

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

<b>Date of the meeting</b>	20/03/2019
<b>Author</b>	S Hawkins - Patient Safety and Risk Manager
<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 the Governing Body 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> [e.g. ✓]	<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 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 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 were made, all relating to the Governing Body Assurance Framework and Risk Framework. The final outstanding action has now been completed.

<i>Recommendation</i>	<i>Update</i>
<b>Outstanding</b>	
<b>2. Compliance:</b> Whilst acknowledging that the strategic risks are all rated as 'high' risks, a position statement at points in the year on the impact of the controls and assurances on the strategic risks be provided to demonstrate the management of these.	This action required for the strategic risks to be graded as 'very high', 'high', 'medium' or 'low' risk by the Directors. This information has now been added to the GBAF and therefore the action can be deemed completed. This will now be repeated quarterly with any changes to the scoring illustrated on the GBAF.

## 3. Gaps in Controls and Assurances

- 3.1 No gaps in assurance are currently identified in the Assurance Framework as at 27 February 2019 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.
- 3.3 Changes will be made to the GBAF in April 2019 to reflect the changes to the governance structure and the decision to cease the Clinical Commissioning Committee meeting.

## 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:** 27 February 2019  
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<b>APPENDICES</b>	
<b>Appendix 1</b>	<b>CCG Governing Body Assurance Framework</b>