

GBAF ID	Risk Title	Risk Owner	No	Key Controls	Control Owner	Sources of Assurance	Assurance frequency	Positive Assurances Received	Next assurance due	Evidence (hyperlink)	Gaps in Controls	Gaps in Assurance Process	Monitoring Committee	Link to other Strategic Principles	Linked to each strategic principle on Corporate Risk Register	
<b>Strategic Principle 1: Designing Services Around Patients</b>																
1.1	Failure to engage with and identify the needs of the population	Director of Engagement and Development	<b>External assurance</b>													7 risks on CRR as at 28.10.2016. Please see CRR report. CDG1.1. O24. O25. Q20. Q21. Q4. S4.
			4b	NHS England - South (Wessex) Assurance Review	Chief Officer	Evidence supplied to NHS England - South (Wessex) and attendance at meeting.	Quarterly	Confirmation to CCG Chief Officer following checkpoint meeting with Area Team . Meeting took place on 21.09.2016. Confirmation of actions received.	30.11.2016	Assured by NHS England - South (Wessex)	None	The revised NHS England Assurance process has commenced. Following the Assurance meeting on 19.04.2016 the CCG has all five domains assured as 'good'. A new framework is in place from April 2016.	NHS England - South (Wessex)	2,3,4		
			<b>Committee Assurance</b>													
			4a	NHS England - South (Wessex) Assurance Review (also known as Wessex Assurance checkpoint meeting)	Chief Officer	Receipt of update to Governing Body meeting as Part of Chief Officers Paper	Quarterly	Date: 20.07.2016 GB paper 7. Chief Officers Update	18.11.2016	<a href="#">Governing Body Meeting 21.09.2016</a>	None	None	Governing Body	2,3,4		
			G	8	Engagement Plan updates	Director of Engagement and Development	Receipt of paper to Governing Body meeting on engagement	Six monthly	Date: 21.09.2016 Update report on Engagement and Communications	18.03.2017	<a href="#">Governing Body 21.09.2016</a>	None	None;	Governing Body	2,3,4	
			G	10	CCG Involvement Network	Director of Engagement and Development	Receipt of paper to Governing Body on Engagement	Six monthly	Date: 16.03.2016 GB Paper 8.2 and Appendix 1: Update report on Engagement and Communications	18.03.2017	<a href="#">Governing Body 21.09.2016</a>	None	None	Governing Body	2,3,4	
				12	360 stakeholder feedback - involvement in planning, prioritising and commissioning high quality care	Director of Service Delivery, Director of Engagement and Development	360 Stakeholder Survey summary	Annual	Date: 20.07.2016 Governing Body meeting Paper 9.13 and appendices	20.07.2017	<a href="#">Governing Body 20.07.2016</a> <a href="#">9.13</a>	None	None; following assurance from the Head of Assurance and Planning, this assurance line has been changed to annual.	Governing Body	4	
				13	Clinical Services Review	Director of Transformation	Reports to Governing Body and Directors Performance	Every Governing Body Meeting	Appropriate updates to TCG - highlight reports from CDGs - Transformation Programme dashboard These reports continue to be reviewed by both the Governing Body and at the Directors Performance meeting.	16.11.2016	<a href="#">Governing Body 20.09.2016</a>	None identified at present	None - Monitoring continues via both the Governing Body and at the Performance meeting in the absence of the TCG	Governing Body	2,3,4	
				1	NHS Constitution Assurance	Director of Quality	Receipt of update paper to Governing Body on NHS Constitution	Annual	Governing Body paper 9.8 and Appendix 1: NHS Constitution Annual Report	18.11.2016	<a href="#">Governing Body 18.11.2015 9.8</a>	None	None	Governing Body	2,3,4	
				5	CCG 5 year Strategy submitted to NHS England	Director of Engagement and Development	Receipt of update to Governing Body meeting on submission of 5 year strategy to NHS England.	As required	Governing Body Paper 7 Chief Officers Update	16.11.2016	<a href="#">Governing Body 21.09.2016</a>	None	None	Governing Body	2,3,4	
				6	CCG 2 year Delivery Plan submitted to NHS England. Now incorporated in to Transformation Update	Director of Engagement and Development	Receipt of Transformation update to Governing Body meeting previously report on 2 year delivery plan to NHS England	Annual refresh	Governing Body Paper 9.4 2 year Delivery Plan	20.07.2017	<a href="#">Governing Body 20.07.2016 9.14</a>	None	None	Governing Body	2,3,4	
				9	CCG Complaints Process/policies	Director of Quality	Receipt of paper to Governing Body on complaints	Annual	Annual Complaints report 9.8	20.07.2017	<a href="#">Governing Body 20.07.2016 9.8</a>	None	None	Governing Body	2,3,4	
				11	CCG Engagement Events	Director of Engagement and Development	Receipt of paper on Strategy Refresh to Governing Body meeting informed by engagement event feedback	Annual	These reports continue to be reviewed by both the Governing Body (last 18.05.2016 and at the Performance meeting.	18.11.2016	<a href="#">Governing Body 18.11.2015 9.6</a>	None	None	Governing Body	2,3,4	
	3	NHS Dorset CCG Constitution	Secretary and General Counsel	Receipt of paper to Shadow Governing Body on CCG Constitution	n/a - one off assurance achieved	Date: 15.08.2012 CCG constitution approved by Shadow Governing Body, Area Team and Membership	n/a	NHS England hold all legacy PCT documents and minutes.	None	None	Governing Body	2,3,4				

