care over 2 years (2017-19), Meeting requirement to reinvest Non-Elective Marginal rate benefit, reinvesting readmissions penalties (where levied)).	Annual	Yes	Yes			Yes
	3	Is the CCG plan meeting good practice expectations in preparation of 2018 - 19 financial plans? (underlying position maintained (balanced or in surplus - e.g. by deploying some expenditure on a non-recurrent basis), Plan is realistically profiled, QIPP target is ambitious but not unrealistic (i.e. >2% and <4% of CCGs total allocation and in line with historic delivery), QIPP plan is not unduly profiled towards the last quarter of the year (i.e. <65% of QIPP is due to be delivered in months 7-12), plan templates analysed and completed in required level of granularity (new requirement for 18/19 Acute PODs & MH).	Annual	Partial	Partial			Partial
	4	Has the CCG utilised and modelled year on year assumptions as per NHS England Planning Guidance? including activity growth broadly in line with National trend assumptions, tariff efficiency and inflation etc. If not, please clearly specify rationale and impact of alternative assumptions.	Annual	Yes	Yes			Yes
	5	Is the CCG unidentified QIPP less than 15%? if no, state value, % of allocation and process/timescales to close this gap	Annual	Yes	Yes			Yes
	6	CCG can confirm key risks are identified and quantified with clear and credible mitigations in place?	Annual	Yes	Yes			Yes
	7	Can the CCG confirm it has reasonable contingencies or reserves set aside to respond to unforeseen events and they are phased appropriately?	Annual	Yes	Yes			Yes
	8	CCG can confirm they have a high confidence that the plan is achievable and the CCG has the capacity and capability to deliver it?	Quarterly	Yes	Yes			Yes
	9	Budgets are prepared with involvement of trained budget holders with guidance on assumptions (e.g. growth, efficiencies and inflation provided by CCG CFO); budgets are formally agreed / signed off including any budget adjustments/virements	Annual	Yes	Yes			Yes
	10	All areas of expenditure are budgeted at a sufficiently detailed level to facilitate understanding of actual performance and enable robust financial control?	Annual	Yes	Yes			Yes
	11	Is the finance function actively involved in service developments, procurements and wider commissioning agenda?	Annual	Yes	Yes			Yes
	12	Is the CCG within 5% above/below target funding?	Annual	Yes	Yes			Yes
In year Financial Performance	13	Is the CCG reporting FOT equal to or better than plan?	Quarterly	Yes	Yes			Yes
	14	Is the CCG's underlying position equal to or better than plan, i.e. no emerging deficit or deterioration in-year?	Quarterly	Yes	Yes			Yes
	15	CCG to confirm that all identified risks have been fully quantified within the reported position? If no, please specify	Quarterly	Yes	Yes			Yes
	16	Is the CCG reporting nil net risks? i.e. gross risks identified and quantified with fully identified mitigating actions that are clear and developed and fully off-set identified risks, .	Quarterly	Yes	Yes			Yes
	17	The CCG to positively confirm that it is not relying on any unconfirmed outstanding allocations as in-year mitigation to deliver forecast? If unable to confirm, please specify type of allocation, amount and anticipated funding source?	Quarterly	Yes	Yes			Yes
	18	Is the CCG unidentified QIPP less than 15%? if no, state value and actions being taken	Quarterly	Yes	Yes			Yes
	19	Is year to date QIPP delivery in line with planned profile?	Quarterly	Yes	Yes			Yes
	20	The CCG has robust process in place to provide timely realistic forecasts?	Annual	Yes	Yes			Yes
	21	Can the CCG confirm that there is consistency in financial reporting and that this is signed off by the CFO? (including but not limited to; internally and externally reported, across ledger system and related financial reporting such as agreement of balances and finance reports).	Quarterly	Yes	Yes			Yes
	22	If the CCG is subject to a Financial Recovery Plan (FRP), the CCG can confirm that this is 'owned' by the whole CCG and not just finance? (potential evidence - as a minimum is an update provided to the Governing Body on a monthly basis, named leads)	Quarterly	Yes	Yes			Yes
	23	Does the expenditure run rate triangulate with the cash run rate allowing for reasonable reconciling items? If no, state material causes	Quarterly	Yes	Yes			Yes
