

NHS DORSET CLINICAL COMMISSIONING GROUP
GOVERNING BODY MEETING
ASSURANCE FRAMEWORK REPORT

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| Date of the meeting | 19/11/2014 |
| Author | M Wain, Head of Patient Safety and Risk 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 Committee is asked to approve the assurance framework and format. |
| 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 | None |

Monitoring and Assurance Summary

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| 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: MW

1. Introduction

- 1.1 This report provides the final draft of the new Governing Body Assurance Framework (Appendix 1) which is being submitted to the Governing Body for approval. 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 now has operational responsibility for maintaining the new 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.
- 1.7 The framework was presented to the Audit and Quality Committee at their meeting in October 2014 and a number of suggestions were made which have now been incorporated in this version. The key changes included:
 - Addition of risk ratings of the individual corporate risk register linked risks
 - Updated areas based on queries from Audit and Quality Committee members including inclusion areas such as safeguarding, Systems Resilience Group
 - Hyperlinked all evidence where in the public domain
 - All areas where gaps in controls or assurances have been identified; these are clearly highlighted in this summary paper (this can be found in section two of this report)

The Audit and Quality Committee indicated that once these changes were made they would endorse the document for CCG Governing Body Approval.

- 1.8 The Corporate Risk Register will be maintained on a monthly basis (as at present) and will continue to be reviewed by Directors, the Quality Group and the Audit and Quality Committee.

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 |
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| Clinical Commissioning Programmes (CCP) Terms of Reference | The CCP Terms of Reference are on the agenda for the next CCC meeting 17.12.2014 and will, moving forward, be an annual standing item on the CCC agenda. |
| Health and Well-being Boards Work Programme | The Chief Officers update (Part 1) for the meeting on 19.11.2014 contains a paragraph containing a link to the previous minutes for both Health and Wellbeing Boards |
| Executive scrutiny | Individual internal audits have highlighted gaps in assurance; action plans in place. |
| Working arrangements with Healthwatch | Regular meetings are arranged with the CCG Chair, Chief Officer and Chief Executive of Healthwatch Dorset. The Chief Executive of Healthwatch is attending the GB meeting on 19/11/14 to discuss the Healthwatch Dorset Every One Matters report |
| Public Sector Equality Duty | On agenda for February 2015 Audit and Quality Committee meeting. Document was signed off by Chief Officer prior to being uploaded to the CCG website but not formally ratified by a monitoring committee. |
| Development of all inclusive CSR Communication Plan | CSR Communication plan being finalised for imminent launch (draft stage at present, being circulated internally for comment) |
| Better Together Board Work Programme | The Chief Officer Update (Part 1) for the meeting on 19/11/2014 contains a Better Together update. This will form a separate report for GB meetings going forward. |
| Clinical Senates | Formalised reporting process needs to be developed |
| NHS England (Wessex) Assurance Review (also known as Wessex Assurance checkpoint meeting) | NHS England (Wessex) Assurance review to be added, as a standing item in Chief Officers update from Nov 14. The Chief Officer Update (Part 1) for meeting on 19/11/2014 contains an Assurance Update |
| | 4 domains 'Assured with Support', 2 domains fully assured - action plan in place. This is a gap that will probably always be blue due to the nature of the control. |

3. Presentation of the Assurance Framework

- 3.1 Following discussion at the Audit and Quality Committee meeting, it is proposed that the full version of the Governing Body Assurance Framework is presented at each Audit and Quality Committee meeting, and a condensed version is submitted to the Governing Body meeting.
- 3.2 The headings in Appendix 1 are coloured yellow and green.
- 3.3 Only the heading columns coloured yellow will be submitted to future Governing Body meetings.
- 3.4 All heading columns (yellow and green) will be submitted to Audit and Quality Committee Meetings. This is to facilitate an additional level of scrutiny at the Audit and Quality Committee meetings.
- 3.5 The Directors will be responsible for the maintenance and updating of the Assurance Framework and will therefore have access to the full version of the Framework.

4. Recommendation

- 4.1 The Governing Body meeting is asked to approve the Governing Body Assurance Framework contents, and proposed formats for future Governing Body and Audit and Quality Committee meetings.

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Date : 30 October 2014

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| APPENDICES | |
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| Appendix 1 | CCG Governing Body Assurance Framework |