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			14	NHS Dorset CCG Constitution	Secretary and General Counsel	Receipt of paper to Governing Body on NHS Constitution	n/a - one off assurance	Date: 18.03.2015 Governing Body paper 9.8 Revised	n/a	<a href="#">Governing Body 18.03.2015</a>	None	None.	Governing Body	2,3,4		
<b>Operational/Management Assurance</b>																
			2	NHS Constitution Assurance	Director of Quality	Receipt of update paper to Governing Body meeting (previously to Quality Group) on NHS Constitution.	Quarterly	Date: 17.06.2016 Paper 4.14 Enc 2	16.11.2016	Evidence held by Corporate Office	None	September's report deferred to next Quality Group Meeting on 02.12.2016 and also to be presented to Governing Body meeting on 16.11.16	Quality Group	2,3,4		
<b>Strategic Principle 2: Preventing Ill Health and Reducing Inequalities</b>																
2.1	Failure to achieve strategic and operational outcomes	Chief Officer	<b>External assurance</b>												2 Risks on CRR as at 28.10.2016. See CRR report. CDG1.2 Clinical risk associated with increased, and unexpected, number of diabetic patients undergoing major amputations in east Dorset. CDG2.4 Clinical risk associated with the east Dorset Tier 2 Paediatric Audiology service	
			4b	NHS England - South (Wessex) Assurance Review	Chief Officer	SEE No. 4b ABOVE	Quarterly	SEE ABOVE	30.11.2016	SEE ABOVE	None	SEE ABOVE	NHS England - South (Wessex)	1,3,4		
<b>Committee Assurance</b>																
			20	CCG Risk Register	Director of Quality	Receipt of paper on Risk Register by Governing Body NB/ Risk Register also goes to the Quality Group & Audit and Quality Committee	Governing Body meeting	21.09.2016 meeting (Part 2; Paper 20)	18.11.2016	Evidence held by Corporate Office	None	None	Governing Body	1,3,4		
			22	CCG Governing Body Assurance Framework	Director of Quality	Receipt of paper on Governing Body Assurance Framework by Governing Body meeting (Part 1)	Every Governing Body meeting	Date: 20.07.2016 Assurance Framework 9.4 and Appendix 1	18.11.2016	<a href="#">Governing Body 21.09.2016 9.4</a>	None	None	Governing Body	1,3,4		
			24a	KPIs	Chief Financial Officer	CCG contracting processes	Every Governing Body meeting	Date: 21.09.2016 GB paper 9.2 Performance Report	18.11.2016	<a href="#">Governing Body 21.09.2016 9.2</a>	None	None	Governing Body	1,3,4		
			24b	Quality Indicators	Director of Quality	CCG contracting processes	Every Governing Body meeting	Date: 21.09.2016 GB paper 9.1 Quality Report	18.11.2016	<a href="#">Governing Body 21.09.2016 9.1</a>	None	None	Governing Body	1,3,4		
			27	Executive scrutiny	Chief Officer	Receipt of Quality, Performance and Reports to Governing Body meeting	Every Governing Body meeting	Date: 21.09.2016 GB paper 9.1 Quality Report and GB paper and 9.2 Performance Report	18.11.2016	<a href="#">Governing Body 21.09.2016 9.1 an</a>	None	None	Governing Body	1,3,4		
			G 32	Systems Resilience Group Work Programme	Director of Service Delivery	System Resilience Group update paper submitted to every Governing Body meeting	Every Governing Body meeting	Date: 21.09.2016 Systems Resilience Update 10.1	18.11.2016	<a href="#">Governing Body 21.09.2016 10.1</a>	None	None	Governing Body	1,3,4		
			4a	NHS England - South (Wessex) Assurance Review (also known as	Chief Officer	SEE No. 4a ABOVE	Quarterly	SEE ABOVE	18.11.2016	SEE ABOVE	None	None	Governing Body	1,3,4		
			23	Health and Well-being Boards Work Programme	Chief Officer	Evidence of partnership working relationships in place reported through Chief Officers report to Governing Body	Quarterly	Date: 21.09.2016 GB paper 7 Chief Officer's update	18.11.2016	<a href="#">Governing Body 21.09.2016</a>	None	None	Governing Body	3		
			1	NHS Constitution Assurance	Director of Quality	SEE No. 1 ABOVE	Annual	SEE ABOVE	18.11.2016	SEE ABOVE	None	None	Governing Body	1,3,4		
			15	Clinical Commissioning Improvement Plan	Director of Service Delivery	Receipt of paper to Governing Body on Clinical Commissioning Improvement Plan (CCIP). NOW DELEGATED TO Primary Care Commissioning Committee	Annual	Date: 01.06.2016 Clinical Commissioning Local Improvement Plan and Appendix 1	01.06.2017	<a href="#">Primary Care Commissioning Committee 01.06.2016 7.2</a>	None	None.	Primary Care Commissioning Committee	1,2,4		
			71	Audit and Quality Terms of Reference	Secretary and General Counsel	Approval of Audit and Quality Terms of Reference by Governing Body	Annual	Date: 16.03.2016 GB paper 9.5 Appendix 2	16.03.2017	<a href="#">Governing Body 16.03.2016 9.5 Appendix 2</a>	None	None	Governing Body	1,3,4		
			77	Primary Care Commissioning Committee	Director of Service Delivery	Approval of PCCC Terms of Reference by Governing Body	Annual	Date: 16.03.2016 GB Paper 9.5 Appendix 1	16.03.2017	<a href="#">Governing Body 16.03.2016 9.5 Appendix 1</a>	None	None	Governing Body	1,3,4		
