

Risk Title	No	Key Controls	Control Owner	Sources of Assurance	Positive Assurances Received	Gaps In Controls	Gaps in Assurance Process
<b>Strategic Principle 1: Designing Services Around Patients</b>							
Failure to engage with and identify the needs of the population	<b>External assurance</b>						
	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: 21.09.2015 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 four domains assured as 'good' and one domain that 'requires improvement' (Domain 2 - performance). The outcome of the Assurance meeting on 21.12.2015 is awaited.
	<b>Committee Assurance</b>						
	7	Annual Delivery Plan - Monitoring reports	Chief Financial Officer	Receipt of paper to Governing Body meeting on progress against Annual Delivery Plan	Date:18.11.2016 Strategic Delivery Plan (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: 18.11.2015 GB paper 7 Chief Officers Update	None	None; One domain 'Requires Improvement' Four domains are 'Good' - action plans in place.
	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	

Risk Title	No	Key Controls	Control Owner	Sources of Assurance	Positive Assurances Received	Gaps In Controls	Gaps in Assurance Process
	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
	13	Clinical Services Review	Director of Transformation	CSR Assurance Group CCC for Clinical Decision Making Clinical reference group Steering Group GB will have overarching responsibility for decision making	Extra-ordinary reporting due to timeframes involved and volume of workload	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

Risk Title	No	Key Controls	Control Owner	Sources of Assurance	Positive Assurances Received	Gaps In Controls	Gaps in Assurance Process
	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
<b>Group Assurance</b>							
	2	NHS Constitution Assurance	Director of Quality	Receipt of update paper to Quality Group on NHS Constitution	Date: 18.09.2015 Paper 4.13 Enc BB	None	None
<b>Strategic Principle 2: Preventing Ill Health and Reducing Inequalities</b>							
Failure to achieve strategic and operational outcomes	<b>External assurance</b>						
	4b	NHS England - South (Wessex) Assurance Review (also known as Wessex Assurance checkpoint meeting)	0	Evidence supplied to NHS England - South (Wessex) and attendance at Checkpoint meeting on a quarterly basis	Date: 21.09.2015 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 four domains assured as 'good' and one domain that 'requires improvement' (Domain 2 - performance). The outcome of the Assurance meeting on 21.12.2015 is awaited.
	<b>Committee Assurance</b>						

Risk Title	No	Key Controls	Control Owner	Sources of Assurance	Positive Assurances Received	Gaps In Controls	Gaps in Assurance Process
	20	CCG Risk Register	Director of Quality	Receipt of paper on Risk Register by Governing Body (Part 2) NB/ Risk Register also goes to the Quality Group & Audit and Quality Committee	Evidence of assurance confirmed via Corporate Office for 18.11.2015 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: 18.11.2015 Assurance Framework 9.5 and Appendix 1	None	None
	24a	KPIs	Chief Financial Officer	CCG contracting processes	Date:18.11.2015 GB paper 9.2 Performance Report	None	None
	24b	Quality Indicators	Director of Quality	CCG contracting processes	Date: 18.11.2015 GB paper 9.1 Quality Report	None	None
	27	Executive scrutiny	Chief Officer	Receipt of Quality, Performance and Reports to Governing Body meeting	Date: 18.11.2015 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: 18.11.2015 Systems Resilience update 10.1	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: 18.11.2015 GB paper 7 Chief Officers Update	None	None; One domain 'Requires Improvement' Four domains are 'Good' - action plans in place.
	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: 18.11.2015 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
	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

Risk Title	No	Key Controls	Control Owner	Sources of Assurance	Positive Assurances Received	Gaps In Controls	Gaps in Assurance Process
	71	Audit and Quality Terms of Reference	Secretary and General Counsel	Approval of Audit and Quality Terms of Reference by Governing Body	Date: 18.03.2015 GB paper 9.8 Appendix 3	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: 18.03.2015 GB paper 22 - 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
	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