Contracts	24	The CCG can confirm, all contracts signed for 2018-19 including; any MOUs, secondment agreements, BCF, pool agreements etc and any contract variations required for 2018-19	Quarterly	Partial	Yes			Partial
	25	The CCG can confirm they have no identified / outstanding contractual disputes (formal or informal)?	Quarterly	Yes	Partial			Yes
	26	The CCG can confirm that there are currently no Novel or contentious contract procurements planned (1-3 year pipeline)?	Quarterly	Yes	Yes			Yes
System-wide Performance	27	The CCG can confirm that it has a positive working relationship with its key stakeholders? Including main NHS providers, GPs and local authority/ies? if no, please specify	Quarterly	Yes	Yes			Yes
	28	The CCG has strong engagement with its main provider Trusts, including where the CCG is not the lead commissioner?	Quarterly	Partial	Partial			Partial
	29	The CCG can confirm that it is operating within a system where the main providers have accepted their in-year control totals and are forecasting to deliver control total compliant plans? i.e. no providers are reported as 'off plan' or in special measures/financial recovery? If no, please specify?	Quarterly	Yes	Yes			Yes
	30	The CCG is reasonably confident in the delivery of the reported financial position of its providers or partners including main NHS providers, independent sector, other partner organisations etc.? If no, please specify.	Quarterly	Partial	Partial			Partial
Financial Control & Process	31	The CCG can confirm Prime Financial Policies and the underpinning detailed financial policies and procedures are regularly reviewed and updated.	Annual	Yes	Yes			Yes
	32	All staff including committee staff are trained on financial governance and training record is fully documented?	Annual	Partial	Partial			Partial
	33	Delegated authorities (as set out in the CCG scheme of delegation) are built into ISFE and are regularly reviewed and updated?	Annual	Yes	Yes			Yes
	34	The CCG has clear guidance documents in place for key processes of financial control such as procurement and recruitment?	Annual	Yes	Yes			Yes
	35	All Journals are fully documented and approved by appropriate level supervisor?	Annual	Yes	Yes			Yes
	36	CCG undertakes and can provide evidence of a process of internal financial management? this should include (but may not be limited to) detailed monthly financial reporting to budget managers / owners and review, evidence of challenge with the 'owner', and a process to seek Recover Action actual performance is adverse to plan.	Quarterly	Yes	Yes			Yes
	37	The CCG can evidence that the balance sheet is reviewed every month with full reconciliations and sign off of all control accounts?	Quarterly	Yes	Yes			Yes
	38	The CCG to confirm that robust processes are in place to support the completion of Agreement of balance returns and that they are completed on time and differences with NHS bodies are actively resolved?	Quarterly	Yes	Yes			Yes
	39	Accounts payable and receivable are both regularly reviewed, proactively managed and regularly reported to the Governing Body?	Quarterly	Yes	Yes			Yes
	40	The CCG can confirm that any debtor or creditor balances (Non-NHS) over 120 days have all been fully provided for?	Quarterly	Yes	Yes			Yes
	41	All cash forecast and drawdown requirements are agreed and signed off with appropriate governance e.g. CCG CFO	Quarterly	Yes	Yes			Yes
	42	The CCG manages cash balances effectively and has not required any supplementary cash drawdowns in the last 12 months? If no, confirm how many instances and actions being taken to avoid reoccurrence?	Quarterly	No	Partial			No
	43	CCG can confirm it received a 'No material issues' opinion in the last Internal Audit report rating for "Financial Control"?	Annual	Yes	Yes			Yes
Risk Management	44	CCG can confirm there are effective risk management processes in place? Including; the identification, quantification and mitigation of risk	Quarterly	Yes	Yes			Yes
	45	Where applicable, the CCG can confirm that risk sharing arrangements with other CCGs and trusts or other partners are fully documented and collectively agreed and the associated financial risks are evaluated monthly to inform CCG Forecasts.	Quarterly	Partial	Yes			Partial