			17	Clinical Commissioning Committee (CCC) Terms of Reference	Secretary and General Counsel	Approval of CCC Terms of Reference by Governing Body	Annual	Date: 20.09.2016 Governing Body - Revised Governance arrangements 9.5	20.09.2017	<a href="#">Governing Body 20.09.2016</a>	None	None	Governing Body	1,3,4		
			25	Financial envelope agreed by Governing Body	Chief Financial Officer	Opening budget and budget reports received	Annual	Date: 16.03.2016 GB paper 20 - Opening budget and budget reports	16.03.2017	Evidence held by Corporate Office	None	None	Governing Body	1,3,4		
			26	Report on Commissioning Support Services KPI	Director of Engagement and Development	Receipt by Governing Body of a paper detailing Commissioning Support Services KPIs NB/ Relates to failure of in-house support)	Annual	Date: 15.07.2015 GB Paper 9.12 Commissioning Support Services Annual Report	20.07.2017	<a href="#">Governing Body 20.07.2016 paper 9.12</a>	None	None	Governing Body	1,3,4		
			5	CCG 5 year Strategy submitted to	Director of	SEE No. 5 ABOVE	As required	SEE ABOVE	16.11.2016	SEE ABOVE	None	None	Governing Body	1,3,4		

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			6	CCG 2 year Delivery Plan	Director of	SEE No. 6 ABOVE	Annual refresh	SEE ABOVE	20.07.2017	SEE ABOVE	None	None	Governing Body	1,3,4					
			3	NHS Dorset CCG Constitution	Secretary and General	SEE No. 3 ABOVE	n/a - one off	SEE ABOVE	n/a	SEE ABOVE	None	None	Governing Body	1,3,4					
			14	NHS Dorset CCG Constitution	Secretary and General Counsel	SEE No. 14 ABOVE	n/a - one off assurance	SEE ABOVE	n/a	SEE ABOVE	None	None.	Governing Body	2,3,4					
			16	Governing Body Clinical Membership and leadership	Chief Officer	Confirmation of Governing Body Terms of Reference	n/a - one off assurance achieved	Approved by Shadow CCG prior to CCG commencing in April 2013	n/a	n/a	None	None	Membership	1,3,4					
			19	CCG Risk Register	Director of Quality	Receipt of paper on Risk Register by Audit and Quality Committee (also to Quality Group)	Quarterly	Audit and Quality Committee paper - Risk Register plus appendices	08.02.2017	Evidence held by Corporate Office	None	None	Audit and Quality Committee	1,3,4					
			21	CCG Governing Body Assurance Framework	Director of Quality	Receipt of paper on Governing Body Assurance Framework by Audit and Quality Committee	Quarterly	Audit and Quality Committee paper Assurance Framework and appendices	08.02.2017	Evidence held by Corporate Office	None	None	Audit and Quality Committee	1,3,4					
			28	Executive scrutiny	Chief Officer	Executive scrutiny of organisational Risk Register via Audit and Quality Committee	Quarterly	Audit and Quality Committee paper Risk Register	08.02.2017	Evidence held by Corporate Office	None	None	Audit and Quality Committee	1,3,4					
			30	Scrutiny by Audit and Quality Committee	Director of Quality	Receipt of report on Quality Group proceedings	Quarterly	Audit and Quality Committee paper Quality Group report	08.02.2017	Evidence held by Corporate Office	None	None	Audit and Quality Committee	1,3,4					
			AG	31	Executive scrutiny	Chief Officer	Receipt by Audit and Quality Committee of report on internal audit work undertaken during the year	Quarterly	Audit and Quality Committee papers	08.02.2017	Evidence held by Corporate Office	None	None	Audit and Quality Committee		1,3,4			
			29	Executive scrutiny	Chief Officer	Audit and Quality Committee overview and scrutiny	After each Audit and Quality meeting	Audit and Quality Committee	08.02.2017	Evidence held by Corporate Office	None	None	Audit and Quality Committee	1,3,4					
			G	18	Clinical Delivery Group (CDGs) Terms of Reference (formally CCP Terms of Reference)	Secretary and General Counsel	Approval of CDG Terms of Reference by Clinical Commissioning Committee	Annual	Terms of Reference approved at CCC meeting 15.06.2016. Item 9.5 and appendices (5)	15.06.2017	Evidence held by Corporate Office	None	None	Clinical Commissioning Committee		1,3,4			
			34	CCG Annual Report	Director of Engagement and Development	Publication of Annual Report	Annual	Publication of Annual Report onto CCG website 01.07.2016	01.07.2017	<a href="#">NHS Dorset CCG Annual Report</a>	None	None	Governing Body	1,3,4					
			35	Working arrangements with Healthwatch	Chief Officer	Evidence of partnership working relationships in place evident via attendance by Healthwatch at Joint Primary Care Commissioning Committee	Six monthly	Regular meetings are arranged between Healthwatch and Director of Communications and Engagement (bimonthly), and the Healthwatch CEO meets with the CCG Chief Officer and Chair when requested to do so. Healthwatch representatives regularly attend PCCC meetings.	07.12.2016	Evidence held by Corporate Office. Attendance confirmed by Healthwatch representative at PCCC 01.06.2016.	None	None	Governing Body	3					
			36	Public Sector Equality Duty	Director of Engagement and Development	Receipt of Equality Duty progress report	Annual	Governing Body 20.01.2016 Paper 9.5 and Appendix 1 Public Sector Equality Duty Annual Report 2015	10.02.2017	<a href="#">Governing Body 20.01.2016 9.5 and Appendix 1</a>	None	None	Governing Body	n/a					
