

Risk Title	No	Key Controls	Control Owner	Sources of Assurance	Positive Assurances Received	Gaps In Controls	Gaps in Assurance Process
Failure to engage with and identify the needs of the population	External assurance						
	4b	NHS England - South (Wessex) Assurance Review (also known as Wessex Assurance checkpoint meeting)	Chief Officer	Evidence supplied to NHS England - South (Wessex) and attendance at Checkpoint meeting on a quarterly basis	Date: 19.04.2016 Letter to CCG Chief Officer following checkpoint meeting with Area Team	None	The revised NHS England Assurance process has commenced. Following the Assurance meeting on 21.09.2015 the CCG has all five domains assured as 'good'. A new framework is in place from April 2016.
	Committee Assurance						
	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	Date: 16.03.2016 GB paper 7 Chief Officers Update	None	None
	8	Engagement Plan updates	Director of Engagement and Development	Receipt of paper to Governing Body meeting on engagement	Date: 18.11.2015 GB Paper 9.6 and Appendix 1: Update report on Engagement and Communications	None	None;
	10	CCG Involvement Network	Director of Engagement and Development	Receipt of paper to Governing Body on Engagement	Date: 18.11.2015 GB Paper 9.6 and Appendix 1: Update report on Engagement and Communications	None	None
	12	360 stakeholder feedback - involvement in planning, prioritising and commissioning high quality care	Director of Service Delivery, Director of Engagement and Development	Stakeholder Survey Themes and Trends action plan.	Date: 15.07.2015 Governing Body meeting Paper 9.11	None	None; following assurance from the Head of Assurance and Planning, this assurance line has been changed to annual.

Risk Title	No	Key Controls	Control Owner	Sources of Assurance	Positive Assurances Received	Gaps In Controls	Gaps in Assurance Process
	13	Clinical Services Review	Director of Transformation	Transformational Coordination Group (TCG)	Appropriate updates to TCG - highlight reports from CDGs - Transformation Programme dashboard	None identified at present	None
	1	NHS Constitution Assurance	Director of Quality	Receipt of update paper to Governing Body on NHS Constitution	Date: 18.11.2015 GB paper 9.8 and Appendix 1: NHS Constitution Annual Report	None	None
	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	Date: 16.07.2014 GB Paper 7 Chief Officers Update	None	None
	6	CCG 2 year Delivery Plan submitted to NHS England	Director of Engagement and Development	Receipt of update to Governing Body meeting on submission of 2 year delivery plan to NHS England	Date: 15.07.2015 GB Paper 9.4 2 year Delivery Plan	None	None
	9	CCG Complaints Process/policies	Director of Quality	Receipt of paper to Governing Body on complaints	Date: 15.07.2015 Annual Complaints report 9.8	None	None
	11	CCG Engagement Events	Director of Engagement and Development	Receipt of paper on Strategy Refresh to Governing Body meeting informed by engagement event feedback	Date: 18.11.2015 GB Paper 9.6 and Appendix 1: Update report on Engagement and Communications	None	None
	3	NHS Dorset CCG Constitution	Secretary and General Counsel	Receipt of paper to Shadow Governing Body on CCG Constitution	Date: 15.08.2012 CCG constitution approved by Shadow Governing Body, Area Team and Membership	None	None
	14	NHS Dorset CCG Constitution	Secretary and General Counsel	Receipt of paper to Governing Body on NHS Constitution	Date: 18.03.2015 Governing Body paper 9.8 Revised Governance Arrangements	None	None; the NHS Constitution was revised to reflect the changes to co-commissioning from 01.04.2015
Group Assurance							
	2	NHS Constitution Assurance	Director of Quality	Receipt of update paper to Quality Group on NHS Constitution	Date: 18.03.2016 Paper 4.13 Enc BB	None	None

