

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

<b>Date of the meeting</b>	19/07/2017
<b>Author</b>	A Dale, Interim Patient Safety and Risk Manager
<b>Sponsoring Clinician</b>	Dr S Yule, Locality Chair for North Dorset
<b>Purpose of Report</b>	The report provides the Governing Body Assurance Framework for members to consider
<b>Recommendation</b>	The Governing Body is asked to <b>note</b> the assurance framework contents.
<b>Stakeholder Engagement</b>	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
<b>Previous GB / Committee/s, Dates</b>	N/A

**Monitoring and Assurance Summary**

<b>This report links to the following Strategic Principles</b>	<ul style="list-style-type: none"> <li>• Services designed around people</li> <li>• Preventing ill health and reducing inequalities</li> <li>• Sustainable healthcare services</li> <li>• Enabling care closer to home</li> </ul>		
	<b>Yes</b> [e.g. ✓]	<b>Any action required?</b>	
		<b>Yes</b> Detail in report	<b>No</b>
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	✓		✓
<b>I confirm that I have considered the implications of this report on each of the matters above, as indicated</b>	✓		

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.
- 1.2 This report provides the current version (v3) (See 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 As the CCG Strategic Objectives and Corporate Objectives have been recently revised, the GBAF format is under ongoing review to reflect these changes. Appendix 1 remains mapped to the original Objectives and Risks, and this version of the document will continue to be presented to meetings until such time as a new version has been approved.
- 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.
- 1.6 Directors have been requested to update and agree Strategic Risks 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 the final report has now been agreed.
- 2.2 No urgent action points have been identified. Three important points and a further 11 minor 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 the issues identified within appropriate time frames. This has now been agreed and approved.
- 2.4 Further to the request to Directors at last month's meeting which arose from the audit action plan; the CCG Strategic Objectives have now been agreed as mirroring those from the STP. An example of a possible revised GBAF format to reflect these objectives (version 4) is included as Appendix 2 with this report for initial comment.
- 2.5 Directors have been further requested to identify and advise the Patient Safety & Risk Manager of all key strategic risks which may threaten the successful achievement of the new Strategic Objectives. This will continue to inform the GBAF revision and strengthening process and reflects audit recommendations.

- 2.6 Version 4 (appendix 2) will link the previously published 11 Local Corporate Objectives to the five revised Strategic Objectives. Risks held on the Corporate Risk Register in turn, are already linked to the 11 new Local Corporate Objectives.
- 2.7 This new mapping process has identified a significant imbalance in risks identified in each core area. This may offer valuable insight in the overall risk identification process.

### **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 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.
- 4.2 Informal feedback on the format of Appendix 2 would be welcomed by the Patient Safety & Risk Manager.

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**Date :** 03 July 2017

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<b>APPENDICES</b>	
<b>Appendix 1</b>	<b>CCG Governing Body Assurance Framework (v3)</b>
<b>Appendix 2</b>	<b>Example proposal of version 4 of the GBAF</b>