

NHS DORSET CLINICAL COMMISSIONING GROUP
GOVERNING BODY MEETING
ASSURANCE FRAMEWORK REPORT

Date of the meeting	16/09/2015
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.
- 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 was taking place. The audit outcomes have now been received and a report will be submitted to the next Quality Group meeting on 18.09.2015
4b	NHS England (Wessex) Assurance Review (also known as Wessex Assurance checkpoint meeting)	The outcome of the Q3 checkpoint was: one domain is 'Assured with Support', Five domains are fully assured - action plans in place. The Q4 outcome is awaited.
17	Clinical Commissioning Committee Terms of Reference (TOR)	The CCC TOR review was put on hold pending the evolving position with the Clinical Commissioning Programmes and Clinical Working Groups into Clinical Delivery Groups as this will impact the CCC Terms of Reference. The CCC Terms of Reference are now in development and will be discussed at the next Director's meeting on 21.09.2015.
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 Terms of Reference are being developed. This is to be discussed at the next Director's meeting on 21.09.2015.
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 Independent Review Panel has completed their report and this has been received by the Senate and the CCG. The report makes a number of recommendations for the CCG and an action plan has been developed to work through these. The actions, once completed will be returned to the Senate for them to complete their final report as part of the NHS England stage 2 assurance process.</p> <p>The CCG Chair and Chief Officer met with the Senate Chair on 27.08.15 to discuss the report, and the ongoing support that the Senate and the Strategic Clinical Networks can provide to the CSR process as the programme proceeds.</p> <p>NHS England Assurance processes: work is underway to establish the pathway for the next stage of NHS England Assurance, which will include submission of the Senate's final recommendations.</p>

Key Control		Gap in Assurance Process
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. Work is now in place to develop the work programmes of each of the CDGs and will be discussed at the next Director's meeting on 21.09.2015.
63	Clinical Delivery Group (CDG) Work Programmes	CCPs were paused due to CSR. Clinical Delivery Groups (CDGs) have now been approved by Clinical Commissioning Committee. Work is now in place to develop the work programmes of each of the CDGs and will be discussed at the next Director's meeting on 21.09.2015.
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 : 01 September 2015

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APPENDICES	
Appendix 1	CCG Governing Body Assurance Framework