Risk Title	No	Key Controls	Control Owner	Sources of Assurance	Positive Assurances Received	Gaps In Controls	Gaps in Assurance Process
Failure to achieve strategic and operational outcomes	External assurance						
	4b	NHS England - South (Wessex) Assurance Review (also known as Wessex Assurance checkpoint meeting)	Chief Officer	Evidence supplied to NHS England - South (Wessex) and attendance at Checkpoint meeting on a quarterly basis	Date: 19.04.2016 Letter to CCG Chief Officer following checkpoint meeting with Area Team	None	The revised NHS England Assurance process has commenced. Following the Assurance meeting on 21.09.2015 the CCG has all five domains assured as 'good'. A new framework is in place from April 2016.
	Committee Assurance						
	20	CCG Risk Register	Director of Quality	Receipt of paper on Risk Register by Governing Body (Part 2; Paper 25) NB/ Risk Register also goes to the Quality Group & Audit and Quality Committee	Evidence of assurance confirmed via viewing of agenda for 16.03.2016 meeting	None	None
	22	CCG Governing Body Assurance Framework	Director of Quality	Receipt of paper on Governing Body Assurance Framework by Governing Body meeting (Part 1)	Date: 16.03.2016 Assurance Framework 9.4 and Appendix 1	None	None
	24a	KPIs	Chief Financial Officer	CCG contracting processes	Date: 16.03.2016 GB paper 9.2 Performance Report	None	None
	24b	Quality Indicators	Director of Quality	CCG contracting processes	Date: 16.03.2016 GB paper 9.1 Quality Report	None	None
	27	Executive scrutiny	Chief Officer	Receipt of Quality, Performance and Reports to Governing Body meeting	Date: 16.03.2016 GB paper 9.1 Quality Report and GB paper 9.2 Performance Report and GB paper 9.3 Finance Report	None	None
	32	Systems Resilience Group Work Programme	Director of Service Delivery	Receipt of updates regarding the Systems Resilience Group Work Programme as part of Chief Officers update	Date: 16.03.2016 Systems Resilience update 10.1	None	None

Risk Title	No	Key Controls	Control Owner	Sources of Assurance	Positive Assurances Received	Gaps In Controls	Gaps in Assurance Process
	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	Date: 16.03.2016 GB paper 7 Chief Officers Update	None	None
	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	Date: 16.03.2016 GB paper 7 Chief Officer's update	None	None
	1	NHS Constitution Assurance	Director of Quality	Receipt of update paper to Governing Body on NHS Constitution	Date: 18.11.2015 GB paper 9.8 and Appendix 1: NHS Constitution Annual Report	None	None
	15	Clinical Commissioning Improvement Plan	Director of Service Delivery	Receipt of paper to Governing Body on Clinical Commissioning Improvement Plan (CCIP)	Date: 20.05.2015 GB paper 9.6 Clinical Commissioning Local Improvement Plan and Appendix 1	None	None; the identified gap was closed following presentation of the CCIP at the Governing Body on 20.05.2015
	71	Audit and Quality Terms of Reference	Secretary and General Counsel	Approval of Audit and Quality Terms of Reference by Governing Body	Date: 16.03.2016 GB paper 9.5 Appendix 2	None	None
	77	Primary Care Commissioning Committee	Director of Service Delivery	Approval of PCCC Terms of Reference by Governing Body	Date: 16.03.2016 GB Paper 9.5 Appendix 1	None	None
	17	Clinical Commissioning Committee (CCC) Terms of Reference	Secretary and General Counsel	Approval of CCC Terms of Reference by Governing Body	Date: 16.09.2015 Governing Body - Revised Governance arrangements 9.6	None	None
	25	Financial envelope agreed by Governing Body	Chief Financial Officer	Opening budget and budget reports received	Date: 16.03.2016 GB paper 20 - Opening budget and budget reports	None	None
	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)	Date: 15.07.2015 GB Paper 9.10 Commissioning Support Services Annual Report	None	None

