

NHS DORSET CLINICAL COMMISSIONING GROUP
GOVERNING BODY MEETING
ASSURANCE FRAMEWORK REPORT

Date of the meeting	20/01/2016
Author	S Hawkins, Patient Safety and Risk Manager
Sponsoring Clinician	Dr P French, Locality Chair for East Bournemouth
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
4b	NHS England (Wessex) Assurance Review (also known as Wessex Assurance checkpoint meeting)	The revised NHS England Assurance process has commenced. Following the Assurance meeting on 21/09/2015 the CCG has four domains assured as 'good' and one domain that 'requires improvement' (Domain 2 - performance). The outcome of the Assurance meeting on 21.12.2015 is awaited.
18	Clinical Delivery Group (CDGs) Terms of Reference (formally CCP Terms of Reference)	Following approval of the CDGs by CCC on 19.08.2015; the TOR are being developed. The draft TOR are being discussed at the inaugural meetings of the CDGs and will then be reviewed at Directors.
31	Executive scrutiny	Individual internal audits have highlighted gaps in

Key Control		Gap in Assurance Process
		assurance; action plans are in place which are followed up by Internal Audit.
62	Clinical Commissioning Committee (CCC) Work Programmes	CCPs were paused due to CSR. Clinical Delivery Groups (CDGs) have now been approved by Clinical Commissioning Committee. The CDG Work Programmes are in draft and will be agreed before the end of December 2015.
72	Contract Monitoring	In the last quarter, six new contract queries have been issued, four by co-ordinating commissioners on behalf of all commissioners of the services.

3. Recommendation

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

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Date : 30 December 2015

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APPENDICES	
Appendix 1	CCG Governing Body Assurance Framework.