	46	Where applicable, the CCG can confirm that financial controls are in place to ensure the CCG is not placed at undue financial risk as a result of CCG hosting/lead arrangements? e.g. where the CCG receives income for the provision of services commissioned by other organisations	Quarterly	Yes	Yes			Yes
	47	The CCG undertakes a Pro-active horizon scanning process with risks assessed in terms of likelihood and financial impact?	Quarterly	Yes	Yes			Yes
	48	The CCG Governing Body financially assesses all risks on risk register on a periodic and timely basis, a process which is supported by a robust risk tracking and reporting system regularly reporting to the appropriate committee.	Quarterly	Yes	Yes			Yes
Audit	49	The CCG Audit Committee Chair is a qualified accountant or is supported by an appropriately qualified Lay member?	Annual	Yes	Yes			Yes
	50	Audit Committee receives and follows up all internal audit reports and approves internal audit plan?	Annual	Yes	Yes			Yes
	51	Audit chair regularly meets with internal and external auditors without management present?	Annual	Yes	Yes			Yes
	52	Audit chair can confirm that lay members training needs are regularly reviewed and appropriately addressed?	Annual	Yes	Yes			Yes
	53	Where applicable, Audit Committee can confirm that service auditor reports are received from outsourced service providers and assurance is sought that the overall control environment of the CCG is not negatively impacted through the arrangement?	Annual	Yes	Yes			Yes
	54	Audit committee ensures responsibilities for implementing recommendations are appropriately assigned with timescales agreed and major items delivered on time.	Quarterly	Yes	Yes			Yes
	55	Audit Committee obtains direct evidence in key areas of concern where appropriate to reduce reliance on representations from senior management	Quarterly	Yes	Yes			Yes
	56	CCG can confirm it has no outstanding internal audit category 1 findings and recommendations and all lower level recommendations implemented on time and in full?	Quarterly	Partial	Yes			Partial
	57	CCG can confirm it has no adverse external audit findings and recommendations in the last 12 months?	Annual	Yes	Yes			Yes

Domain	#	Assessment Criteria	Frequency	Q1	Q2	Q3	Q4	Annual
Finance & Investment Committee	58	Has the CCG a separate Finance & Investment Committee in place, if no what is in place to ensure strong financial governance?	Annual	Partial	Partial			Partial
	59	Is the Chair of the Finance & Investment Committee independent?	Annual	Yes	Yes			Yes
	60	CCG can evidence through reporting that there is a clear audit trail of reporting activity performance and the financial implications?	Quarterly	Yes	Yes			Yes
	61	Is there a robust process for investment decisions and monitoring of investment implementation and delivery?	Annual	Yes	Yes			Yes
	62	Does the investment process include a Post Implementation review stage that allows lessons learnt to be factored in to future investment proposals?	Annual	Yes	Yes			Yes
	63	The CCG can evidence that; the Finance & Investment Committee has met regularly as stipulated in terms of reference with agendas and minutes recording decisions, and robust monitoring and follow up of actions?	Quarterly	Yes	Yes			Yes
	64	The Finance & Investment Committee chair/s report to the governing body following each meeting and have an annual review of the committee's performance?	Annual	Yes	Yes			Yes
	65	The Committee report clearly articulates: in year and forecast position, underlying run rate, key risks and mitigations, QIPP progress, clear actions and progress, key financial and related operational performance, procurement plan, committee work plan etc	Quarterly	Yes	Yes			Yes
Governing Body (GB)	66	The GB Finance report clearly articulates key financial performance information including; in year and forecast position, the budget is reconciled to the allocation, underlying run rate, key risks and mitigations, QIPP progress, clear actions and progress, and key financial and related operational performance is evident?	Quarterly	Yes	Yes			Yes
	67	The CCG GB fulfil a role of constructive, focussed and relevant challenges with timely and robust monitoring and follow up of actions? This will include (but is not limited to) the reporting of the financial position of the CCG is a standing agenda item, there is sufficient time given to discuss finance, there is effective challenge, the whole of the GB takes collective responsibility for the finances and receive appropriate training	Quarterly	Yes	Yes			Yes