Risk Title	No	Key Controls	Control Owner	Sources of Assurance	Positive Assurances Received	Gaps In Controls	Gaps in Assurance Process
	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	Date: 16.07.2014 GB Paper 7 Chief Officers Update	None	None
	6	CCG 2 year Delivery Plan submitted to NHS England	Director of Engagement and Development	Receipt of update to Governing Body meeting on submission of 2 year delivery plan to NHS England	Date: 15.07.2015 GB Paper 9.4 2 year Delivery Plan	None	None
	3	NHS Dorset CCG Constitution	Secretary and General Counsel	Receipt of paper to Shadow Governing Body on CCG Constitution	Date: 15.08.2012 CCG constitution approved by Shadow Governing Body, Area Team and Membership	None	None
	14	NHS Dorset CCG Constitution	Secretary and General Counsel	Receipt of paper to Governing Body on NHS Constitution	Date: 18.03.2015 Governing Body paper 9.8 Revised Governance Arrangements	None	None; the NHS Constitution was revised to reflect the changes to co-commissioning from 01.04.2015
	16	Governing Body Clinical Membership and leadership	Chief Officer	Confirmation of Governing Body Terms of Reference	Approved by Shadow CCG prior to CCG commencing in April 2013	None	None
	19	CCG Risk Register	Director of Quality	Receipt of paper on Risk Register by Audit and Quality Committee NB/ Risk Register also goes to the Quality Group	Audit and Quality Committee paper Risk Register (6.1.3) 10.02.2016	None	None
	21	CCG Governing Body Assurance Framework	Director of Quality	Receipt of paper on Governing Body Assurance Framework by Audit and Quality Committee	Audit and Quality Committee paper 6.1.2 Assurance Framework - 10.02.2016	None	None
	28	Executive scrutiny	Chief Officer	Executive scrutiny of organisational Risk Register via Audit and Quality Committee	Audit and Quality Committee paper Risk Register (6.1.3) - 10.02.2016	None	None
	30	Scrutiny by Audit and Quality Committee	Director of Quality	Receipt of report on Quality Group Proceedings report	Date: 10.02.2016 Audit and Quality Committee paper 6.1.7 Quality Group report	None	None
	31	Executive scrutiny	Chief Officer	Receipt by Audit and Quality Committee of report on internal audit work undertaken during the year	Date: 10.02.2016 Audit and Quality Committee papers 9.1	None	Individual internal audits have highlighted gaps in assurance; action plans in place.

Risk Title	No	Key Controls	Control Owner	Sources of Assurance	Positive Assurances Received	Gaps In Controls	Gaps in Assurance Process
	29	Executive scrutiny	Chief Officer	Audit and Quality Committee overview and scrutiny	Date: 10.02.2016 Audit and Quality Committee	None	None
	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	Outstanding; to go to next CCC meeting on 20.04.2016	None	Terms of Reference to be approved at next CCC meeting on 15.06.2016.
	34	CCG Annual Report	Director of Engagement and Development	Publication of Annual Report	Publication of Annual Report onto CCG website 01.07.2015 Presented to AGM 01.07.2015 Date: 27.05.2015 Governing Body Special Meeting Paper 4.2ii	None	None
	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	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 JPCCC meetings.	None	None
	36	Public Sector Equality Duty	Director of Engagement and Development	Receipt of Equality Duty progress report	Governing Body 20.01.2016 Paper 9.5 and Appendix 1 Public Sector Equality Duty Annual Report 2015	None	None
	37	CCG Governance Structure	Secretary and General Counsel	Receipt of paper to Governing Body on Governance Documents and Changes to Delegated Authority	Date: 16.03.2016 GB paper 9.5 Annual Review of Governance and Appendices 1, 2 and 3	None	None.

Risk Title	No	Key Controls	Control Owner	Sources of Assurance	Positive Assurances Received	Gaps In Controls	Gaps in Assurance Process
	38	CCG Commissioning Support Structure	Chief Officer	Receipt of paper to Governing Body on Commissioning Support Services	Date: 15.07.2015 GB Paper 9.10 Commissioning Support Services Annual Report	None	None
	Group Assurance						
	33	Executive scrutiny	Chief Officer	Receipt of Quality, Performance and Risk papers to Directors Meeting	Directors meeting papers 19.04.2016	None	None
	2	NHS Constitution Assurance	Director of Quality	Receipt of update paper to Quality Group on NHS Constitution	Date: 18.03.2016 Paper 4.13 Enc BB	None	None
Failure of a significant provider	Committee Assurance						
	20	CCG Risk Register	Director of Quality	Receipt of paper on Risk Register by Governing Body (Part 2; Paper 25) NB/ Risk Register also goes to the Quality Group & Audit and Quality Committee	Evidence of assurance confirmed via viewing of agenda for 16.03.2016 meeting	None	None
	22	CCG Governing Body Assurance Framework	Director of Quality	Receipt of paper on Governing Body Assurance Framework by Governing Body meeting (Part 1)	Date: 16.03.2016 Assurance Framework 9.4 and Appendix 1	None	None
	24a	KPIs	Chief Financial Officer	CCG contracting processes	Date: 16.03.2016 GB paper 9.2 Performance Report	None	None
	24b	Quality Indicators	Director of Quality	CCG contracting processes	Date: 16.03.2016 GB paper 9.1 Quality Report	None	None
	32	Systems Resilience Group Work Programme	Director of Service Delivery	Receipt of updates regarding the Systems Resilience Group Work Programme as part of Chief Officers update	Date: 16.03.2016 Systems Resilience update 10.1	None	None
	39	Scrutiny of Audit and Quality Committee	Director of Quality	Receipt of papers of Audit and Quality Committee work received by Governing Body meeting	Date: 16.03.2016 GB (Part 2) 26.2	None	None
	41	Report to Governing Body on Quality	Director of Quality	Receipt of paper for Governing Body meeting on quality	Date: 16.03.2016 GB paper 9.1 Quality report	None	None

