

**NHS DORSET CLINICAL COMMISSIONING GROUP
GOVERNING BODY MEETING
ASSURANCE FRAMEWORK REPORT**

Date of the meeting	17/01/2018
Author	S Hawkins, Patient Safety and Risk Manager
Sponsoring Board Member	Dr S Yule, Locality Chair for North Dorset
Purpose of Report	The report provides the Governing Body Assurance Framework for members to consider.
Recommendation	The Governing Body is asked to note the assurance framework contents
Stakeholder Engagement	The Assurance Framework is maintained with the involvement of all Directorates. Oversight is provided by Lay Members of the Governing Body and Sub-Committees/Working Groups reporting to the Audit & Quality Committee.
Previous GB / Committee/s, Dates	N/A

Monitoring and Assurance Summary

This report links to the following Strategic Principles	<ul style="list-style-type: none"> • Services designed around people • Preventing ill health and reducing inequalities • Sustainable healthcare services • Enabling care closer to home 		
	Yes [e.g. ✓] <i>Copy & paste tick</i>	Any action required?	
		Yes Detail in report	No
All three Domains of Quality (Safety, Quality, Patient Experience)	✓		✓
Board Assurance Framework Risk Register	✓		✓
Budgetary Impact	✓		✓
Legal/Regulatory	✓		✓
People/Staff	✓		✓
Financial/Value for Money/Sustainability	✓		✓
Information Management & Technology	✓		✓
Equality Impact Assessment	✓		✓
Freedom of Information	✓		✓
I confirm that I have considered the implications of this report on each of the matters above, as indicated	✓		

Initials: SH

1. Introduction

- 1.1 The framework provides assurance to the Governing Body of the controls that are in place to mitigate the key risks that could impact on the CCG's delivery of its strategic objectives.
- 1.2 This report provides the current version (Appendix 1) of the Governing Body Assurance Framework (GBAF) for information.
- 1.3 The framework is linked to the Strategic Objectives of the organisation and also serves as a source of external assurance for the NHS England – South (Wessex) quarterly assurance processes.
- 1.4 The Strategic Risks to the organisation have been revised by Directors and added to the Assurance Framework.
- 1.5 The Directors' Performance meeting has operational responsibility for maintaining the Governing Body Assurance Framework (GBAF) with support from the Patient Safety and Risk team.

2. Internal Audit

- 2.1 The annual Review of Assurance Framework and Risk Management, was carried out by TIAA in March 2017.
- 2.2 Following recommendations from the audit, a new version of the Governing Body Assurance Framework was developed. This was approved at the Audit and Quality Committee meeting in October 2017. The format of Appendix 1 is now the agreed template going forward.
- 2.3 Additionally, Action 3 of the audit highlighted the need to implement the assurance template; the template is for completion by committees on a six-monthly basis to demonstrate that they are obtaining the assurances required in accordance with the Terms of Reference and strategic objectives applicable for that committee.
- 2.4 During October, the assurance template was sent (in draft) to the Chair of the Audit and Quality Committee for completion and comment on the format. Following receipt of the completed template, and feedback on the format, the amended template was sent to the Chairs of the key Groups and Committees for completion, relating to May to September 2017, during November. This will then be repeated in April 2018, and six monthly thereafter.
- 2.5 Returns have now been received from all Committee Chairs. The feedback can be found in Appendix 2.

3. Gaps in Controls and Assurances

- 3.1 There are currently no identified gaps in existing controls.
- 3.2 However, it has been identified that an Assurance Framework will be required for the Accountable Care system (ACS) as this current format provides assurance for the CCG alone. Therefore, work is being undertaken to address the governance requirements for the ACS.
- 3.3 Additional control requirements may be identified in the light of ongoing changes to the strategic objectives, risks, and further updates and improvements to the structure of the GBAF.

4. Recommendation

- 4.1 The Governing Body meeting is asked to **note** the Governing Body Assurance Framework format and contents.

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APPENDICES	
Appendix 1	CCG Governing Body Assurance Framework
Appendix 2	Assurance feedback