	68	CCG to confirm there is sufficient finance skills within the GB including lay members?	Annual	Yes	Yes			Yes
Capability and Capacity	69	CCG to confirm finance roles are all filled by substantive appointments? If no, state % wte vacancy and proportion covered by interim staffing arrangements	Quarterly	Partial	Partial			Partial
	70	Are the Executive Team all substantive appointments with no vacancies? If no, state which roles are currently vacant	Quarterly	Partial	Partial			Partial
	71	Do all staff have clear roles and responsibilities that are supported by an process of performance development? i.e. including having had PDPs within the last 12 months, a clear training and development plan with CPD up to date for all applicable staff members?	Annual	Yes	Yes			Yes
	72	The CCG staff turnover % based on the previous 12 months is 5% or less? If no, state the turn over % and whether the CCG considers this acceptable stating the rationale	Quarterly	No	No			No
	73	CCG can confirm where relevant, shared management team recognises the organisational boundaries and allows sufficient time to focus on the separate issues of each constituent CCG?	Quarterly	Yes	Yes			Yes
PMO Function (QIPP)	74	CCG can confirm there is a robust PMO function in place for QIPP delivery?	Quarterly	Yes	Yes			Yes
	75	CCG can confirm there is sufficient resource in place to ensure the delivery of the QIPP schemes?	Quarterly	Yes	Yes			Yes
	76	Where QIPP Schemes require consultation, the CCG confirms consultation guidance has been followed?	Annual	Yes	Yes			Yes
	77	Has the CCG agreed QIPP plans with its main providers as part of its agreed contract with clearly defined risk management?	Annual	Yes	Yes			Yes
	78	Can the CCG evidence clear clinical leadership and engagement in the development and delivery of QIPP plans?	Quarterly	Yes	Yes			Yes
	79	Can the CCG confirm and evidence that they have extensively reviewed the "Financial Resilience Support Site" and "Difficult Decision" paper taking necessary steps to fully implement identified opportunities?	Quarterly	Yes	Yes			Yes
	80	Can the CCG confirm that all QIPP schemes have associated, risk assessed business cases with key milestones identified for delivery?	Quarterly	Yes	Yes			Yes
CSU Support	81	CCG can confirm that QIPP performance is monitored at least monthly at individual initiative level with QIPP performance figures reconciling to reported I&E performance?	Quarterly	Yes	Yes			Yes
	82	CCG can confirm it has robust contracting arrangements in place with commissioning support service provider? This includes; a signed contract detailing all services to be delivered and related standards of performance, regular meeting to review performance against the contract, CCG acts as an intelligent customer with clear specifications, division of duties and responsibilities with effective escalation and dispute procedures.	Quarterly	Yes	Yes			Yes
	83	The CCG is confident that the CSU provider is resilient and provides value add? i.e. Service provider delivers economies of scale and regularly demonstrates value for money. Service provider able to draw on support from a wider pool of commissioning support staff across a wider geography and not over-reliant on one or two key staff. Niche expertise available as required to address specific issues, rigorous approach, share	Quarterly	Partial	Partial			Partial
	84	CCG can confirm it has an excellent working partnership with the service provider? i.e. roles and working arrangements clearly defined, shared purpose, mutual trust, customer service is routinely monitored, open communications with constructive challenge and joint organisational development	Quarterly	Partial	Partial			Partial
	85	Commissioning support provider has the required Business Intelligence capability and capacity? i.e. capacity and expertise to handle and process large volumes of data and provide accurate, clean, relevant and timely information and intelligence. All data is stored and handled in accordance with required governance with full audit and tracking. Appropriate data and information held to support commissioning decisions	Quarterly	Partial	Partial			Partial