

NHS DORSET CLINICAL COMMISSIONING GROUP
GOVERNING BODY MEETING
ASSURANCE FRAMEWORK REPORT

Date of the meeting	17/05/2017
Author	A Dale, 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: AD

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. (See appendix 1)
- 1.2 The annual Review of Assurance Framework and Risk Management was carried out by TIAA in March 2017 and a draft report has been received. Management comments have been returned, and it is expected that the report will be agreed and finalised in early May.
- 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 Directors' Performance meeting has operational responsibility for maintaining the Governing Body Assurance Framework (GBAF) with support from the Patient Safety and Risk team.
- 1.5 Directors have been requested to update and agree Strategic Objectives for 2017-2019, and the GBAF will then be developed further in accordance with the outcome of this discussion.

2. Internal Audit

- 2.1 The annual Review of Assurance Framework and Risk Management, was carried out by TIAA in March 2017 and draft report issued. The report will be agreed and finalised in early May 2017.
- 2.2 No urgent action points were identified, 3 important points and a further 11 routine and operational issues were identified.
- 2.3 A SMART action plan has been produced by the Head of Patient Safety & Risk which addresses all issues identified within appropriate time frames.

3. Gaps in Controls and Assurances

- 3.1 There are currently no identified gaps in existing controls.
- 3.2 Additional control requirements may be identified in the light of changes to the Strategic Objectives and risks, and further updates and improvements to the structure of the GBAF. These will be reflected in the report to Governing Body to be submitted at the next meeting in July 2017.

4. Recommendation

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

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Date : 02 May 2017

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APPENDICES	
Appendix 1	CCG Governing Body Assurance Framework