

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

<b>Date of the meeting</b>	20/05/2015
<b>Author</b>	S Hawkins - Patient Safety and Risk Manager
<b>Sponsoring Clinician</b>	Dr P French - Locality Chair for East Bournemouth
<b>Purpose of Report</b>	The report provides the new Governing Body Assurance Framework in its final draft form for approval.
<b>Recommendation</b>	The Governing Body is asked to <b>note</b> the assurance framework contents.
<b>Stakeholder Engagement</b>	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.
<b>Previous GB / Committee/s, Dates</b>	N/A

**Monitoring and Assurance Summary**

<b>This report links to the following Strategic Principles</b>	<ul style="list-style-type: none"> <li>• Services designed around people</li> <li>• Preventing ill health and reducing inequalities</li> <li>• Sustainable healthcare services</li> <li>• Care closer to home</li> </ul>		
	<b>Yes</b> [e.g. ✓] <i>Copy &amp; paste tick</i>	<b>Any action required?</b>	
		<b>Yes</b> Detail in report	<b>No</b>
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	✓		✓
<b>I confirm that I have considered the implications of this report on each of the matters above, as indicated</b>	✓		

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.

## 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 – South (Wessex) Assurance Review (also known as Wessex Assurance checkpoint meeting)	Two domains 'Assured with Support', Four domains fully assured - action plans are in place.
15	Clinical Commissioning Improvement Plan	In December 2014, 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) twice a year. The CCIP was discussed at the Joint Primary Care Committee on 01.04.2015 and is on the Governing Body agenda (part 1) for 20.05.2015.
31	Executive scrutiny	Individual internal audits have highlighted gaps in assurance; action plans in place.

Key Control		Gap in Assurance Process
53	External Scrutiny from NHS England and external clinical experts for Clinical Services Review	<p>Clinical Senate: A risk was identified when checking assurance processes during the development of the Pre-Consultation Business Case (PCBC) that the CSR team had not fully understood the role of the Clinical Senate in providing an independent review. The Clinical Senate has now been engaged, Terms of Reference have been agreed and the chair is recruiting a team to undertake the review. An extraordinary meeting of the Senate Council is planned for 08.07.2015 to consider the Dorset Clinical Services Review.</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 in mid-July (dates to be confirmed) and it is only with that level of assurance that the CSR will be able to proceed to consultation (Governing body decision pending). NHS England were able to re-enforce that the Health Gateway review would be a desirable assurance process which would inform the Stage 2 assessment, and as a result a process is now underway to procure a team of accredited Gateway reviewers to come in to review the programme in June 2015. Without this external scrutiny there is a risk that, following consultation, NHS England and/or Health Overview Scrutiny (HOS) may reject any service reconfiguration without this independent review supporting the case.</p>
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	<p>Contract monitoring has been added to the Assurance Framework following a recommendation from Internal Audit.</p> <p>Three contract queries have currently been issued to NHS funded providers by the CCG.</p>

### 3. Assurance review of Governing Body Assurance Framework

- 3.1 During March and April 2015, Internal Audit undertook an assurance review of the Governing Body Assurance Framework to ensure the adequacy of the framework.
- 3.2 Nine action points were recommended following the assurance review – four important actions, four routine actions and one operational action. No actions were deemed urgent.
- 3.3 Please find below a summary of the actions.

Finding (Summary)	Priority	Action Plan
Internal audit made a number of observations on the content of the Risk Management Framework	Important	This action has now been completed.
There is no level of assessment of the strategic risks in the Governing Body Assurance Framework	Important	Directors will rate the framework ahead of the Audit and Quality Committee meeting on 08.07.2015 where the changes will be sent for approval [To be completed by 08.07.15].
The Framework contains links to evidence to support an assurance but there is no assessment on the level of assurance that this provides	Important	It was agreed that the controls for the strategic risks will be ordered (top to bottom) in terms of the level of assurance the controls provides [To be completed by 31.05.15].
Internal audit made a number of observations on the robustness of narrative on the key transformation programmes as there are controls, assurances and potentially gaps which have not been referred to.	Important	An organisational mapping exercise is to take place to identify the groups/sub- committees/ pan-Dorset groups etc. which provide assurance. Once all assurance pathways understood, the key groups and committees will be sent a template to complete on a biannual basis for the Chair to confirm that they have scrutinised the assurances within their programmes and that either no significant lapses have been identified or the work being undertaken to resolve gaps in assurance [To be completed by 31.08.15].
The Framework highlights some gaps in assurance but the content of the action plans supporting these gaps to be made more robust	Routine	This is to be addressed by all key groups and committees being sent a template to complete on a biannual basis for the Chair to confirm that they have scrutinised the assurances within their programmes and that either no significant lapses have been identified or the work being undertaken to resolve gaps in assurance [To be completed by 31.08.15].
The narrative under the work of the Clinical Commissioning Committee (GBAF 62) and the Clinical Commissioning Programmes ('CCPs') (GBAF 63) is in need of review.	Routine	A Governing Body Workshop is to take place in April at which it is expected that the new work programmes (formerly CCPs) will be ratified. Following this and the associated re-organisation within the CCG, GBAF 62 and 63 will be amended to reflect this (e.g. create a

Finding (Summary)	Priority	Action Plan
References to the terms of reference as a control are not considered robust enough by Internal Audit and more detail on the work continuing with the CCPs to be included.		control for each work programme) [To be completed by 31.07.2015].
Robust operation of the CCGs compliant processes are a key control but Internal Audit considers that there are further evidence of assurance that could be included relating to complaints.	Routine	This is to be included and will feature in the framework from the end of May onwards [To be completed by 30.05.15].
Internal audit noted that the controls and assurances documented in the Framework regarding contract monitoring could be improved.	Routine	Contract monitoring processes and assurances will reflect in the next iteration of the GBAF which included where lapses have been significant enough for contract queries to be raised [To be completed by 30.05.15; completed].

#### 4. Recommendation

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

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**Date :** 30 April 2015

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<b>APPENDICES</b>	
<b>Appendix 1</b>	<b>CCG Governing Body Assurance Framework</b>