			37	CCG Governance Structure	Secretary and General Counsel	Receipt of paper to Governing Body on Governance Documents and Changes to Delegated Authority	Annual	Date: 16.03.2016 GB paper 9.5 Annual Review of Governance and Appendices 1, 2 and 3	16.03.2017	<a href="#">Governing Body 16.03.2016 9.5</a>	None	None.	Governing Body	3					
			38	CCG Commissioning Support Structure	Chief Officer	Receipt of paper to Governing Body on Commissioning Support Services	Annual	Date: 20.07.2016 GB Paper 9.12 Commissioning Support Services Annual Report	20.07.2017	<a href="#">Governing Body 20.07.2016 9.12</a>	None	None	Governing Body	3					
			<b>Operational/Management Assurance</b>																
			33	Executive scrutiny	Chief Officer	Receipt of Quality, Performance and Risk papers to Directors Meeting	Performance meetings	Directors Performance meeting papers 18.10.2016	21.11.2016	Evidence held by Corporate Office	None	None	Directors Performance	1,3,4					
			2	NHS Constitution Assurance	Director of Quality	SEE No. 2 ABOVE	Quarterly	SEE ABOVE	16.11.2016	SEE ABOVE	FALSE	September's report deferred to next Quality Group Meeting on 02.12.2016 and also to be	Quality Group	1,3,4					
			2.2	Failure of a significant provider	Director of Transformation	<b>Committee Assurance</b>													
20	CCG Risk Register	Director of Quality	SEE No. 20 ABOVE	Governing Body meeting	SEE ABOVE	18.11.2016	SEE ABOVE	None	None	Governing Body	1,4								

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			22	CCG Governing Body Assurance Framework	Director of Quality	SEE No. 22 ABOVE	Every Governing Body	SEE ABOVE	18.11.2016	SEE ABOVE	None	None	Governing Body	1,4	
			24a	KPIs	Chief Financial Officer	SEE No. 24a ABOVE ABOVE	Every Governing Body	SEE ABOVE	18.11.2016	SEE ABOVE	None	None		1,3,4	
			24b	Quality Indicators	Director of Quality	SEE No. 24b ABOVE	Every Governing Body	SEE ABOVE	18.11.2016	SEE ABOVE	None	None	Governing Body	1,3,4	
G			32	Systems Resilience Group Work Programme	Director of Service Delivery	SEE No. 32 ABOVE	Every Governing Body	SEE ABOVE	18.11.2016	SEE ABOVE	None	None	Governing Body	1,3,4	
			39	Scrutiny of Audit and Quality Committee	Director of Quality	Receipt of papers of Audit and Quality Committee work received by Governing Body meeting	Every Governing Body meeting	Date: 21.09.2016 GB (Part 2) 26.2	18.11.2016	Evidence held by Corporate Office	None	None	Governing Body	1,3,4	
			41	Report to Governing Body on Quality	Director of Quality	Receipt of paper for Governing Body meeting on quality	Governing Body meeting	Date: 21.09.2016 GB paper 9.1 Quality report	18.11.2016	<a href="#">Governing Body 21.09.2016 9.1</a>	None	None	Governing Body	1,3,4	
			42	Monitoring by CQC and Monitor of Providers	Director of Quality	Receipt by Governing Body of a paper on Quality (including CQC and Monitor concerns re: Providers)	Every Governing Body meeting	Date: 21.09.2016 GB paper 9.1 Quality report	18.11.2016	<a href="#">Governing Body 21.09.2016 9.1</a>	None	None	Governing Body	1,3,4	
			25	Financial envelope agreed by Governing Body	Chief Financial Officer	SEE No. 25 ABOVE	Annual	SEE ABOVE	16.03.2017	SEE ABOVE	None	None	Governing Body	1,3,4	
			26	Report on Commissioning Support Services KPI	Director of Engagement and Chief Officer	SEE No. 26 ABOVE	Annual	SEE ABOVE	20.07.2017	SEE ABOVE	None	None	Governing Body	1,3,4	
			40	Executive scrutiny	Chief Officer	Receipt of paper to Governing Body on Internal Audit report	Annual	GB paper 4.5 Annual Internal Audit Report - 25.05.2016	25.05.2017	<a href="#">Governing Body 25.05.2016 4.5</a>	None	None	Governing Body	1,3,4	
			19	CCG Risk Register	Director of Quality	SEE No. 19 ABOVE	Quarterly	SEE ABOVE	08.02.2017	SEE ABOVE	None	None	Audit and Quality Committee	1,3,4	
			21	CCG Governing Body Assurance Framework	Director of Quality	SEE No. 21 ABOVE	Quarterly	SEE ABOVE	08.02.2017	SEE ABOVE	None	None	Audit and Quality Committee	1,4	
			30	Scrutiny by Audit and Quality Committee	Director of Quality	SEE No. 30 ABOVE	Quarterly	SEE ABOVE	08.02.2017	SEE ABOVE	None	None	Audit and Quality Committee	1,3,4	
AG			72	Contract Monitoring	Chief Officer	Receipt of Scorecard and exception reports against performance and quality indicators	Quarterly	Suite of papers to Contract Monitoring meetings	01.01.2017	Evidence held by Corporate Office	None	No new contract queries were issued during Q1 or Q2. Some remain open but are being managed contractually.	Audit and Quality Committee	1,3,4	
<b>Operational/Management Assurance</b>															
			33	Executive scrutiny	Chief Officer	SEE No. 33 ABOVE	Performance meetings	SEE ABOVE	21.11.2016	SEE ABOVE	None	None	Directors Performance	1,3,4	
<b>Strategic Principle 3: Ensuring Sustainable Healthcare Services</b>															
3.1	Failure to Implement Clinical Services Review	Director of Transformation	<b>External assurance</b>												26 Risks on CRR as at 28.10.2016 see CRR Report. CDG2.2. CDG3.2. CDG3.3. CDG3.5. CDG4.1 CDG4.2 D&T1. FIN21. O16. O26. O31. O35. O36. O37. PC9. PC11. PC12. Q2. Q22. Q32. Q36. RDD7. S1. S2. S3. S5.
