NHS
Commissioning Board

CCG authorisation

Decision-making stages
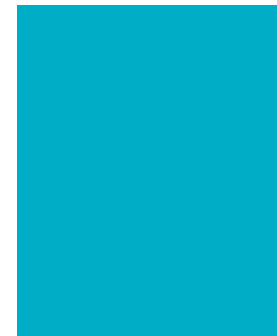
CCG authorisation team
November 2012

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CCG authorisation: final decision-making

This briefing is designed to:

- Highlight the authorisation journey so far
- Pinpoint where we are now
- Outline the next and final stages of authorisation
- For info - Nottingham City is in Wave 2 (ii)

Progress through authorisation per wave

	360° survey	Application submitted to NHS CB	Site Visit	Moderation Panel	Conditions Panel	Proposed conditions review	Sub committee & final decision
Wave 1 (35 CCGs)	May/June 2012	July 2012	Sept 2012	Oct 2012	Nov 2012	Nov 2012	Dec 2012
Wave 2 (67 CCGs)	July/Aug 2012	Sept 2012	Oct 2012	Nov 2012	Nov/Dec 2012	Dec 2012	Jan 2013
Wave 3 (63 CCGs)	Aug/Sept 2012	Oct 2012	Nov 2012	Dec/Jan 2012/13	Jan 2013	Dec/Jan 2012/13	Feb 2013
Wave 4 (46 CCGs))	Sep/Oct 2012	Nov 2012	Dec 2012	Jan 2013	Feb 2013	Feb 2013	Mar 2013

As of today:
- W1 has been through the conditions panel,
- W2 is about to go through moderation panel,
- W3 is going through site visits, and
- W4 has submitted applications

Overview of process from FER to decision

Final Evidence Review (FER) → Moderation → Conditions setting → CCG Authorisation sub-committee
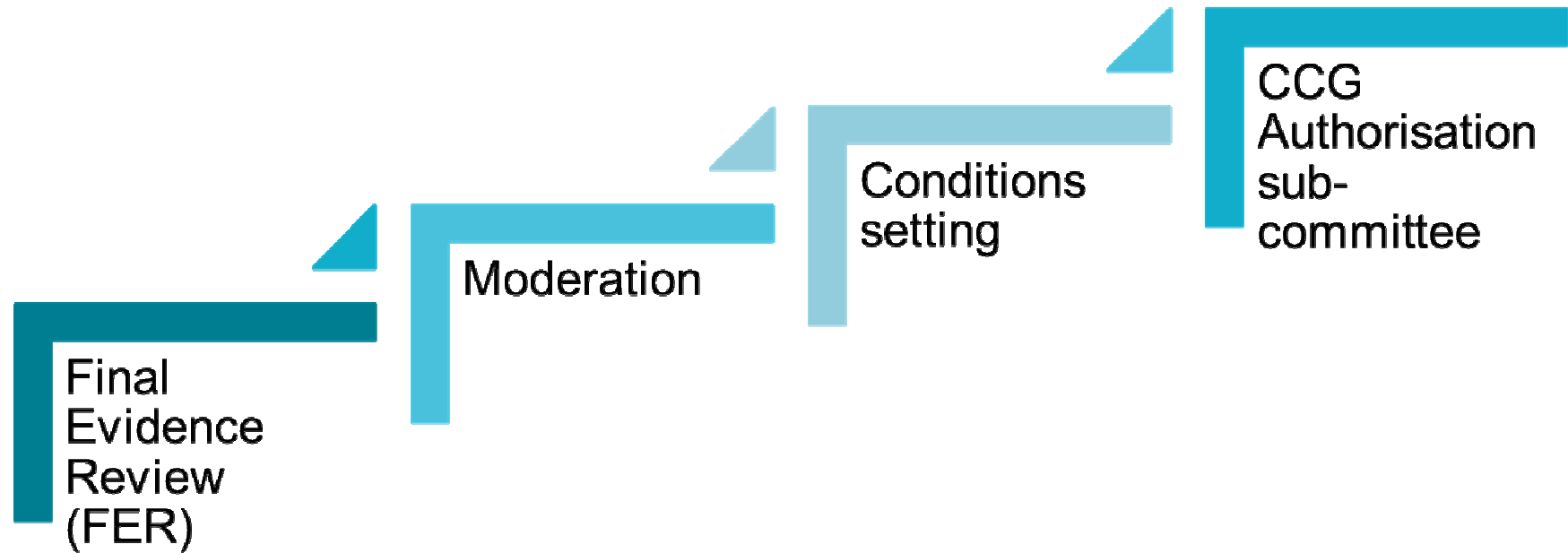
Panel and sub-committee dates

