

Governing Body Assurance Framework

STRATEGIC OBJECTIVES							
1. PREVENTION AT SCALE		2. INTEGRATED COMMUNITY & PRIMARY CARE SERVICES		3. ONE ACUTE NETWORK	4. DIGITALLY ENABLED DORSET	5. LEADING & WORKING DIFFERENTLY	
STRATEGIC RISKS							
Achievement of the CCG's strategic objectives is at risk if: <ol style="list-style-type: none"> 1) inadequate funding is available to deliver the required services and the transformation programme 2) unprecedented rise in demand on services occurs 3) the Accountable Care Partnership breaks down 4) there is significant, sustained failure of a major provider 5) there are insufficient skilled and qualified staff within the system 							
CORPORATE OBJECTIVES (11)							
Prevention at System Wide Level		CSR – Integrated Community Services		CSR – Acute Reconfiguration	Digital Dorset	Leading and Working Differently	
		Acute Mental Health Care Pathway				Financial Sustainability	
		Primary Care Commissioning Strategy				System Structures	
		Patient and Public Engagement					
		Continuing Healthcare					
28 CORPORATE RISKS (inc nine RED (HIGH) risks)							
MH006		MFH002, MH001, MH005, O032, PC011, PC012, PC013, PC014, PC015, Q021, Q037		MFH005, PSC002, PSC003, PSC005, UEC006, UEC007, O031	O035, S006	O025, O036, Q020, Q022, S007, SD007, FIN022	
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 05.09.2017			
ALL	Consultation Institute	We were signed off for the closing date review stage of the compliance process by	None so far.	20.09.2017			

Governing Body Assurance Framework

	<i>The Consultation Institute is a not-for-profit organisation which is providing both advice and external assurance on the CSR consultation</i>	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).				
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		20.09.2017		
ALL	Bi-monthly [next 20.09.17]	Transformation update reports		20.09.2017		
ALL		Audit & Quality Committee report		20.09.2017		
ALL		CCG 5 Year Strategy update		20.09.2017		As required
ALL		2 year Delivery Plan update/ Transformation update		20.09.2017		Annual
ALL		Complaints process/policy annual report		20.09.2017		Annual
ALL		Engagement Strategy update		18.11.2017		Annual
ALL		Corporate Risk Register report		20.09.2017		
ALL		Assurance Framework report		20.09.2017		
ALL		Performance report		20.09.2017		
ALL		Quality report		20.09.2017		
ALL		A&E Delivery and Urgent Care Board report		20.09.2017		
ALL		Finance report		20.09.2017		

Governing Body Assurance Framework

ALL		Approval of Committee Terms of Reference		15.03.2018		Annual
ALL		Remuneration Committee Terms of Reference approval		21.09.2017		Annual
ALL		Opening Budget and Budget report		17.03.2018		Annual
ALL		NHS Constitution report		15.11.2017		Annual
ALL		Internal Audit Report		20.09.2017		
ALL		Engagement and Communications report (last 16.11.2016)		20.09.2017		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 (last 17.05.2017)		17.05.2018		Annual
2		Equality Diversity and Inclusion report		18.01.2018		Annual
2 and 3		Annual Review of Governance Documents report		15.03.2018		Annual
2 and 3		Commissioning Support Services annual report		19.07.2018		Annual
ALL	Audit and Quality Committee Quarterly [next 11.10.2017] All evidence from the A&Q Committee is held by Corporate office	Corporate Risk Register report		11.10.2017		
ALL		Assurance Framework report		11.10.2017		
ALL		Quality Group paper		11.10.2017		
ALL		Internal Audit report		11.10.2017		
ALL		Transformation Programme Assurance Report		11.10.2017		

Governing Body Assurance Framework

ALL		Better Care Fund Performance update		11.10.2017		
ALL		Annual Governance Statement update		11.10.2017		Annual
ALL		KPIs Scorecard & Exceptions		11.10.2017		
ALL	Directors Performance Meeting Monthly	Quality, performance and risk papers		19.09.2017		
ALL		Transformation update		19.09.2017		
ALL	Primary Care Commissioning Committee (PCCC) Quarterly [next 04.10.17]	Primary Care Operational Group reports		04.10.2017		
ALL		Medicines Optimisation Group Update		04.10.2017		
ALL		Clinical Commissioning Strategy update		04.10.2017		
2		Healthwatch involvement		05.01.2017		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
ALL	Clinical Commissioning Committee. Quarterly [next 18.10.17] Evidence held by Corporate office	Transformation update		18.10.2017		
ALL		Dorset Medicines Advisory Group report		18.10.2017		
ALL		RightCare Performance reports		18.10.2017		
ALL		Healthwatch involvement		14.06.2018		Annual
ALL		ToR Approval		18.10.2018		Annual

Governing Body Assurance Framework

ALL	System Leadership Team Meetings Monthly [next 14.09.17]	Involvement of Dorset Provider organisations		14.09.2017		Third Thursday in every month.
ALL	CCG Annual Report	Publication to website of annual report		12.07.2018		

Gaps in assurance identified as at 30.08.2016 = NONE