			4b	NHS England - South (Wessex) Assurance Review	Chief Officer	SEE No. 4b ABOVE	Quarterly	SEE ABOVE	30.11.2016	SEE ABOVE	None	SEE ABOVE	NHS England - South (Wessex)	1,2,4	
<b>Committee Assurance</b>															
G			32	Systems Resilience Group Work Programme	Director of Service Delivery	SEE No. 32 ABOVE	Every Governing Body	SEE ABOVE	18.11.2016	SEE ABOVE	None	None	Governing Body	1,2,4	
			43	Stakeholder Engagement in Clinical Services Review	Director of Transformation	Included in Transformation Update (Dashboard) to Governing Body. Stakeholder engagement is reflected within 'public consultation' section of Dashboard	Every Governing Body meeting	Date: 21.09.2016 (Part 2 of meeting 21)	18.11.2016	Evidence held by Corporate Office; stakeholder engagement currently reported as 'green' on dashboard (indicating no issues)	None	None	Governing Body	1,2,4	
			44	Involvement of Dorset Provider organisations	Director of Transformation	CEOs update meeting held bi-monthly Chairs and Leaders meeting held bi-monthly	bi-Monthly	This is an update group rather than a group that feeds assurance to CCG committees/groups which is handled through other mechanisms. The purpose of this group is to ensure partner engagement is maintained.	19.10.2016	Evidence held by Corporate Office	None	None. There is a robust structured monitoring process for CSR.	None. Assurance via other mechanisms described in the GBAF.	1,2,4	
AG			45	Involvement of Dorset LA partners including Health and Wellbeing Boards, HOSCs, Patient Representative groups e.g. Healthwatch, media and MPs and partnership Boards	Director of Transformation	Evidence included in Transformation Update to Governing Body, by exception.	Every Governing Body meeting	Date: 21.09.2016 Transformation Update and Transformation Programme Dashboard	18.11.2016	Governing Body 21.09.2016 part 2 21	None	None.	Governing Body	1,2,4	

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			46	Involvement of Clinical Delivery Groups, CCC, GPs and Secondary Care Clinicians (via Clinical Reference Groups)	Director of Transformation	Included in Transformation Update to Governing Body via Transformation Programme Dashboard (CWG and CDG lines) and Clinical Delivery Group Priorities Overview (for CDG detail)	Every Governing Body meeting	Date: 21.09.2016 Agenda item 21 (Part 2 of meeting)	18.11.2016	Evidence held by Corporate Office	None	None. There is a set, structured monitoring process for CSR.	Governing Body	1,2,4	
			78	Involvement of Clinical Delivery Groups, CCC, GPs and Secondary Care Clinicians (via Clinical Reference Groups)	Director of Transformation	Included in Transformation Update to Clinical Commissioning Committee	Every CCC meeting	Transformation Update 9.10 and appendices (2) 19.10.2016	21.12.2016	Evidence held by Corporate Office	None	None. There is a set, structured monitoring process for CSR.	Clinical Commissioning Committee	1,2,4	
G			73	Involvement of Clinical Delivery Groups, CCC, GPs and Secondary Care Clinicians (via Clinical Reference Groups)	Director of Transformation	Included in Transformation Update to Director's performance meeting	Every Performance meeting (Directors)	Date: 18.10.2016 Transformation Update 6.1 and Appendices	21.11.2016	Evidence held by Corporate Office	None	None. There is a set, structured monitoring process for CSR.	Performance meeting (Directors)	1,2,4	
			47	Development of a CSR Engagement and Communication Plan	Director of Engagement and Development	Circulation of the CSR Engagement and Communication Plan	Bi-annual	Date: 19.09.2016 Included within Transformation Update	19.03.2017	Evidence held by Corporate Office	None	None.	Governing Body	1,2,4	
			48	Transformation Programme Plan	Director of Transformation	Transformation Programme Plan updates to Audit and Quality Committee for elements relating to value for money and patient benefit	Every Audit and Quality Committee	Audit and Quality Committee paper	08.02.2017	Evidence held by Corporate Office	None	None	Audit and Quality Committee	1,2,4	
G			74	Transformation Programme Plan	Director of Transformation	Transformation Programme Plan updates to Governing Body for elements relating to CDGs, milestones and progress against key workstreams	Every Governing Body meeting	Date: 21.09.2016 Paper 21 and Appendices	18.11.2016	Evidence held by Corporate Office	None	None	Governing Body	1,2,4	
			75	Transformation Programme Plan	Director of Transformation	Transformation Programme Plan updates to Director's Performance meeting for elements relating to CDGs, milestones and progress against key workstreams	Every Director's Performance meeting			Evidence held by Corporate Office	None	None	Directors meeting	1,2,4	
			76	Transformation Programme Plan	Director of Transformation	Transformation Programme Plan updates to CCC for elements relating to CDGs, milestones and progress against key workstreams	Every CCC meeting	Transformation Update 9.10 and appendices (2) 19.10.2016	21.12.2016	Evidence held by Corporate Office	None	None	Clinical Commissioning Committee	1,2,4	
			54	Adherence to Clinical Service Review implementation timetable	Director of Transformation	Receipt of paper to Governing Body meeting on Clinical Services Review/Transformation progress	Every Governing Body meeting	Date: 21.09.2016 Agenda item 21 (Part 2 of meeting)	18.11.2016	Evidence held by Corporate Office	None	None	Governing Body	1,2,4	
			4a	NHS England - South (Wessex) Assurance Review (also known as	Chief Officer	SEE No. 4a ABOVE	Quarterly	SEE ABOVE	18.11.2016	SEE ABOVE	None	None	Governing Body	1,3,4	