Risk Title	No	Key Controls	Control Owner	Sources of Assurance	Positive Assurances Received	Gaps In Controls	Gaps in Assurance Process
	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 (6.1.1) 14.10.2015	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 6.2.2 Assurance Framework - 14.10.2015	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 (6.1.1) - 14.10.2015	None	None
	30	Scrutiny by Audit and Quality Committee	Director of Quality	Receipt of report on Quality Group Proceedings report	Date: 14.10.2015 Audit and Quality Committee paper 6.2.6 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: 14.10.2015 Audit and Quality Committee papers 10.1	None	Individual internal audits have highlighted gaps in assurance; action plans in place.
	29	Executive scrutiny	Chief Officer	Audit and Quality Committee overview and scrutiny	Date: 14.10.2015 Audit and Quality Committee	None	None

Risk Title	No	Key Controls	Control Owner	Sources of Assurance	Positive Assurances Received	Gaps In Controls	Gaps in Assurance Process
	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	Date: 17.12.2014 CCC Paper 8.2 CCP Annual Review of the CCC Terms of Reference	None	Following approval of the CDGs by CCC on 19.08.2015; the TOR are being developed. The draft TOR are being discussed at the inaugural meetings of the CDGs and will then be reviewed at Directors.
	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	Audit and Quality Committee Date: 11.02.2015 Paper 15 (and Appendix): Public Sector Equality Duties Report 2014-15	None	None



Risk Title	No	Key Controls	Control Owner	Sources of Assurance	Positive Assurances Received	Gaps In Controls	Gaps in Assurance Process
	37	CCG Governance Structure	Secretary and General Counsel	Receipt of paper to Governing Body on Governance Documents and Changes to Delegated Authority	Date: 18.03.2015 GB paper 9.8 Revised Governance Arrangements, Appendix 1, 2 and 3	None	None. Assurance has been received from the CCG Secretary and General Counsel that the Revised Governance arrangements paper (18.03.2015) covers this control.
	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
<b>Group Assurance</b>							
	33	Executive scrutiny	Chief Officer	Receipt of Quality, Performance and Risk papers to Directors Meeting	Directors meeting papers 15.12.2015	None	None
	2	NHS Constitution Assurance	Director of Quality	Receipt of update paper to Quality Group on NHS Constitution	Date: 18.09.2015 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 of a significant provider	<b>Committee Assurance</b>						
	20	CCG Risk Register	Director of Quality	Receipt of paper on Risk Register by Governing Body (Part 2) NB/ Risk Register also goes to the Quality Group & Audit and Quality Committee	Evidence of assurance confirmed via Corporate Office for 18.11.2015 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: 18.11.2015 Assurance Framework 9.5 and Appendix 1	None	None
	24a	KPIs	Chief Financial Officer	CCG contracting processes	Date:18.11.2015 GB paper 9.2 Performance Report	None	None
	24b	Quality Indicators	Director of Quality	CCG contracting processes	Date: 18.11.2015 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: 18.11.2015 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: 18.11.2015 GB (Part 2) 25.2	None	None
	41	Report to Governing Body on Quality	Director of Quality	Receipt of paper for Governing Body meeting on quality	Date: 18.11.2015 GB paper 9.1 Quality report	None	None
	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: 18.11.2015 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: 18.03.2015 GB paper 22 - Opening budget and budget reports	None	None	

Risk Title	No	Key Controls	Control Owner	Sources of Assurance	Positive Assurances Received	Gaps In Controls	Gaps in Assurance Process
	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 (6.1.1) 14.10.2015	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 6.2.2 Assurance Framework - 14.10.2015	None	None
	30	Scrutiny by Audit and Quality Committee	Director of Quality	Receipt of report on Quality Group Proceedings report	Date: 14.10.2015 Audit and Quality Committee paper 6.2.6 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 the last quarter (Q2), six new contact queries have been issued, four by co-ordinating commissioners on behalf of all commissioners of the services.