Risk Title	No	Key Controls	Control Owner	Sources of Assurance	Positive Assurances Received	Gaps In Controls	Gaps in Assurance Process
	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)	Date: 16.03.2016 GB paper 9.1 Quality report	None	None
	25	Financial envelope agreed by Governing Body	Chief Financial Officer	Opening budget and budget reports received	Date: 16.03.2016 GB paper 20 - Opening budget and budget reports	None	None
	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)	Date: 15.07.2015 GB Paper 9.10 Commissioning Support Services Annual Report	None	None
	40	Executive scrutiny	Chief Officer	Receipt of paper to Governing Body on Internal Audit report	GB paper 4.3 Annual Internal Audit Report - 27.05.2015	None	None
	19	CCG Risk Register	Director of Quality	Receipt of paper on Risk Register by Audit and Quality Committee NB/ Risk Register also goes to the Quality Group	Audit and Quality Committee paper Risk Register (6.1.3) 10.02.2016	None	None
	21	CCG Governing Body Assurance Framework	Director of Quality	Receipt of paper on Governing Body Assurance Framework by Audit and Quality Committee	Audit and Quality Committee paper 6.1.2 Assurance Framework - 10.02.2016	None	None
	30	Scrutiny by Audit and Quality Committee	Director of Quality	Receipt of report on Quality Group Proceedings report	Date: 10.02.2016 Audit and Quality Committee paper 6.1.7 Quality Group report	None	None
	72	Contract Monitoring	Chief Officer	Receipt of Scorecard and exception reports against performance and quality indicators	Suite of papers to Contract Monitoring meetings	None	In Q3 2015-16, four new contact queries have been issued by NHS Dorset CCG. None were issued in Q4 2015-16.
Group Assurance							

Risk Title	No	Key Controls	Control Owner	Sources of Assurance	Positive Assurances Received	Gaps In Controls	Gaps in Assurance Process	
	33	Executive scrutiny	Chief Officer	Receipt of Quality, Performance and Risk papers to Directors Meeting	Directors meeting papers 19.04.2016	None	None	
External assurance								
Failure to implement Clinical Services Review	4b	NHS England - South (Wessex) Assurance Review (also known as Wessex Assurance checkpoint meeting)	Chief Officer	Evidence supplied to NHS England - South (Wessex) and attendance at Checkpoint meeting on a quarterly basis	Date: 19.04.2016 Letter to CCG Chief Officer following checkpoint meeting with Area Team	None	The revised NHS England Assurance process has commenced. Following the Assurance meeting on 21.09.2015 the CCG has all five domains assured as 'good'. A new framework is in place from April 2016.	
	Committee Assurance							
	32	Systems Resilience Group Work Programme	Director of Service Delivery	Receipt of updates regarding the Systems Resilience Group Work Programme as part of Chief Officers update	Date: 16.03.2016 Systems Resilience update 10.1	None	None	
	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	Date: 16.03.2016 Transformation Update 22 (Part 2 of meeting)	None	None	
	44	Involvement of Dorset Provider organisations	Director of Transformation	CEOs update meeting held bi-monthly Chairs and Leaders meeting held 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.	None	None. There is a set, structured monitoring process for CSR.	