			1	NHS Constitution Assurance	Director of Quality	SEE No. 1 ABOVE	Annual	SEE ABOVE	18.11.2016	SEE ABOVE	None	None	Governing Body	1,2,4	
			25	Financial envelope agreed by Governing Body	Chief Financial Officer	SEE No. 25 ABOVE	Annual	SEE ABOVE	16.03.2017	SEE ABOVE	None	None	Governing Body	1,2,4	
			40	Executive scrutiny	Chief Officer	SEE No. 40 ABOVE	Annual	SEE ABOVE	25.05.2017	SEE ABOVE	None	None	Governing Body	1,2,4	
			3	NHS Dorset CCG Constitution	Secretary and General	SEE No. 3 ABOVE	n/a - one off	SEE ABOVE	n/a	SEE ABOVE	None	None	Governing Body	1,2,4	
			14	NHS Dorset CCG Constitution	Secretary and General Counsel	SEE No. 14 ABOVE	n/a - one off assurance	SEE ABOVE	n/a	SEE ABOVE	None	None.	Governing Body	2,3,4	
			30	Scrutiny by Audit and Quality Committee	Director of Quality	SEE No. 30 ABOVE	Quarterly	SEE ABOVE	08.02.2017	SEE ABOVE	None	None	Audit and Quality Committee	1,2,4	
			51	Executive scrutiny	Chief Officer	Executive scrutiny of organisational Risk Register via Audit and Quality Committee	Quarterly	Audit and Quality Committee paper - Risk Register and appendices	08.02.2017	Evidence held by Corporate Office	None	None	Audit and Quality Committee	1,2,4	
			52	Executive scrutiny	Chief Officer	Executive scrutiny of organisational Governing Body Assurance framework via Audit and Quality Committee	Quarterly	Governing Body Assurance Framework	08.02.2017	Evidence held by Corporate Office	None	None	Audit and Quality Committee	1,2,4	

GBAF ID	Risk Title	Risk Owner	No	Key Controls	Control Owner	Sources of Assurance	Assurance frequency	Positive Assurances Received	Next assurance due	Evidence (hyperlink)	Gaps in Controls	Gaps in Assurance Process	Monitoring Committee	Link to other Strategic Principles	Linked to each strategic principle on Corporate Risk Register			
			G 53	External Scrutiny from NHS England and external clinical experts for Clinical Services Review	Chief Officer	Included in Clinical Services Review Assurance processes	Quarterly	Clinical Senate: update 22.08.2016: As part of the submission to the OGCSCR NHS England has confirmed that they have received sufficient assurance of the four key tests, including the clinical element that is the responsibility of the senate. As a result there are no plans for seeking any further clinical senate external independent panel reviews, although the CCG will continue to work with the clinical senate and the strategic clinical networks as the plans proceed through to consultation, decision making business case and on to implementation. The level of assurance necessary post consultation following outcome of consultation is yet to be determined.	20.11.2016	Evidence held by CSR Assurance Lead	None	None.	Clinical Commissioning Committee	1,2,4				
			<b>Operational/Management Assurance</b>															
			33	Executive scrutiny	Chief Officer	SEE No. 33 ABOVE	Performance Meetings	SEE ABOVE	21.11.2016	SEE ABOVE	None	None	Performance Meeting (Directors)	1,2,4				
			G 50	Executive scrutiny	Chief Officer	Receipt by Directors of a paper detailing Commissioning Support Services KPIs.	no longer required.	Date: 16.02.2016 Performance meeting paper 5.4	30.04.2017	Evidence held by Corporate Office	Processes are in place to manage where KPIs are not achieved	None. As agreed at the Audit & Quality and Performance meeting 16.02.2016 this reporting process is no longer required.	Performance Meeting (Directors)	1,2,4				
			2	NHS Constitution Assurance	Director of Quality	SEE No. 2 ABOVE	Quarterly	SEE ABOVE	16.11.2016	SEE ABOVE	None	September's report deferred to next Quality Group Meeting on 07.12.2016 and also to be	Quality Group	1,2				
3.2	Failure to achieve the partnership targets for the Better Care Fund	Chief Officer	<b>External assurance</b>															
			4b	NHS England - South (Wessex) Assurance Review	Chief Officer	SEE No. 4b ABOVE	Quarterly	SEE ABOVE	30.11.2016	SEE ABOVE	None	SEE ABOVE	NHS England - South (Wessex)	1,2,4				
			AG 7	Better Care Fund targets	Joint Senior Finance and Performance Manager	Receipt of regular updates in relation to Better Care Fund targets. Regular review via the System Resilience Group	Quarterly	Inclusion in papers presented to the Audit and Quality Committee	08.02.2017	Evidence held by Corporate Office	Unknown	None	Audit and Quality Committee	1,3,4				
<b>Committee Assurance</b>																		
			G 56	System Leadership Team and the Joint Commissioning Boards.	Chief Officer	Report to governing Body on the Better Care Fund and System Leadership Team updates	Every Governing Body meeting	Date: 21.09.2016. Transformation update 22 and appendices.	18.11.2016	<a href="#">Governing Body 21.09.2016</a>	None	None	Governing Body	1,2,4				
			4a	NHS England - South (Wessex) Assurance Review (also known as	Chief Officer	SEE No. 4a ABOVE	Quarterly	SEE ABOVE	18.11.2016	SEE ABOVE	None	None	Governing Body	1,2,4				
			23	Health and Well-being Boards Work Programme	Chief Officer	SEE No. 23 ABOVE	Quarterly	SEE ABOVE	18.11.2016	SEE ABOVE	None	None	Governing Body	2				
			55a	Health Education Wessex partnership working plan	Director of Service Delivery	Attendance at Local Education Training Board (LETB) by GP Education Lead	Quarterly	CCGs participation in meetings (attendance confirmed at meeting on 28.06.2016)	10.10.2016	<a href="#">Minutes from LETB website</a>	None	None	Governing Body	1,2,4				
