

Governing Body Assurance Framework

Strategic objective 1	Designing Services Around Patients	Risk 1.1 Failure to engage with and identify the needs of the population.	5 Links to CRR. PSC005, O024, O025, Q020, Q021
Strategic objective 2	Preventing Ill Health and Reducing Inequalities	Risk 2.1 Failure to achieve strategic and operational outcomes.	2 Links to CRR. Q037, MH006
		Risk 2.2 Failure of a significant provider	
Strategic objective 3	Ensuring Sustainable Healthcare Service	Risk 3.1 Failure to implement Clinical Services Review	20 Links to CRR. FIN022, MFH002, MFH005, PSC002, PSC003, MH005, O016, O031, O035, O036, PC011, PC012, PC013, Q022, S001, S002, S006, SD007, UEC006, UEC007.
		Risk 3.2 Failure to achieve partnership targets for the Better Care Fund	
		Risk 3.3 Loss of CCG authorisation	
Strategic objective 4	Enabling Care Closer to Home	Risk 4.1 Failure to work with partners	3 Links to CRR. MH001, O032, PC014

Strategic Objective	Key Controls (with links where available)	Sources of Assurance	GAP identified. (Marked RED)	Next date required	Gap detail and related narrative	Frequency exceptions
ALL	NHS England South (Wessex) Assurance Review	Evidence supplied to NHS England and attendance at checkpoint meeting <i>This link takes you to MyNHS. Scroll down and select Dorset for more detailed information</i>	None. Within usual timeframe	Next meeting 12.06.2017	Q4 results are anticipated in July.	
ALL	Consultation Institute <i>The Consultation Institute is a not-for-profit organisation which is providing both advice and external assurance on the CSR consultation</i>	We were signed off for the closing date review stage of the compliance process by the Consultation Institute on 8 April 2017. We have to remain compliant with its standards for the rest of the consultation process – deliberation and decision-making – in order to be awarded the appropriate certificate at the end of the exercise (ie GB decision-making meeting in September).	None so far.	September 2017		
ALL	Area Team	Specialist and Primary Care Contracts		NR	Responsibility of NHS England South (Wessex) for assurance	One-off
ALL	Governing Body Meeting	Chief Officers update		19.07.17		
ALL	Bi-monthly [next 19.07.17]	Transformation update reports		19.07.17		
ALL		Audit & Quality Committee report		19.07.17		
ALL		CCG 5 Year Strategy update		19.07.17		As required
ALL		2 year Delivery Plan update/ Transformation		19.07.17		Annual

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		update			
ALL		Complaints process/policy annual report		19.07.17	Annual
ALL		Engagement Strategy update		18.11.17	Annual
ALL		Corporate Risk Register report		19.07.17	
ALL		Assurance Framework report		19.07.17	
ALL		Performance report		19.07.17	
ALL		Quality report		19.07.17	
ALL		A&E Delivery and Urgent Care Board report		19.07.17	
ALL		Finance report		19.07.17	
ALL		Approval of Committee ToRs		15.03.18	Annual
ALL		Remuneration Committee ToR approval		21.09.17	Annual
ALL		Opening Budget and Budget report		17.03.18	Annual
ALL		NHS Constitution report		15.11.17	Annual
ALL		Internal Audit Report		19.07.17	
ALL		Engagement and Communications report		19.07.17	Six monthly
ALL		Standards of Business Conduct (Approved by the Shadow CCG)		NR	One-off
ALL		Governing Body ToR (Approved by the Shadow CCG)		NR	One-off
ALL		CCG Governance Annual Review and Code update (Approved by the Shadow CCG)		NR	One-off
1 and 4		360 Stakeholder Survey summary report		19.07.17	Annual
2		Equality Diversity and Inclusion report		18.01.18	Annual

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2 and 3		Annual Review of Governance Documents report		15.03.18		Annual
2 and 3		Commissioning Support Services annual report		19.07.17		Annual
ALL	Audit and Quality Committee	Corporate Risk Register report		05.07.17		
ALL	Quarterly [next 05.07.17] All evidence from the A&Q Committee is held by Corporate office	Assurance Framework report		05.07.17		
ALL		Quality Group paper		05.07.17		
ALL		Internal Audit report		05.07.17		
ALL		Transformation Programme Assurance Report		05.07.17		
ALL		Better Care Fund Performance update		05.07.17		
ALL		Annual Governance Statement update		05.07.17		Annual
ALL		KPIs Scorecard & Exceptions		05.07.17		
20.03.17						
ALL	Directors Performance Meeting	Quality, performance and Risk papers		25.07.17		
ALL	Monthly	Transformation update		25.07.17		
ALL	Primary Care Commissioning Committee (PCCC)	Primary Care Operational Group reports		02.08.17		
ALL	Quarterly [next 02.08.17]	Medicines Optimisation Group Update		02.08.17		
ALL		Clinical Commissioning Strategy update		02.08.17		
2		Healthwatch involvement		05.01.18		Six monthly
ALL	Contract Monitoring Meetings	Scorecard and Exception reports. Contract issues reported via Quality Group and A&Q Committee.		various		frequency depending on contract

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ALL	Clinical Commissioning Committee.	Transformation update		16.08.17		
ALL	Quarterly [next 16.08.17] Evidence held by Corporate office	Dorset Medicines Advisory Group report		16.08.17		
ALL		RightCare Performance reports		16.08.17		
ALL		Healthwatch involvement		14.06.18		Annual
ALL		ToR Approval		16.08.17		Annual
ALL		System Leadership Team Meetings. Monthly [next 20.07.17]	Involvement of Dorset Provider organisations		20.07.17	
ALL	CCG Annual Report	Publication to website of annual report		01.07.17		

Gaps in assurance identified as at 03.07.2017 = NONE