Risk Title	No	Key Controls	Control Owner	Sources of Assurance	Positive Assurances Received	Gaps In Controls	Gaps in Assurance Process
<b>Group Assurance</b>							
	33	Executive scrutiny	Chief Officer	Receipt of Quality, Performance and Risk papers to Directors Meeting	Directors meeting papers 15.12.2015	None	None
<b>Strategic Principle 3: Ensuring Sustainable Healthcare Services</b>							
Failure to implement Clinical Services Review	<b>External assurance</b>						
	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: 21.09.2015 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 four domains assured as 'good' and one domain that 'requires improvement' (Domain 2 - performance). The outcome of the Assurance meeting on 21.12.2015 is awaited.
	<b>Committee Assurance</b>						
	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: 18.11.2015 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
	43	Stakeholder Engagement in Clinical Services Review	Director of Transformation	Included in Clinical Services Review Specification to Governing Body	Date: 18.11.2015 Clinical Services Review Paper 22 (Part 2 of meeting)	None	None
	44	Involvement of Dorset Provider organisations	Director of Transformation	Included in Clinical Services Review Specification to Governing Body	Date: 18.11.2015 Clinical Services Review Paper 22 (Part 2 of meeting)	None	None. There is a set, structured monitoring process for CSR.
	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 Clinical Services Review Specification to Governing Body	Date: 18.11.2015 Clinical Services Review Paper 22 (Part 2 of meeting)	None	None. There is a set, structured monitoring process for CSR.
	46	Involvement of Clinical Reference Groups, CCC, GPs and secondary Care Clinicians	Director of Transformation	Included in Clinical Services Review Specification to Governing Body	Date: 18.11.2015 Clinical Services Review Paper 22 (Part 2 of meeting)	None	None. There is a set, structured monitoring process for CSR.
	47	Development of all inclusive CSR Communication Plan	Director of Transformation	Circulation of the all inclusive CSR Communication Plan	Date: 18.11.2015 Clinical Services Review Paper 22 (Part 2 of meeting)	None	None. The CSR plan has been finalised and circulated widely.
	48	CSR Project Plan	Director of Transformation	CSR Project Plan updates CSR Assurance Group and Receipt of paper to Governing Body meeting on Clinical Services Review progress	Date: 18.11.2015 Clinical Services Review Paper 22 (Part 2 of meeting)	None	None
	54	Adherence to Clinical Service Review implementation timetable	Director of Transformation	Receipt of paper to Governing Body meeting on Clinical Services Review progress	Date: 18.11.2015 Clinical Services Review Paper 22 (Part 2 of meeting)	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: 18.11.2015 GB paper 7 Chief Officers Update	None	None; One domain 'Requires Improvement' Four domains are 'Good' - action plans in place.
	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
	25	Financial envelope agreed by Governing Body	Chief Financial Officer	Opening budget and budget reports received	Date: 18.03.2015 GB paper 22 - 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: 14.10.2015 Audit and Quality Committee paper 6.2.6 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 6.1.1 Risk Register - 14.10.2015	None	None
	52	Executive scrutiny	Chief Officer	Executive scrutiny of organisational Governing Body Assurance framework via Audit and Quality Committee	Date: 14.10.2015 Governing Body Assurance Framework (6.2.2)	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>Update from CSR Assurance Lead:</p> <p><b>Clinical Senate:</b> Liaison with the clinical senate continues with informal meetings with the chair and senate manager to update on progress. The senate recommendations have been incorporated into the workplans of the CDGs and progress is being made.</p> <p><b>NHS England Assurance processes:</b> the next stage of preparation for NHS England Assurance, taking into account the completion of the senate recommendations is being mapped out.</p>	None	None

Risk Title	No	Key Controls	Control Owner	Sources of Assurance	Positive Assurances Received	Gaps In Controls	Gaps in Assurance Process
<b>Group Assurance</b>							
	33	Executive scrutiny	Chief Officer	Receipt of Quality, Performance and Risk papers to Directors Meeting	Directors meeting papers 15.12.2015	None	None
	50	Executive scrutiny	Chief Officer	Receipt by Directors of a paper detailing Commissioning Support Services KPIs (before review by Governing Body)	Date: 23.11.2015 Performance meeting paper 5.2	Processes are in place to manage where KPIs are not achieved	None
	2	NHS Constitution Assurance	Director of Quality	Receipt of update paper to Quality Group on NHS Constitution	Date: 18.09.2015 Paper 4.13 Enc BB	None	None
<b>External assurance</b>							
Failure to implement Better Together agenda with Local Authority Partners	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: 21.09.2015 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 four domains assured as 'good' and one domain that 'requires improvement' (Domain 2 - performance). The outcome of the Assurance meeting on 21.12.2015 is awaited.
<b>Committee Assurance</b>							