			55b	Health Education Wessex partnership working plan	Director of Service Delivery	Attendance at Local Workforce and Education Group by Workforce and/or Quality representatives	Quarterly	CCGs participation in regional meetings. CCG Professional Practice Lead and Head of Workforce attendance on 22.09.2016 confirmed.	22.12.2016	Evidence held locally within Quality Directorate	None	External agency assured	Governing Body	1,2,4				
			35	Working arrangements with Healthwatch	Chief Officer	SEE No. 35 ABOVE	Six monthly	SEE ABOVE	07.12.2016	SEE ABOVE	None	None	Governing Body	2				
			5	CCG 5 year Strategy submitted to	Director of	SEE No. 5 ABOVE	As required	SEE ABOVE	16.11.2016	SEE ABOVE	None	None	Governing Body	1,3,4				
			6	CCG 2 year Delivery Plan	Director of	SEE No. 6 ABOVE	Annual refresh	SEE ABOVE	20.07.2017	SEE ABOVE	None	None	Governing Body	1,2,4				
3.3	Loss of CCG Authorisation	Chief Officer	<b>External assurance</b>															
			4b	NHS England - South (Wessex) Assurance Review	Chief Officer	SEE No. 4b ABOVE	Quarterly	SEE ABOVE	30.11.2016	SEE ABOVE	None	SEE ABOVE	NHS England - South (Wessex)	1,2,4				
<b>Committee Assurance</b>																		
			20	CCG Risk Register	Director of Quality	SEE No. 20 ABOVE	Governing Body meeting	SEE ABOVE	18.11.2016	SEE ABOVE	None	None	Governing Body	1,4				
			22	CCG Governing Body Assurance Framework	Director of Quality	SEE No. 22 ABOVE	Every Governing Body	SEE ABOVE	18.11.2016	SEE ABOVE	None	None	Governing Body	1,4				
			4a	NHS England - South (Wessex) Assurance Review (also known as	Chief Officer	SEE No. 4a ABOVE	Quarterly	SEE ABOVE	18.11.2016	SEE ABOVE	None	None	Governing Body	1,2,4				

GBAF ID	Risk Title	Risk Owner	No	Key Controls	Control Owner	Sources of Assurance	Assurance frequency	Positive Assurances Received	Next assurance due	Evidence (hyperlink)	Gaps in Controls	Gaps in Assurance Process	Monitoring Committee	Link to other Strategic Principles	Linked to each strategic principle on Corporate Risk Register	
			1	NHS Constitution Assurance	Director of Quality	SEE No. 1 ABOVE	Annual	SEE ABOVE	18.11.2016	SEE ABOVE	None	None	Governing Body	1,2,4		
			58	Changes to Delegated Authority	Chief Financial Officer	Receipt of paper to Governing Body on Changes to Delegated Authority	Annual	Date: 16.03.2016 GB paper 9.5 16.03.2016 Annual Review of Governance and Appendices 1-3	16.03.2017	<a href="#">Governing Body 16.03.2016 9.5</a>	None	None	Governing Body	1,2,4		
			59	Compliance with CCG Governance Code	Secretary and General Counsel	Update paper to Governing Body on CCG Governance Code	n/a - one off assurance achieved	Date: 19.03.2014 GB paper 8.6 Compliance with CCG Governance Code - 19 March 2014	n/a	<a href="#">Governing Body 19.03.2014 8.6</a>	None	None	Governing Body	1,2,4		
			60	CCG Clinical Committees and Groups/ Governance Structure	Secretary and General Counsel	Receipt of paper to Governing Body on Annual Review of Governance Documents	Annual	Date: 16.03.2016 GB paper 9.5 Annual Review of Governance and Appendices 1-3	16.03.2017	<a href="#">Governing Body 16.03.2016 9.5</a>	None	None	Governing Body	1,2,4		
			G 62	Clinical Commissioning Committee (CCC) Work Programmes	Director of Service Delivery	Approval of CCC Work Programmes	Annual	15.06.2016 CCC paper 9.5 and appendices	15.06.2017	Evidence held by Corporate Office. Attendance confirmed by Healthwatch representative at JPCC	None	None	Clinical Commissioning Committee	1,2,4		
			64	Remuneration Committee Terms of Reference	Secretary and General Counsel	Update to Terms of Reference received by Governing Body	Annual	Governing Body meeting 21.09.2016 Item 2	21.09.2017	<a href="#">Governing Body 21.09.2016 2</a>	None	None	Governing Body	1,2,4		
			65	Internal audit plan and reports	Chief Financial Officer	Receipt of internal audit plan	Annual	Date: 25.05.2016 GB paper 4.5 Annual Internal Audit Report	25.05.2017	<a href="#">Governing Body 25.05.2016 4.5</a>	None	None	Governing Body	1,2,4		
			66	Standards of Business Conduct	Secretary and General Counsel	Receipt of paper to Shadow CCG Governing Body on Standards of Business Conduct	n/a - one off assurance achieved	Approved by Shadow CCG prior to CCG commencing in April 2013	n/a	n/a	None	None	Governing Body	1,2,4		
			19	CCG Risk Register	Director of Quality	SEE No. 19 ABOVE	Quarterly	SEE ABOVE	08.02.2017	SEE ABOVE	None	None	Audit and Quality Committee	1,2,4		
			21	CCG Governing Body Assurance Framework	Director of Quality	SEE No. 21 ABOVE	Quarterly	SEE ABOVE	08.02.2017	SEE ABOVE	None	None	Audit and Quality Committee	1,4		
			61	Annual Governance Statement	Director of Quality	Receipt of Audit and Quality paper on Annual Governance Statement	Annual	Paper received by Audit and Quality Committee 03.05.2016	03.05.2017	Evidence held by Corporate Office	None	None	Audit and Quality Committee	1,2,4		
<b>Operational/Management Assurance</b>																
			2	NHS Constitution Assurance	Director of Quality	SEE No. 2 ABOVE	Quarterly	SEE ABOVE	16.11.2016	SEE ABOVE	None	September's report deferred to next Quality Group Meeting on 02.12.2016 and also to be	Quality Group	1,2		
			57	Governing body overview and scrutiny	Chief Officer	Governing body terms of reference	n/a - one off assurance achieved	Approved by Shadow CCG prior to CCG commencing in April 2013	n/a	n/a	None	None	Membership	1,2,4		
<b>Strategic Principle 4: Enabling Care Closer to Home</b>																
4.1	Failure to work with partners	Chief Officer	<b>External assurance</b>													3 Risks on CRR as at 28.10.2016. See CRR report. CDG5.1. O32. PCB.
