

11/08/21 DRAFT - WORK IN PROGRESS: ICB Readiness to Operate Statement (ROS) Checklist to prepare for legal establishment on 1 April 2022 (subject to passage of legislation)

Please refer to the ROS Guidance before using this checklist.

Links to relevant guidance will be added to this checklist as it becomes available.

	Ref	Description
High Level Summary	1	INTEGRATED CARE PARTNERSHIP (ICP): Initial ICP arrangements and principles agreed
Supporting elements	1.1	Initial Integrated Care Partnership (ICP) arrangements agreed, including principles for operation from 1 April 2022, in line with relevant guidance [link to be added when guidance available]
High Level Summary	2	INTEGRATED CARE BOARD (ICB): Designate appointments to the Board of the ICB made and Board quorate
Supporting elements	2.1	Designate Chair appointed and ready to take up post on 1 April 2022
Supporting elements	2.2	Designate Chief Executive appointed and ready to take up post on 1 April 2022
Supporting elements	2.3	Designate Non-Executive Directors (minimum of two) appointed and ready to take up post on 1 April 2022
Supporting elements	2.4	Designate Partner members appointed and ready to take up post on 1 April 2022
Supporting elements	2.5	Other designate appointments made and postholders ready to take up post on 1 April 2022 (minimum additional Executive roles:- finance; medical; nursing) to ensure quoracy of the ICB Board, according to its Constitution
High Level Summary	3	SYSTEM DEVELOPMENT PLAN, ICB CONSTITUTION AND GOVERNANCE ARRANGEMENTS: System Development Plan, ICB Constitution and governance arrangements in place
Supporting elements	3.1	System Development Plan (SDP) in place indicating how the ICB will work with its partners in the ICP from April 2022 to meet the needs of the population, with a focus on reducing health inequalities
Supporting elements	3.2	ICB Constitution, including the Standing Orders and agreed ICB name, approved by NHS England before 1 April 2022, ready to be adopted on 1 April 2022 - in line with Model Constitution (add link)
Supporting elements	3.3	ICB Scheme of Reservation and Delegation (SoRD) prepared and ready to be adopted on 1 April 2022
Supporting elements	3.4	ICB Standing Financial Instructions (SFIs) prepared and ready to be adopted on 1 April 2022
Supporting elements	3.5	ICB Governance Handbook (setting out the governance arrangements) prepared and ready to be adopted on 1 April 2022
Supporting elements	3.6	ICB functions and decision map prepared and ready to be adopted on 1 April 2022 - including (where applicable) place boundaries, place-based leadership, and place-based governance arrangements (e.g. with Health and Wellbeing Boards); delegations (where appropriate); and any supra-ICB governance arrangements
Supporting elements	3.7	Any joint commissioning arrangements for 2022/23 (including joint committees with local authorities, trusts/FTs, other ICBs and NHSEI) documented, ready to take effect on 1 April 2022
Supporting elements	3.8	Schedules of delegation to be in place for 1 April 2022 where the ICB has agreed with NHSEI to assume delegated responsibility for NHSEI commissioning functions
Supporting elements	3.9	Standards of business conduct policy prepared and ready to be adopted on 1 April 2022.
Supporting elements	3.10	Conflicts of interest policy prepared and ready to be adopted on 1 April 2022.
Supporting elements	3.11	Essential policies identified through risk assessment (eg commissioning [eg IVF commissioning], safeguarding, HR) and prepared
High Level Summary	4	PROVIDER PARTNERSHIPS: Provider partnership arrangements agreed
Supporting elements	4.1	Provider partnership arrangements which will apply from 1 April 2022 agreed in line with NHSEI guidance. These include provider collaboratives, primary care networks and other collaborative arrangements.
High Level Summary	5	PEOPLE AND CULTURE: ICB people function ready for operation
Supporting elements	5.1	Governance and delivery arrangements for ICB people function agreed and ready for operation as set out in the ICS people function guidance, and workforce and organisational development priorities identified in the System Development Plan.
High Level Summary	6	QUALITY, SAFETY AND EPPR: Quality, safety and EPPR systems and functions ready for operation
Supporting elements	6.1	Quality and safety systems and function ready to take effect from 1 April 2022, including implementation of System Quality Groups in line with the National Quality Board's guidance [NHS England » National Quality Board]
Supporting elements	6.2	EPPR responsibilities clear and systems and function ready to operate from 1 April 2022
High Level Summary	7	CLINICAL AND CARE PROFESSIONAL LEADERSHIP: Model/arrangements prepared
Supporting elements	7.1	ICB leadership model/arrangements prepared in line with the relevant NHSEI guidance [link to be added when guidance available]
High Level Summary	8	WORKING WITH PEOPLE AND COMMUNITIES: Public involvement and engagement strategy / policy
Supporting elements	8.1	ICB public involvement and engagement strategy / policy prepared in line with NHSEI guidance [link to be added when guidance available]
High Level Summary	9	SYSTEM OVERSIGHT: System oversight arrangements between NHSEI regional team and ICB
Supporting elements	9.1	Arrangements for system oversight in 2022/23 between the NHSEI regional team and the ICB prepared, ready to take effect from 1 April 2022.
High Level Summary	10	FINANCE AND PLANNING: Planning for 2022/23 developed in line with national requirements and finance function and systems ready for operation
Supporting elements	10.1	Planning for 2022/23 has been carried out in line with national requirements
Supporting elements	10.2	Activities as outlined in the NHS SBS finance / ledger reconfiguration programme plan as due by 1 April 2022 have been delivered e.g. new bank account in place for the ICB; ICB able to make payments for goods and services; finance function ready to operate
Supporting elements	10.3	Plan for ESR changes in place (if using IBM for a technical merge of ESR systems, technical slot booked)