Risk Title	No	Key Controls	Control Owner	Sources of Assurance	Positive Assurances Received	Gaps In Controls	Gaps in Assurance Process
	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	Included in Transformation Update to Governing Body, by exception.	Programme Assurance Lead developing Transformation Programme Dashboard summary to ensure that this key control is reflected, from May 2016, in the Dashboard	None	Current gap identified. In development to address by next Governing Body meeting.
	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)	Date: 16.03.2016 Transformation Update 22 (Part 2 of meeting)	None	None. There is a set, structured monitoring process for CSR.
	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	Date: 17.02.2016 Transformation Update 9.1 and Appendices 1-6	None	None. There is a set, structured monitoring process for CSR.
	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	Date: 19.04.2016 Transformation Update and Appendices	None	None. There is a set, structured monitoring process for CSR.
	47	Development of a CSR Engagement and Communication Plan	Director of Engagement and Development	Circulation of the CSR Engagement and Communication Plan	Date: 16.03.2016 Included within Transformation Update (Part 2, 24) outlining the three stages of the consultation plan	None	None.

Risk Title	No	Key Controls	Control Owner	Sources of Assurance	Positive Assurances Received	Gaps In Controls	Gaps in Assurance Process
	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	Audit and Quality Committee paper 18 10.02.2016	None	None
	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	Date: 16.03.2016 Paper 24 and Appendices	None	None
	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		None	None
	76	Transformation Programme Plan	Director of Transformation	Transformation Programme Plan updates to CCC for elements relating to CDGs, milestones and progress against key workstreams	Clinical Commissioning Meeting paper 9.1 Transformation Update and Appendices 1-6	None	None
	54	Adherence to Clinical Service Review implementation timetable	Director of Transformation	Receipt of paper to Governing Body meeting on Clinical Services Review/Transformation progress	Date: 16.03.2016 Transformation Update 24 (Part 2 of meeting)	None	None
	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	Date: 16.03.2016 GB paper 7 Chief Officers Update	None	None
	1	NHS Constitution Assurance	Director of Quality	Receipt of update paper to Governing Body on NHS Constitution	Date: 18.11.2015 GB paper 9.8 and Appendix 1: NHS Constitution Annual Report	None	None

Risk Title	No	Key Controls	Control Owner	Sources of Assurance	Positive Assurances Received	Gaps In Controls	Gaps in Assurance Process
	25	Financial envelope agreed by Governing Body	Chief Financial Officer	Opening budget and budget reports received	Date: 16.03.2016 GB paper 20 - Opening budget and budget reports	None	None
	40	Executive scrutiny	Chief Officer	Receipt of paper to Governing Body on Internal Audit report	GB paper 4.3 Annual Internal Audit Report - 27.05.2015	None	None
	3	NHS Dorset CCG Constitution	Secretary and General Counsel	Receipt of paper to Shadow Governing Body on CCG Constitution	Date: 15.08.2012 CCG constitution approved by Shadow Governing Body, Area Team and Membership	None	None
	14	NHS Dorset CCG Constitution	Secretary and General Counsel	Receipt of paper to Governing Body on NHS Constitution	Date: 18.03.2015 Governing Body paper 9.8 Revised Governance Arrangements	None	None; the NHS Constitution was revised to reflect the changes to co-commissioning from 01.04.2015
	30	Scrutiny by Audit and Quality Committee	Director of Quality	Receipt of report on Quality Group Proceedings report	Date: 10.02.2016 Audit and Quality Committee paper 6.1.7 Quality Group report	None	None
	51	Executive scrutiny	Chief Officer	Executive scrutiny of organisational Risk Register via Audit and Quality Committee	Audit and Quality Committee paper 6.1.3 Risk Register - 10.02.2016	None	None
	52	Executive scrutiny	Chief Officer	Executive scrutiny of organisational Governing Body Assurance framework via Audit and Quality Committee	Date: 10.02.2016 Governing Body Assurance Framework (6.1.2)	None	None