			4b	NHS England - South (Wessex) Assurance Review	Chief Officer	SEE No. 4b ABOVE	Quarterly	SEE ABOVE	30.11.2016	SEE ABOVE	None	SEE ABOVE	NHS England - South (Wessex)	1,2,3		
			67	Area Team - Specialist and Primary Care Commissioning contracts	Director of Service Delivery	Responsibility of NHS England for Assurance	n/a - one off assurance achieved	n/a	n/a	n/a	None	None	NHS England - South (Wessex)	1,2,3		
<b>Committee Assurance</b>																
			G 32	Systems Resilience Group Work Programme	Director of Service Delivery	SEE No. 32 ABOVE	Every Governing Body	SEE ABOVE	18.11.2016	SEE ABOVE	None	None	Governing Body	1,3,4		
			G 56	System Leadership Team and the Joint Commissioning Boards.	Chief Officer	SEE No. 56 ABOVE	Every Governing Body	SEE ABOVE	18.11.2016	SEE ABOVE	None	None	Governing Body	3		
			69a	Adults Safeguarding Board	Director of Quality	Receipt of update from Adult Safeguarding Board and Serious Case Reviews to Governing Body (as part of Quality Report)	Every Governing Body meeting	Date: 21.09.2016 GB paper 9.1 Quality report	18.11.2016	<a href="#">Governing Body 21.09.2016 9.1</a>	None	None	Governing Body	1,2,3		
			70a	Children's Safeguarding Board	Director of Quality	Receipt of update from Children's Safeguarding Board and Serious Case Reviews to Governing Body (as part of	Every Governing Body meeting	Date: 16.03.2016 GB paper 9.1 Quality report	16.03.2017	<a href="#">Governing Body 16.03.2016 9.1</a>	None	None	Governing Body	1,2,3		
			4a	NHS England - South (Wessex) Assurance Review (also known as	Chief Officer	SEE No. 4a ABOVE	Quarterly	SEE ABOVE	18.11.2016	SEE ABOVE	None	None	Governing Body	1,2,3		
			23	Health and Well-being Boards Work Programme	Chief Officer	SEE No. 23 ABOVE	Quarterly	SEE ABOVE	18.11.2016	SEE ABOVE	None	None	Governing Body	2		
			55a	Health Education Wessex partnership working plan	Director of Engagement and	SEE No. 55a ABOVE	Quarterly	SEE ABOVE	10.10.2016	SEE ABOVE	None	None	Governing Body	1,2,3		
			55b	Health Education Wessex partnership working plan	Director of Service Delivery	SEE No. 55b ABOVE	Quarterly	SEE ABOVE	22.12.2016	SEE ABOVE	None	External agency assured	Governing Body	1,2,4		

GBAF ID	Risk Title	Risk Owner	No	Key Controls	Control Owner	Sources of Assurance	Assurance frequency	Positive Assurances Received	Next assurance due	Evidence (hyperlink)	Gaps In Controls	Gaps in Assurance Process	Monitoring Committee	Link to other Strategic Principles	Linked to each strategic principle on Corporate Risk Register
			69b	Adults Safeguarding Board	Director of Quality	Receipt of update from Adult Safeguarding Nurse Specialist on all aspects of Adult Safeguarding to Governing Body	Six monthly	Date:18.05.2016 Governing Body paper 9.9	18.11.2016	<a href="#">Governing Body 18.05.2016 9.9</a>	None	None	Governing Body	1,2,3	
			70b	Children's Safeguarding Board	Director of Quality	Receipt of update from Designated Nurse on all aspects of Child Safeguarding to Governing Body	Six monthly	Date: 18.05.2016 Governing Body paper 9.10	18.11.2016	<a href="#">Governing Body 18.05.2016 9.10</a>	None	None	Governing Body	1,2,3	
			1	NHS Constitution Assurance	Director of Quality	SEE No. 1 ABOVE	Annual	SEE ABOVE	18.11.2016	SEE ABOVE	None	None	Governing Body	1,2,3	
			35	Working arrangements with Healthwatch	Chief Officer	SEE No. 35 ABOVE	Six monthly	SEE ABOVE	07.12.2016	SEE ABOVE	None	None	Governing Body	2	
			5	CCG 5 year Strategy submitted to	Director of	SEE No. 5 ABOVE	As required	SEE ABOVE	16.11.2016	SEE ABOVE	None	None	Governing Body	1,2,3	
			3	NHS Dorset CCG Constitution	Secretary and General	SEE No. 3 ABOVE	n/a - one off	SEE ABOVE	n/a	SEE ABOVE	None	None	Governing Body	1,2,3	
			14	NHS Dorset CCG Constitution	Secretary and General Counsel	SEE No. 14 ABOVE	n/a - one off assurance	SEE ABOVE	n/a	SEE ABOVE	None	None.	Governing Body	2,3,4	
			68	Clinical Senates	Director of Service Delivery	Evidence of partnership working	Biannually	The specific topics of the Clinical Senates feed into the relevant CDG (formally CCP) programmes. To date, reviews have been on vascular (fed into the former Cardio, Stroke, Renal and Diabetes CCP) and maternity (fed into the Maternity, Reproduction and Family Health CCP). The CDGs report accordingly through to the Clinical Commissioning Committee and onwards to the Governing Body if required. Informal meetings and contact with Senate Chair and Manager continue. The Operational Delivery Network (ODN) chairs have invited CSR representation at their next meeting for an update.	31.10.2016	Evidence held by Corporate Office	None	None	Clinical Commissioning Committee	3	
			12	360 stakeholder feedback - involvement in planning,	Director of Service Delivery, Director of	SEE No. 12 ABOVE	Annual	SEE ABOVE	20.07.2017	SEE ABOVE	None	None	Governing Body	1	
			<b>Operational/Managment Assurance</b>												
			2	NHS Constitution Assurance	Director of Quality	SEE No. 2 ABOVE	Quarterly	SEE ABOVE	16.11.2016	SEE ABOVE	None	September's report deferred to next Quality Group Meeting on 02.12.2016 and also to be presented to Governing Body meeting on 16.11.16	Quality Group	1,2	