

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

Date of the meeting	15/07/2015
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 new Governing Body Assurance Framework in its final draft form for approval.
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 and not all the operational issues that the previous version also included (these issues will still be captured in the Corporate Risk Register).
- 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 Governing Body Assurance Framework audit, which was undertaken in April 2015, recommended that the Framework 'ranks the strength of the assurance so that the reader of the Governing Body Assurance Framework is able to form a view on the impact of the assurances in relation to the risk mitigation.'
- 1.7 It was agreed following this recommendation that the controls for each of the strategic risks would be 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 low level internal assurances at the bottom.
- 1.8 This exercise was completed on 29.05.2015 and the external, committee and group assurance, is now clearly evident within the Governing Body Assurance Framework.

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
2	NHS Constitution	A paper was not submitted to the Quality Group as an audit of the NHS Constitution assurance process is currently taking place; awaiting audit outcomes. A report will be submitted to the next Quality Group.
4b	NHS England (Wessex) Assurance Review (also known as Wessex Assurance checkpoint meeting)	One domain is 'Assured with Support', five domains fully assured – action plan in place. Q4 Assurance meeting with NHS England to be held on 25.06.2015
31	Executive scrutiny	Individual internal audits have highlighted gaps in assurance; action plans in place which are followed up by Internal Audit.
53	External Scrutiny from NHS England and external clinical experts-CSR	<p>Clinical Senate: The clinical senate review is underway with a first draft of their report expected on 19.06.2015. An extraordinary meeting of the Senate Council is planned for 08.07.2015 to consider the Dorset Clinical Services Review. A team from the CCG presented CSR plans and progress to a gathering of the Senate Independent Review team and Senate Council on 10.06.2015; information is also being gathered from the Strategic Clinical Networks.</p> <p>NHS England Assurance processes: A meeting has been held with NHS England, sub region, and south representatives to undertake the Stage 1 Assurance process. The CSR programme has passed this and the programme is now entered onto the NHS reconfiguration grid, which means there is now oversight from the national reconfiguration team. The Stage 2 Assurance checkpoint will take place on 22.07.2015 with an informal check prior to that on 03.07.2015. It is only with that level of assurance that the CSR will be able to proceed to consultation.</p> <p>A Gateway review which also feeds into the NHS England Assurance process has taken place</p>

9.5

Key Control		Gap in Assurance Process
		between 9 and 11 June and the CSR programme was awarded an AMBER rating, as the team found the programme was feasible with some recommendations for work to be done. The reviewers noted the challenging timescale and the work taken place so far.
62	Clinical Commissioning Committee (CCC) Work Programmes	CCPs currently paused due to CSR. Work continues through the CSR Clinical Reference Groups, Clinical Working Groups and, where required, task and finish groups.
64	Remuneration Committee Terms of Reference	The Remuneration Terms of Reference are listed as an agenda item at the Governing Body meeting for 16.09.2015 at the request of the CCG Secretary and General Counsel
72	Contract Monitoring	Three contract queries have currently been issued to NHS funded providers by the CCG.

3. Recommendation

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

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Date : 25 June 2015

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APPENDICES	
Appendix 1	CCG Governing Body Assurance Framework.