

Governing Body Assurance Framework

Strategic Objective 1	Designing Services Around Patients	Risk 1.1 Failure to engage with and identify the needs of the population.
Strategic Objective 2	Preventing Ill Health and Reducing Inequalities	Risk 2.1 Failure to achieve strategic and operational outcomes.
		Risk 2.2 Failure of a significant provider
Strategic Objective 3	Ensuring Sustainable Healthcare Services	Risk 3.1 Failure to implement Clinical Services Review
		Risk 3.2 Failure to achieve partnership targets for the Better Care Fund
		Risk 3.3 Loss of CCG authorisation
Strategic Objective 4	Enabling Care Closer to Home	Risk 4.1 Failure to work with partners

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	None. Within normal timeframe	Next meeting 23.03.17	Still awaiting official letter following November meeting. Ratings have not yet been issued for Q2 but are anticipated with the November letter.	
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		18.01.17		
ALL	Bi-monthly [18.01.17]	Transformation update reports		18.01.17		
ALL		Audit & Quality Committee report		18.01.17		
ALL		CCG 5 Year Strategy update		18.01.17		As required
ALL		2 year Delivery Plan update/ Transformation update		20.07.17		Annual
ALL		Complaints process/policy annual report		20.07.17		Annual
ALL		Engagement Strategy update		18.11.17		Annual
ALL		Corporate Risk Register report		18.01.17		
ALL		Assurance Framework report		18.01.17		

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ALL		Performance Report		18.01.17		
ALL		Quality report		18.01.17		
ALL		A&E Delivery Board report		18.01.17		
ALL		Approval of Committee ToRs		16.03.17		Annual
ALL		Remuneration Committee ToR approval		21.09.17		Annual
ALL		Opening Budget and Budget report		16.03.17		Annual
ALL		NHS Constitution report		15.11.17		Annual
ALL		Internal Audit Report		25.05.17		
ALL		Changes to delegated Authority paper		16.03.17		
ALL		Engagement and Communications report		18.05.17		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		20.07.17		Annual
2		Equality Duty progress report		18.01.17		Annual
2 and 3		Annual Review of Governance report		16.03.17		Annual
2 and 3		Commissioning Support Services annual report		16.03.17		Annual
ALL	Audit and Quality Committee	Corporate Risk Register report		08.02.17		
ALL	Quarterly [08.02.17]	Assurance Framework report		08.02.17		

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ALL	All evidence from the A&Q Committee is held by Corporate office	Quality Group paper		08.02.17		
ALL		Internal Audit report		08.02.17		
ALL		Transformation Programme Plan		08.02.17		
ALL		Better Care Fund Target update		08.02.17		
ALL		Annual Governance Statement paper		13.05.17		Annual
ALL		KPIs Scorecard & Exceptions		08.02.17		
ALL	Directors Performance Meeting	Quality, performance and Risk papers		23.01.17		
ALL	Monthly [23.01.17]	Transformation update		23.01.17		
ALL	Primary Care Commissioning Committee (PCCC)	Clinical Commissioning Improvement Plan		05.07.17		Annual
2	Quarterly [01.02.17]	Healthwatch involvement		05.07.17		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.	Transformation update		15.02.17		
ALL	Quarterly [15.02.17]	Healthwatch involvement		15.05.17		Annual
ALL	Evidence held by Corporate office	ToR Approval		15.05.17		Annual
ALL	System Leadership Team Meetings. Monthly [19.01.17]	Involvement of Dorset Provider organisations		19.01.17		Third Thursday in every month.

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ALL	CCG Annual Report	Publication to website of annual report		01.07.17		

Gaps in assurance as at 03.01.2017 = NONE