

NHS DORSET CLINICAL COMMISSIONING GROUP
GOVERNING BODY MEETING
ASSURANCE FRAMEWORK REPORT

Date of the meeting	18/03/2015
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	

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. ✓]	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 new 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 will also serve as a source of external assurance for the NHS England 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 This framework has been developed with the support from the Audit and Quality Committee and the CCG's Governing Body Secretary. Internal Audit has also been consulted during its development and indicated their approval of the new format.

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
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.
15	Clinical Commissioning Improvement Plan	In December 2015, following identification of the gap in assurance, the CCI Plan was added to the corporate office annual planner to ensure that the plan is discussed at the GB meeting (part 1)

Key Control		Gap in Assurance Process
		twice a year. The CCIP has been added to the Joint Primary Care Committee on 01.04.2015 and GB agenda (part 1) for 20.05.2015 as there is no update to report prior to this date.
31	Executive scrutiny	Individual internal audits have highlighted gaps in assurance; action plans in place.
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.
68	Clinical Senates	NHS Dorset CCG currently has a GP representative who attends the Wessex Clinical Senate meetings. It was agreed at the Director's Performance Meeting on 19.12.2014 that a formal quarterly reporting from the Clinical Senates to the Clinical Commissioning Committee will commence in February 2015. Although this appeared as actioned in the minutes, an administrative oversight led to this being left off the agenda for the CCC in February 2015. This will now be an agenda item for the CCC on 15.04.2015. The report will be produced by the GP representative at the Wessex Clinical Senate meeting.

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 : 20 February 2015

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APPENDICES	
Appendix 1	CCG Governing Body Assurance Framework.