

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

Date of the meeting	18/05/2016
Author	S Hawkins, Patient Safety and Risk Manager
Sponsoring Clinician	Dr Simone 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 • 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 This report provides the latest version of the Governing Body Assurance Framework (Appendix 1). This framework provides assurances against the key strategic risks and controls that the Governing Body must consider when seeking internal assurance.
- 1.2 The Governing Body Assurance Framework has been developed to ensure that there is a streamlined approach to assurance enabling the Governing Body and delegated committees to focus only on the strategic issues of the organisation.
- 1.3 The Directors' Performance meeting has operational responsibility for maintaining the Governing Body Assurance Framework with support from the Patient Safety and Risk team.
- 1.4 The framework has been 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.
- 1.5 Where there is direct correlation, summaries have been included relating to risks on the Corporate Risk Register, including risk scores. The Corporate Risk Register will continue to be uploaded to the Board Portal on a monthly basis for members to access.
- 1.6 The controls for each of the strategic risks are ordered (top to bottom) in terms of the level of assurance the control provides. The most important assurance (e.g. NHS England assurance checkpoint) would be at the top, with lower level internal assurances at the bottom.

2. Gaps in Controls and Assurances

- 2.1 This section of the report summarises the actions that are planned to rectify areas where gaps have been identified in controls or assurances (these appear in blue in the main document). These have been summarised in the table below:

Key Control		Gap in Assurance Process
7	Better Care Fund targets	Unknown; new line of assurance due to commence in July 2016
18	Clinical Delivery Group (CDGs) Terms of Reference (formally CCP Terms of Reference)	Terms of Reference to be approved at next CCC meeting on 15.06.2016
31	Executive scrutiny	Individual internal audits have highlighted gaps in assurance; action plans are in place which are followed up by Internal Audit.
45	Involvement in the CSR of Dorset LA partners including Health and Wellbeing Boards, HOSCs, Patient Representative groups e.g. Healthwatch, media and MPs and partnership Boards	Current gap identified. Insufficient evidence in written documentation of these partners involvement within the CSR. This will be addressed by next Governing Body meeting.
62	Clinical Commissioning Committee (CCC) Work Programmes	Work programmes/priorities to be signed off at CCC on 15.06.2016
72	Contract Monitoring	In Q3, four new contact queries have been issued by NHS Dorset CCG. None were issued in Q4 2015-16.

3. Recommendation

- 3.1 The Governing Body meeting is asked to note the Governing Body Assurance Framework format and contents.

Author's name and Title : Suzie Hawkins, Patient Safety and Risk Manager

Date : 29 April 2016

Telephone Number : 01305 368047

APPENDICES	
Appendix 1	CCG Governing Body Assurance Framework