Risk Title	No	Key Controls	Control Owner	Sources of Assurance	Positive Assurances Received	Gaps In Controls	Gaps in Assurance Process
	56	Better Together Board Work Programme	Chief Officer	Receipt of update on Better Together work programme to Governing Body meeting as part of Chief Officers update	Date: 18.11.2015 Better Together update 10.2	None	None
	7	Annual Delivery Plan - Monitoring reports	Chief Financial Officer	Receipt of paper to Governing Body meeting on progress against Annual Delivery Plan	Date:18.11.2016 Strategic Delivery Plan (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: 18.11.2015 GB paper 7 Chief Officers Update	None	None; One domain 'Requires Improvement' Four domains are 'Good' - action plans in place.
	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: 18.11.2015 GB paper 7 Chief Officer's update	None	None
	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; awaiting conformation of attendance at meeting on 27.10.2015)	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 24.09.2015)	None	External agency assured (next meeting expected in January 2016)

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
	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
Loss of CCG Authorisation	<b>External assurance</b>						
	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: 21.09.2015 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 four domains assured as 'good' and one domain that 'requires improvement' (Domain 2 - performance). The outcome of the Assurance meeting on 21.12.2015 is awaited.
<b>Committee Assurance</b>							

Risk Title	No	Key Controls	Control Owner	Sources of Assurance	Positive Assurances Received	Gaps In Controls	Gaps in Assurance Process
	20	CCG Risk Register	Director of Quality	Receipt of paper on Risk Register by Governing Body (Part 2) NB/ Risk Register also goes to the Quality Group & Audit and Quality Committee	Evidence of assurance confirmed via Corporate Office for 18.11.2015 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: 18.11.2015 Assurance Framework 9.5 and Appendix 1	None	None
	7	Annual Delivery Plan - Monitoring reports	Chief Financial Officer	Receipt of paper to Governing Body meeting on progress against Annual Delivery Plan	Date:18.11.2016 Strategic Delivery Plan (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: 18.11.2015 GB paper 7 Chief Officers Update	None	None; One domain 'Requires Improvement' Four domains are 'Good' - action plans in place.
	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: 18.03.2015 GB paper 9.8 Revised Governance Arrangements, Appendix 1, 2 and 3	None	None. Assurance has been received from the CCG Secretary and General Counsel that the Revised Governance arrangements paper (18.03.2015) covers this control and there have been no changes to delegated authority since the last report.
	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: 18.03.2015 GB paper 9.8 Revised Governance Arrangements, Appendix 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
	62	Clinical Commissioning Committee (CCC) Work Programmes	Director of Service Delivery	Approval of CCC Work Programmes	Date: 15.01.2014 GB paper 9.8 Clinical Commissioning Committee (CCC) Terms of Reference	None	CCPs were paused due to CSR. Clinical Delivery Groups (CDGs) have now been approved by Clinical Commissioning Committee. The CDG Work Programmes are in draft and will be agreed before the end of December 2015.
	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 (6.1.1) 14.10.2015	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 6.2.2 Assurance Framework 14.10.2015	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
<b>Group Assurance</b>							

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: 18.09.2015 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

**Strategic Principle 4: Enabling Care Closer to Home**

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: 21.09.2015 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 four domains assured as 'good' and one domain that 'requires improvement' (Domain 2 - performance). The outcome of the Assurance meeting on 21.12.2015 is awaited.	
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: 18.11.2015 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
	56	Better Together Board Work Programme	Chief Officer	Receipt of update on Better Together work programme to Governing Body meeting as part of Chief Officers update	Date: 18.11.2015 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: 18.11.2015 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: 18.11.2015 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: 18.11.2015 GB paper 7 Chief Officers Update	None	None; One domain 'Requires Improvement' Four domains are 'Good' - action plans in place.
	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: 18.11.2015 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; awaiting conformation of attendance at meeting on 27.10.2015)	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 24.09.2015)	None	External agency assured (next meeting expected in January 2016)

Risk Title	No	Key Controls	Control Owner	Sources of Assurance	Positive Assurances Received	Gaps In Controls	Gaps in Assurance Process
	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: 18.11.2015 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
	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



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
	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
<b>Group Assurance</b>							

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: 18.09.2015 Paper 4.13 Enc BB	None	None