

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

<b>Date of the meeting</b>	21/09/2016
<b>Author</b>	A Dale, Patient Safety and Risk Manager
<b>Sponsoring Clinician</b>	Dr S Yule, Locality Chair for North Dorset
<b>Purpose of Report</b>	The report provides the Governing Body Assurance Framework for members to consider.
<b>Recommendation</b>	The Governing Body is asked to <b>note</b> the assurance framework contents.
<b>Stakeholder Engagement</b>	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.
<b>Previous GB / Committee/s, Dates</b>	N/A

**Monitoring and Assurance Summary**

<b>This report links to the following Strategic Principles</b>	<ul style="list-style-type: none"> <li>• Services designed around people</li> <li>• Preventing ill health and reducing inequalities</li> <li>• Sustainable healthcare services</li> <li>• Care closer to home</li> </ul>		
	<b>Yes</b> [e.g. ✓] <i>Copy &amp; paste tick</i>	<b>Any action required?</b>	
		<b>Yes</b> Detail in report	<b>No</b>
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	✓		✓
<b>I confirm that I have considered the implications of this report on each of the matters above, as indicated</b>	✓		

Initials: AD

## 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 Directors' Performance meeting has operational responsibility for maintaining the Governing Body Assurance Framework with support from the Patient Safety and Risk team.
- 1.3 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.
- 1.4 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.
- 1.5 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.
- 1.6 Following requests from the Audit and Quality Committee, a review of the GBAF format is to be undertaken to ensure the document is fit for purpose.

## 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:

Strategic Principle	Risk Title	Key Control		Gap in Assurance Process
Preventing Ill Health & Reducing Inequalities	Failure to achieve strategic and operational outcomes	31	Executive scrutiny	Individual internal audits have highlighted some gaps in assurance; action plans are in place which are followed up by Internal Audit.

## **3. Recommendation**

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

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**Date :** 26 August 2016

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<b>APPENDICES</b>	
<b>Appendix 1</b>	<b>CCG Governing Body Assurance Framework</b>