

**L & SC Integrated Care Board
Primary Care Contracts Sub-Committee**

Date of meeting	14 th August 2025
Title of paper	Primary Care Assurance Framework Annual Submission
Presented by	Peter Tinson, Director of Primary and Community Commissioning
Author	Paul Juson, Head of Delivery Assurance
Agenda item	5
Confidential	No

Purpose of the paper				
Advise that the relevant primary care contractor groups have supported the proposed annual submission.				
Executive summary				
This paper recommends the agreement of the attached Primary Care Assurance Framework annual submission to NHS England.				
Recommendations				
The Primary Care Contracts Sub-committee is asked to:				
Approve the submission of the assurance framework.				
Governance and reporting (list other forums that have discussed this paper)				
Meeting	Date			Outcomes
Pharmaceutical Services Group	13 March 2025			Content supported
Primary Dental Services Group	27 March 2025			Content supported
Primary Medical Services Group	4 June 2025			Content supported
Primary Ophthalmic Services Group	11 June 2025			Content supported
Conflicts of interest identified				
N/A				
Implications				
(If yes, please provide a brief risk description and reference number)	Yes	No	N/A	Comments
Quality impact assessment completed			X	
Equality impact assessment completed			X	

Privacy impact assessment completed			X	
Financial impact assessment completed			X	
Associated risks			X	
Are associated risks detailed on the ICS Risk Register?			X	

Report authorised by:	Jane Cass, Director of Partnerships & Collaboration
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L & SC Integrated Care Board Primary Care Contracts Sub-Committee

Primary Care Assurance Framework Annual Submission

1. Introduction

- 1.1 This paper is to seek agreement on the contents of the primary care assurance framework annual submission which must be submitted by the Integrated Care Board (ICB) to NHS England no later than June 2025.

2. Background

- 2.1 The ICB has delegated responsibility from NHS England for the commissioning of primary care services. These are:
- Primary Medical Care Services (GP Practices)
 - Primary Dental and Prescribed Dental Services (Dental practices)
 - Primary Ophthalmic Services (Optometry practices)
 - Pharmaceutical Services and Local Pharmaceutical Services (Pharmacies)
- 2.2 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.
- 2.3 MIAA will shortly commence a review of this annual declaration against the primary care commissioning assurance framework.

3. Annual Submission

- 3.1 Appendix one contains the proposed submission.

4. Recommendations

- 4.1 The Primary Care Contracts Sub-committee is asked to:
- Approve the submission of the assurance framework.

Paul Juson

June 2025

Annex 2. Annual self-declaration form

ICB Assurance Framework

Delegated Primary Care Functions - Self-certification

For each question, please rate your response following the key provided below. Full details of what assurance is required for each domain is set out in Table 1 of the Framework.

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

ICB Name	Lancashire & South Cumbria ICB
Year to which certification applies	

General		
	R/A/G Rating	Comments
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?	Green	If Red or Amber, please provide further details
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	Green	If Red or Amber, please provide further details

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 customs 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	Green	All local services are commissioned via the standard NHS contract. The ICB has not

with <u>The Pharmaceutical Services (Advanced and Enhanced Services) (England) Directions 2013?</u>		commissioned any local enhanced services under the directions.
Has the ICB obtained written consent from NHS England prior to making any new LPS schemes?	N/A	No new LPS schemes have been entered.
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. Ability of the ICB to effectively respond to quality concerns for primary care identified as a risk on corporate risk register.
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.
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 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.
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 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 not been issued.
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	Green	All processes and decisions have been made in line with the policy book, which

operating procedures and policies (e.g. the Policy Book for Primary Dental Services)?		was updated in May 2024. The group papers demonstrate that the policy book has been followed when making decisions and gains assurances that those decisions made by individuals are also in line with the policy book and ICB decision making matrix.
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 and investment plan for 2024/25 has been developed and was approved by the ICB PCCC in March 2024.
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 policy book, which was updated in May 2024. The group papers demonstrate that the policy book has been followed when making decisions and gains assurances that those decisions made by individuals are also in line with the policy book and ICB decision making matrix
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 have been made. Any requests would be considered in line with the ICB governance processes and the policy book. 7 Expressions of Interest for the national Dental Recruitment Incentive Scheme (DRIS) 2024/25 have been approved with an additional 7 approved locally under the same Terms and Conditions as DRIS.
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	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 in Q4.

taken appropriate action where necessary.		
Primary Medical Services		
	R/A/G Rating	
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 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.	Amber	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. Ability of the ICB to effectively respond to quality concerns for primary

		care identified as a risk on the corporate risk register.
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