

NHS DORSET CLINICAL COMMISSIONING GROUP
GOVERNING BODY MEETING
ASSURANCE FRAMEWORK REPORT

Date of the meeting	20/09/2017
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 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 Following recommendations from the audit, a new version of the Governing Body Assurance Framework is in development; an example of this was submitted to the Governing Body meeting in July.
- 2.5 The new version is to be submitted for final approval to the next Audit and Quality Committee meeting in October, with plans to adopt this as the on-going version/template thereafter.

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.

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Date: 30 August 2017

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APPENDICES	
Appendix 1	CCG Governing Body Assurance Framework