Risk Title	No	Key Controls	Control Owner	Sources of Assurance	Positive Assurances Received	Gaps In Controls	Gaps in Assurance Process
	53	External Scrutiny from NHS England and external clinical experts for Clinical Services Review	Chief Officer	Included in Clinical Services Review Assurance processes	<p>Clinical Senate: The Clinical Senate Council will receive submissions on current progress on the CSR on 13.04.2016. This will cover a response to the 16 recommendations of the external review panel, and some more detail on proposed pathways of care.</p> <p>The Clinical Senate are currently re-engaging the external review panel from last year who will review the updated PCBC and the Senate will review their findings following the Governing body meeting where the CCG will decide on a preferred option.</p> <p>The Senate Council will then meet again on 25.05.2016 to provide final clinical assurance to the NHS England team prior to 08.06.2016.</p>	None	None.
Group Assurance							
	33	Executive scrutiny	Chief Officer	Receipt of Quality, Performance and Risk papers to Directors Meeting	Directors meeting papers 19.04.2016	None	None
	50	Executive scrutiny	Chief Officer	Receipt by Directors of a paper detailing Commissioning Support Services KPIs (before review by Governing Body)	Date: 16.02.2016 Performance meeting paper 5.4	Processes are in place to manage where KPIs are not achieved	None

Risk Title	No	Key Controls	Control Owner	Sources of Assurance	Positive Assurances Received	Gaps In Controls	Gaps in Assurance Process
	2	NHS Constitution Assurance	Director of Quality	Receipt of update paper to Quality Group on NHS Constitution	Date: 18.03.2016 Paper 4.13 Enc BB	None	None
Failure to implement Better Together agenda with Local Authority Partners	External assurance						
	4b	NHS England - South (Wessex) Assurance Review (also known as Wessex Assurance checkpoint meeting)	Chief Officer	Evidence supplied to NHS England - South (Wessex) and attendance at Checkpoint meeting on a quarterly basis	Date: 19.04.2016 Letter to CCG Chief Officer following checkpoint meeting with Area Team	None	The revised NHS England Assurance process has commenced. Following the Assurance meeting on 21.09.2015 the CCG has all five domains assured as 'good'. A new framework is in place from April 2016.
	7	Better Care Fund targets	Joint Senior Finance and Performance Manager	Receipt of update (within Corporate Risk Register paper) in relation to the non-achievement of Better Care Fund targets.	None; new line of assurance added 01.04.2016 for July 2016 Audit and Quality meeting	Unknown	Unknown; new line of assurance due to commence in July 2016
	Committee Assurance						
	56	Better Together Board Work Programme	Chief Officer	Receipt of update on Better Together work programme to Governing Body meeting	Date: 16.03.2016 Better Together update 10.2	None	None
	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	Date: 16.03.2016 GB paper 7 Chief Officers Update	None	None
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	Date: 16.03.2016 GB paper 7 Chief Officer's update	None	None	

Risk Title	No	Key Controls	Control Owner	Sources of Assurance	Positive Assurances Received	Gaps In Controls	Gaps in Assurance Process
Loss of CCG Authorization	55a	Health Education Wessex partnership working plan	Director of Service Delivery	Attendance at Local Education Training Board (LETB) by GP Education Lead	CCGs participation in meetings (attendance confirmed at meeting on 28.07.2015 and 27.10.2015. Next meeting 02.02.2016.	None	None
	55b	Health Education Wessex partnership working plan	Director of Service Delivery	Attendance at Local Workforce and Education Group by Workforce and/or Quality representatives	CCGs participation in meetings (CCG Professional Practice Lead attended meeting 01.02.2016)	None	External agency assured (next meeting expected in January 2016)
	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	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 JPCCC meetings.	None	None
	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	Date: 16.07.2014 GB Paper 7 Chief Officers Update	None	None
	6	CCG 2 year Delivery Plan submitted to NHS England	Director of Engagement and Development	Receipt of update to Governing Body meeting on submission of 2 year delivery plan to NHS England	Date: 15.07.2015 GB Paper 9.4 2 year Delivery Plan	None	None
External assurance							