	Moderation Panel	Conditions Panel (1)	Conditions Panel (2)	Sub-committee
Wave one	23/10/2012	02/11/2012	N/A	05/12/2012
Wave two (i)	13/11/2012	23/11/2012	07/12/2012	18/01/2013
Wave two (ii)	26/11/2012	03/12/2012	10/12/2012	
Wave three (i)	11/12/2012	08/1/2013	15/01/2013	15/02/2013
Wave three (ii)	07/01/2013	11/01/2013	N/A	
Wave four	28/01/2013	05/02/2013	08/02/2013	06/03/2013

The Final Evidence Report (FER)

- Is based on the CCG's site visit report (SVR) but also includes the CCG's 'considered response' to the SVR

- Is finalised by the Key Assessor (KA)

- Summarises the assessment that has been completed thus far

- Provides a structured analysis of root cause, risk & local context

- Reflects any comments made by the applicant CCG on their assessment

Authorisation outcomes

Authorised:	The CCG has demonstrated to the NHS CB that it satisfies all the requirements for authorisation. A list of the powers and duties that a fully authorised CCG will have from April 2013 are set out in *The functions of CCGs*. The CCG will be invited to agree a development plan consistent with the potential beyond authorisation set out in the guide for applicants.
Authorised with conditions:	If the CCG has not fully satisfied the NHS CB that it meets all the thresholds for authorisation, the Board may give it conditional authorisation by setting conditions or directing the CCG as to how it carries out any of its functions. Conditions or directions will be specific to the particular criteria that have not been satisfied, and proportionate to the level of risk associated with the relevant function.
Established but not authorised:	Legally these CCGs are established 'with conditions' but where the conditions are such that it cannot be described as authorised to take on its functions as a CCG. The NHS CB will make alternative arrangements for commissioning for that population until the shadow CCG is ready to move forward to authorisation.

The Moderation panel

- Reviews the un-moderated conclusions of authorisation assessment

- Considers whether the authorisation thresholds have been consistently applied

- Looks at the results across the wave and between waves and considers whether they are consistent

- Can moderate a red criterion to green or vice versa

![NHS Commissioning Board]

Condition setting

Prior to the application being put before the Conditions Panel, the authorisation governance team will:

- Draw-up the proposed conditions (including where required drafting bespoke conditions)

- Discuss the proposed conditions and support options with relevant regional directors.

- Record the outcome of this discussion to be reported to the Conditions Panel.

The Conditions panel

- Considers what conditions should be applied for each CCG

- Matches any conditions applied with an offer of support (choosing from 7 support options set out by the Board)

- Where intensive support is indicated, considers whether the CCG should be authorised with conditions or authorised as a shadow CCG

- Does not review decisions made by the Moderation Panel

![NHS Commissioning Board]

CCG review of proposed conditions

CCGs have 10 working days to review proposed conditions

CCGs may indicate why they consider some/all proposed conditions no longer required

CCGs may provide additional evidence

CCG response is reviewed by regional director for ops & delivery

Recommendation to sub-committee as to whether CCG response supports proposed condition no longer being required

Support options

Where it is decided that a CCG with conditions needs support, the NHS CB can select from the following options:

- i. Model document / toolkit
- ii. Make advice / expertise available
- iii. Decision sign off / approval by the board
- iv. Insert / provide specific team / individual
- v. Accountable Officer (AO) not ratified / alternative AO appointed
- vi. Specific functions removed
- vii. All functions removed

Within the support packages for iii-vii, the specifics would be determined for each occasion they were used.

CCG authorisation sub-committee

Non-statutory sub-committee with full delegated authority from the NHS CB to make decisions on authorisation

- Considers the recommendations of the moderation and conditions panels

- Receives assurance and provides assurance of the quality and rigour of the decision-making process

- Makes the decision to authorise aspiring CCGs in each wave

- Communicates the outcome of its deliberations to all applicant CCGs

- Considers and approves or rejects the recommendation that a proposed condition is no longer required