

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.	6 Links to CRR. CDG3.5, O24, O25, Q04, Q20, Q21
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	2 Links to CRR. CDG2.4, Q37
Strategic objective 3	Ensuring Sustainable Healthcare Service	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	24 Links to CRR. CDG2.2, CDG3.2, CDG3.3, CDG4.1, CDG4.2, CDG5.5, FIN21, O16, O26, O31, O35, O36, O37, O38, PC09, PC11, PC12, Q02, Q22, Q36, RDD7, S01, S02, S03
Strategic objective 4	Enabling Care Closer to Home	Risk 4.1 Failure to work with partners	3 Links to CRR. CDG5.1, O32, PC08.

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 <i>This link takes you to MyNHS. Scroll down and select Dorset for more detailed information</i>	None. Within usual 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	Consultation Institute <i>The Consultation Institute is a not-for-profit organisation which is providing both advice and external assurance on the CSR consultation</i>	"To date, the Institute has signed off three stages of the exercise, finding the <i>scope</i> of the exercise, the <i>project plan</i> and the key <i>documentation</i> have met its standards for good practice."	None so far.		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. The mid-point review took place on 12 January 2017	
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		15.03.17		
ALL	Bi-monthly [next 15.03.17]	Transformation update reports		15.03.17		
ALL		Audit & Quality Committee report		15.03.17		
ALL		CCG 5 Year Strategy update		20.07.17		As required
ALL		2 year Delivery Plan update/ Transformation update		20.07.17		Annual
ALL		Complaints process/policy annual report		20.07.17		Annual

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ALL		Engagement Strategy update		18.11.17	Annual
ALL		Corporate Risk Register report		15.03.17	
ALL		Assurance Framework report		15.03.17	
ALL		Performance report		15.03.17	
ALL		Quality report		15.03.17	
ALL		A&E Delivery and Urgent Care Board report		15.03.17	
ALL		Finance report		15.03.17	
ALL		Approval of Committee ToRs		15.03.17	Annual
ALL		Remuneration Committee ToR approval		21.09.17	Annual
ALL		Opening Budget and Budget report		15.03.17	Annual
ALL		NHS Constitution report		15.11.17	Annual
ALL		Internal Audit Report		25.05.17	
ALL		Changes to delegated Authority paper		15.03.17	
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 Diversity and Inclusion report		18.01.18	Annual

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2 and 3		Annual Review of Governance report		15.03.17		Annual
2 and 3		Commissioning Support Services annual report		15.03.17		Annual
ALL	Audit and Quality Committee Quarterly [next 12.04.17] All evidence from the A&Q Committee is held by Corporate office	Corporate Risk Register report		12.04.17		
ALL		Assurance Framework report		12.04.17		
ALL		Quality Group paper		12.04.17		
ALL		Internal Audit report		12.04.17		
ALL		Transformation Programme Assurance Report		12.04.17		
ALL		Better Care Fund update		12.04.17		
ALL		Annual Governance Statement update		12.04.17		Annual
ALL		KPIs Scorecard & Exceptions		12.04.17		
20.03.17						
ALL	Directors Performance Meeting	Quality, performance and Risk papers		20.03.17		
ALL	Monthly [next 20.03.17]	Transformation update		20.03.17		
ALL	Primary Care Commissioning Committee (PCCC) Quarterly [next 05.04.17]	Primary Care Operational Group reports		05.04.17		
ALL		Medicines Management report		05.04.17		
ALL		Clinical Commissioning Strategy update		05.04.17		
2		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

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ALL	Clinical Commissioning Committee.	Transformation update		19.04.17		
ALL	Quarterly [next 19.04.17] Evidence held by Corporate office	Dorset Medicines Advisory Group report		19.04.17		
ALL		RightCare Performance reports		19.04.17		
ALL		Healthwatch involvement		19.04.17		Annual
ALL		ToR Approval		19.04.17		Annual
ALL		System Leadership Team Meetings. Monthly [next 16.03.17]	Involvement of Dorset Provider organisations		16.03.17	
ALL	CCG Annual Report	Publication to website of annual report		01.07.17		

Gaps in assurance identified as at 27.02.2017 = NONE