Risk Title	No	Key Controls	Control Owner	Sources of Assurance	Positive Assurances Received	Gaps In Controls	Gaps in Assurance Process
Authorisation	4b	NHS England - South (Wessex) Assurance Review (also known as Wessex Assurance checkpoint meeting)	Chief Officer	Evidence supplied to NHS England - South (Wessex) and attendance at Checkpoint meeting on a quarterly basis	Date: 19.04.2016 Letter to CCG Chief Officer following checkpoint meeting with Area Team	None	The revised NHS England Assurance process has commenced. Following the Assurance meeting on 21.09.2015 the CCG has all five domains assured as 'good'. A new framework is in place from April 2016.
Committee Assurance							
	20	CCG Risk Register	Director of Quality	Receipt of paper on Risk Register by Governing Body (Part 2; Paper 25) NB/ Risk Register also goes to the Quality Group & Audit and Quality Committee	Evidence of assurance confirmed via viewing of agenda for 16.03.2016 meeting	None	None
	22	CCG Governing Body Assurance Framework	Director of Quality	Receipt of paper on Governing Body Assurance Framework by Governing Body meeting (Part 1)	Date: 16.03.2016 Assurance Framework 9.4 and Appendix 1	None	None
	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	Date: 16.03.2016 GB paper 7 Chief Officers Update	None	None
	1	NHS Constitution Assurance	Director of Quality	Receipt of update paper to Governing Body on NHS Constitution	Date: 18.11.2015 GB paper 9.8 and Appendix 1: NHS Constitution Annual Report	None	None
	58	Changes to Delegated Authority	Chief Financial Officer	Receipt of paper to Governing Body on Changes to Delegated Authority	Date: 16.03.2016 GB paper 9.5 16.03.2016 Annual Review of Governance and Appendices 1-3	None	None.
	59	Compliance with CCG Governance Code	Secretary and General Counsel	Update paper to Governing Body on CCG Governance Code	Date: 19.03.2014 GB paper 8.6 Compliance with CCG Governance Code - 19 March 2014	None	None

Risk Title	No	Key Controls	Control Owner	Sources of Assurance	Positive Assurances Received	Gaps In Controls	Gaps in Assurance Process
	60	CCG Clinical Committees and Groups/ Governance Structure	Secretary and General Counsel	Receipt of paper to Governing Body on Annual Review of Governance Documents	Date: 16.03.2016 GB paper 9.5 Annual Review of Governance and Appendices 1-3	None	None
	62	Clinical Commissioning Committee (CCC) Work Programmes	Director of Service Delivery	Approval of CCC Work Programmes	Date: 16.12.2015 CCC paper 9.1 CDG Priorities	None	Work programmes/priorities to be signed off at CCC on 15.06.2016
	64	Remuneration Committee Terms of Reference	Secretary and General Counsel	Update to Terms of Reference received by Governing Body	Governing Body meeting 16.09.2015 Item 9.6	None	None
	65	Internal audit plan and reports	Chief Financial Officer	Receipt of internal audit plan	Date: 27.05.2015 GB paper 4.3 Annual Internal Audit Report	None	None
	66	Standards of Business Conduct	Secretary and General Counsel	Receipt of paper to Shadow CCG Governing Body on Standards of Business Conduct	Approved by Shadow CCG prior to CCG commencing in April 2013	None	None
	19	CCG Risk Register	Director of Quality	Receipt of paper on Risk Register by Audit and Quality Committee NB/ Risk Register also goes to the Quality Group	Audit and Quality Committee paper Risk Register (6.1.3) 10.02.2016	None	None
	21	CCG Governing Body Assurance Framework	Director of Quality	Receipt of paper on Governing Body Assurance Framework by Audit and Quality Committee	Audit and Quality Committee paper 6.1.2 Assurance Framework - 10.02.2016	None	None
	61	Annual Governance Statement	Director of Quality	Receipt of Audit and Quality paper on Annual Governance Statement	Paper received by Audit and Quality Committee 08.04.2015, 13	None	None
Group Assurance							
	2	NHS Constitution Assurance	Director of Quality	Receipt of update paper to Quality Group on NHS Constitution	Date: 18.03.2016 Paper 4.13 Enc BB	None	None
	57	Governing body overview and scrutiny	Chief Officer	Governing body terms of reference	Approved by Shadow CCG prior to CCG commencing in April 2013	None	None

