

Governing Body Assurance Framework

5 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				
11 CORPORATE OBJECTIVES				
Prevention at System Wide Level	CSR – Integrated Community Services	CSR – Acute Reconfiguration	Digital Dorset	Leading & Working Differently
	Acute Mental Health Care Pathway			Financial Sustainability
	Primary Care Commissioning Strategy			System Structures
	Patient & Public Engagement			
	Continuing Healthcare			
30 CORPORATE RISKS including 7 RED (High)				
MH006	MFH002	MFH005	O016	O024
	MH001	PSC002	O035	O031
	MH005	PSC003	S006	O036
	O025	PSC005		Q020
	O032	MH006		Q022
	O037	UEC006		Q037
	PC011	UEC007		S001
	PC012			S002
	PC013			SD007
	PC014			FIN022
	Q021			

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Strategic Objective	Key Controls (with links where available)	Sources of Assurance	Monitoring Committee	GAPS in Controls and /or Assurance	Narrative / Detail to address GAPS
	External Sources				
All	NHS England South (Wessex) Assurance Review	Report from the Chief Officer or Governing Body. MyNHS.	Governing Body	XXX Domain rated as Poor	Action plans in place to address the xxx areas
1,2,3	Consultation Institute's review of the CSR consultation	Consultation Institute's report	Quality Assurance Group / Governing Body	To date, the Institute has signed off three stages of the exercise, finding the <i>scope</i> , the <i>project plan</i> and the <i>key documentation</i> have met its' standards for good practice."	The Consultation Institute will be continuing to monitor the consultation with three further stages that will need to be signed off before the Institute finalises the Quality Assurance.
2,5	Internal Audit Service	Annual Internal Audit Plan, individual Internal Audit reports and an annual Head of Internal Audit Opinion	Audit & Quality Committee	No significant gaps identified	System in place to monitor progress on implementation of actions arising from individual report
1, 2	Local Authority Health Overview and scrutiny committee				
	External Audit	Interim and Final report on Annual Accounts and Annual Report	Audit & Quality Committee / Governing Body	No significant gaps identified	System in place to monitor progress on implementation of any actions arising
1,3,5	CQC Inspections	CQC published reports, CQC enforcement actions, Primary Care Quality oversight meetings for practices in special measures	Quality Group / Pan Dorset Care Quality Monitoring Group/ Primary Care Commissioning Committee	No significant gaps identified	
1,2,3,5	Ofsted Inspections	Ofsted published reports			
3	Specialist Commissioning Contracts	NHS England representative at local contract meetings with acute providers Oversight of SIs related to specialist commissioned services	NHS England (Wessex) Quality Surveillance Group	No significant gaps identified	Not required
	Internal Sources				
2,3	Contract Monitoring of acute providers (performance and quality)	Scorecard and Exception reports, Announced and unannounced visits to providers	Quality Group/ A&Q Committee	Details of any gaps from the review by the Quality group	Quarterly reports for all acute providers Any contract notices? Any action plans in place to address x,y,z

Governing Body Assurance Framework

All	CCG Quality Directorate Team	Care Home Quality monitoring visits, Care providers inspections, CHC review process, CHC commissioning visits, quality accreditation of care providers prior to contract set up, safeguarding intelligence gathering, incident reporting, customer care information, medicines management visits, infection prevention and control oversight and inspection	Quality Group / A&Q committee / Quality and Safety Information Group	<i>Inconsistency of approach to information sharing between partners</i>	Formalising processes with CHC and through integration as part of Better Care project
2	Primary Care contract monitoring	Practice profile, support for vulnerable practices, support and monitoring visits by the quality team as above	Primary Care Commissioning Committee		Progress being xxx by the PCOG and monitored by the PCCC
1, 2, 5	Monitoring of the implementation of the Primary Care Strategy	Reports by Primary Care team,	Primary Care Commissioning Committee		
STP - System Wide Sources					
ALL	System Partnership Board	Senior oversight on behalf of partner boards of the STP delivery process.	NHS England	No significant gaps identified	Board comprises Chairs/Leaders of the CCGs, 5 NHS Foundation Trusts and Local Authorities
ALL	Senior Leadership Team	Reporting from a monthly group which provides oversight on the delivery of the STP.	System Partnership Board	No significant gaps identified	The Chief Executives of system organisations who have a dual role in undertaking senior sponsor roles in a delivery area.
ALL	STP Planning and Implementation Group	Reporting from Transformation services, PMOs, Portfolio Management Office, Joint commissioning boards	System Partnership Board / Senior Leadership Team	No significant gaps identified	This group is responsible for designing, planning and delivering the STP. Through Portfolios of work they co-ordinate activity to ensure a single system plan is delivered to close the three gaps.
All	Reference groups	Reports on the provision of oversight from providers, CCG, GPs and clinical experts.	System Partnership Board / Senior Leadership Team	No significant gaps identified	Specific subject matter experts provide input to decision making of the Portfolios
2,3	A&E Delivery Board	Reports on the monitoring, development and delivery of system wide improvements to the Urgent Care network. This also feeds into the Portfolio work	System Partnership Board / Senior Leadership Team	No significant gaps identified	Comprises NHS England, CCG and provider experts from the wider Acute network
1,2,3	Health and Wellbeing Board	Oversight provided by Statutory bodies who also advise on strategic policy for a locality in terms of health policy	System Partnership Board / Senior Leadership Team	No significant gaps identified	Members include experts in public health, local authorities, health providers and lay members
5	Dorset Workforce Action Board		System Partnership Board / Senior Leadership Team	No significant gaps identified	

XX Gaps in assurance identified as at 03 July 2017

EXAMPLE