

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

|   |   |
|---|---|
| <b>Date of the meeting</b>              | 14/11/2018  |
| <b>Author</b>                           | J Swarbrick - Head of Nursing and Quality (Safety and Safeguarding)   |
| <b>Sponsoring Board Member</b>          | Dr S Yule - Locality Chair for North Dorset   |
| <b>Purpose of Report</b>                | The report provides the Governing Body Assurance Framework for members to consider.   |
| <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 Objectives</b>   | <ul style="list-style-type: none"> <li>• Prevention at Scale</li> <li>• Integrated Community and Primary Care Services</li> <li>• One Acute Network</li> <li>• Digitally Enabled Dorset</li> <li>• Leading and Working Differently</li> </ul> |                                |           |
|  | <b>Yes</b><br>[e.g. ✓]  | <b>Any action required?</b>    |           |
|  |   | <b>Yes</b><br>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: JS

## **1. Introduction**

- 1.1 The framework provides assurance to the Governing Body of the controls that are in place to mitigate the key risks that could impact on the CCG's delivery of its strategic objectives.
- 1.2 This report provides the current version (Appendix 1) of the Governing Body Assurance Framework (GBAF) for information.
- 1.3 The framework is linked to the Strategic Objectives of the organisation and also serves as a source of external assurance for the NHS England – South West quarterly assurance processes.
- 1.4 The Directors' Performance meeting has operational responsibility for maintaining the Governing Body Assurance Framework (GBAF) with support from the Patient Safety and Risk team.

## **2. Internal Audit**

- 2.1 The final version 2017/18 Assurance Review of Assurance Framework and Risk Management was received on 27 March 2018. The overall assurance assessment was 'reasonable assurance'.
- 2.2 Seven recommendations have been made, all relating to the Governing Body Assurance Framework. Actions have been agreed to complete all seven actions by 31 December 2018; all agreed deadlines have been achieved to date.
- 2.3 Significant progress has been made via the Directors' Performance Meeting to add narrative to all assurance lines.
- 2.4 Updates relating to the progress against actions is reported quarterly to the Audit and Quality Committee.

## **3. Gaps in Controls and Assurances**

- 3.1 No gaps in assurance are currently identified in the Assurance Framework as at 26 October 2018 and no gaps have been identified since the previous report.
- 3.2 Additional control requirements and gaps in the control requirements will be identified during the implementation of the internal audit recommendations. Additionally, control requirements be identified in the light of ongoing changes to the strategic objectives, risks, and further updates and improvements to the structure of the GBAF.

## 4. Recommendation

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

**Author's name and title:** J Swarbrick, Head of Nursing and Quality (Safety and Safeguarding)  
**Date:** 26 October 2018  
**Telephone Number:** 01305 368957

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