Risk Title	No	Key Controls	Control Owner	Sources of Assurance	Positive Assurances Received	Gaps In Controls	Gaps in Assurance Process
Failure to work with partners	External assurance						
	4b	NHS England - South (Wessex) Assurance Review (also known as Wessex Assurance checkpoint meeting)	Chief Officer	Evidence supplied to NHS England - South (Wessex) and attendance at Checkpoint meeting on a quarterly basis	Date: 19.04.2016 Letter to CCG Chief Officer following checkpoint meeting with Area Team	None	The revised NHS England Assurance process has commenced. Following the Assurance meeting on 21.09.2015 the CCG has all five domains assured as 'good'. A new framework is in place from April 2016.
	67	Area Team - Specialist and Primary Care Commissioning contracts	Director of Service Delivery	Responsibility of NHS England for Assurance	n/a	None	None
	Committee Assurance						
	32	Systems Resilience Group Work Programme	Director of Service Delivery	Receipt of updates regarding the Systems Resilience Group Work Programme as part of Chief Officers update	Date: 16.03.2016 Systems Resilience update 10.1	None	None
	56	Better Together Board Work Programme	Chief Officer	Receipt of update on Better Together work programme to Governing Body meeting	Date: 16.03.2016 Better Together update 10.2	None	None
	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 Paper)	Date: 16.03.2016 GB paper 9.1 Quality report	None	None
	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 Quality Paper)	Date: 16.03.2016 GB paper 9.1 Quality report	None	None
	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	Date: 16.03.2016 GB paper 7 Chief Officers Update	None	None

Risk Title	No	Key Controls	Control Owner	Sources of Assurance	Positive Assurances Received	Gaps In Controls	Gaps in Assurance Process
	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	Date: 16.03.2016 GB paper 7 Chief Officer's update	None	None
	55a	Health Education Wessex partnership working plan	Director of Engagement and Development	Attendance at Local Education Training Board (LETB) by GP Education Lead	CCGs participation in meetings (attendance confirmed at meeting on 28.07.2015 and 27.10.2015. Next meeting 02.02.2016.	None	None
	55b	Health Education Wessex partnership working plan	Director of Service Delivery	Attendance at Local Workforce and Education Group by Workforce and/or Quality representatives	CCGs participation in meetings (CCG Professional Practice Lead attended meeting 01.02.2016)	None	External agency assured (next meeting expected in January 2016)
	69b	Adults Safeguarding Board	Director of Quality	Receipt of update from Adult Safeguarding Nurse Specialist on all aspects of Adult Safeguarding to Governing Body	Date: 18.11.2015 Governing Body paper 9.9	None	None
	70b	Children's Safeguarding Board	Director of Quality	Receipt of update from Designated Nurse on all aspects of Child Safeguarding to Governing Body	Date: 18.11.2016 Governing Body paper 9.10	None	None
	1	NHS Constitution Assurance	Director of Quality	Receipt of update paper to Governing Body on NHS Constitution	Date: 18.11.2015 GB paper 9.8 and Appendix 1: NHS Constitution Annual Report	None	None

Risk Title	No	Key Controls	Control Owner	Sources of Assurance	Positive Assurances Received	Gaps In Controls	Gaps in Assurance Process
	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	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 JPCCC meetings.	None	None
	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	Date: 16.07.2014 GB Paper 7 Chief Officers Update	None	None
	3	NHS Dorset CCG Constitution	Secretary and General Counsel	Receipt of paper to Shadow Governing Body on CCG Constitution	Date: 15.08.2012 CCG constitution approved by Shadow Governing Body, Area Team and Membership	None	None
	14	NHS Dorset CCG Constitution	Secretary and General Counsel	Receipt of paper to Governing Body on NHS Constitution	Date: 18.03.2015 Governing Body paper 9.8 Revised Governance Arrangements	None	None; the NHS Constitution was revised to reflect the changes to co-commissioning from 01.04.2015

Risk Title	No	Key Controls	Control Owner	Sources of Assurance	Positive Assurances Received	Gaps In Controls	Gaps in Assurance Process
	68	Clinical Senates	Director of Service Delivery	Evidence of partnership working	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.	None	None
	12	360 stakeholder feedback - involvement in planning, prioritising and commissioning high quality care	Director of Service Delivery, Director of Engagement and Development	Stakeholder Survey Themes and Trends action plan.	Date: 15.07.2015 Governing Body meeting Paper 9.11	None	None; following assurance from the Head of Assurance and Planning, this assurance line has been changed to annual.
Group Assurance							
	2	NHS Constitution Assurance	Director of Quality	Receipt of update paper to Quality Group on NHS Constitution	Date: 18.03.2016 Paper 4.13 Enc BB	None	None