High Level Summary	11	DATA, DIGITAL AND INFORMATION GOVERNANCE: Systems ready to operate and information governance activities on target
Supporting elements	11.1	Activities outlined in the ODS reconfiguration toolkit as due by 1 April 2022 have been delivered
Supporting elements	11.2	Activities outlined in the Information governance / data security and protection toolkit (DPST) (e.g. Caldicott Guardian, Information Asset Owner, Senior Information Risk Owner, records retention, etc.) as due by 1 April 2022 have been delivered
High Level Summary	12	TRANSITION FROM CCGs TO ICBs: Due diligence of people and property complete, TUPE/COSOP consultation complete, staffing and property lists prepared and first day arrangements confirmed
Supporting elements	12.1	EQUALITIES DUTIES
Supporting elements	12.1.1	Evidence of compliance with the Public Sector Equalities Duty, and wider equalities duties, in the transfer and establishment process
Supporting elements	12.2	PEOPLE TRANSFER
Supporting elements	12.2.1	TUPE / COSOP consultation completed and staff list shared by sending CCG(s) to receiving ICB(s) (designate Chief Executive) [Data fields defined on tab 2.2 of the Due Diligence Checklist - link added]; Link added to HR Framework (Technical Guidance)
Supporting elements	12.2.2	CCG(s) staff due diligence completed and written assurance provided by the CCG's AO to the ICB's designate CE, with a copy to NHSEI's RD (where the AO and CE are the same person the written assurance should be provided to the NHSEI RD) [Data fields defined on tab 2.2 of the Due Diligence Checklist].
Supporting elements	12.3	PROPERTY TRANSFER
Supporting elements	12.3.1	CCG(s) due diligence completed on all property (assets and liabilities, including contracts e.g. with CSUs) and written assurance provided by the CCG's AO to the ICB's designate CE, with a copy to NHSEI's RD (where the AO and CE are the same person the written assurance should be provided to the NHSEI RD) [Link to due diligence checklist added]. List of property and liabilities from sending CCG(s) to receiving ICB(s) produced.
Supporting elements	12.4	FIRST DAY ARRANGEMENTS
Supporting elements	12.4.1	Appropriate arrangements made in relation to NHS Resolution schemes (Clinical Negligence Scheme for Trusts, Liabilities to Third Parties Scheme and the Property Expenses Scheme) to provide indemnity [link to NHS Resolution guidance to be added when available]
Supporting elements	12.4.2	First ICB Board meeting to note / approve (as appropriate):- the Constitution, governance handbook, appointments, key strategies, policies and delegation arrangements (covering both joint commissioning and formal delegations)
Supporting elements	12.4.3	First day communications plan in place
Supporting elements	12.4.4	ICB website in place