

Risk Title	No	Key Controls	Control Owner	Sources of Assurance	Positive Assurances Received	Evidence (hyperlink)	Gaps in Assurance Process
Failure to engage with and identify the needs of the population	1	NHS Constitution Assurance	Director of Quality	Receipt of update paper to Governing Body on NHS Constitution	Date: 19.11.2014 GB paper 10.11 Update on the NHS Constitution	Governing Body 19.11.2014 10.11	None
	2	NHS Constitution Assurance	Director of Quality	Receipt of update paper to Quality Group on NHS Constitution	Date: 16.01.2014 Paper 4.14 Enc AA	Evidence held by Corporate Office	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	NHS England hold all legacy PCT documents and minutes.	None
	4a	NHS England (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: 21.01.2015 GB paper 8 Chief Officers Update	Governing Body 21.01.2015 8	None
	4b	NHS England (Wessex) Assurance Review (also known as Wessex Assurance checkpoint meeting)	Chief Officer	Evidence supplied to NHS England (Wessex) and attendance at Checkpoint meeting on a quarterly basis	Date: 28.11.2014 Checkpoint meeting with Area Team	Assured by NHS England (Wessex)	One domain 'Assured with Support', Five domains fully assured - action plan in place.
	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	Governing Body 16.07.2014 7	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: 16.07.2014 GB Paper 9.4 2 year Delivery Plan	Governing Body 16.07.2014 9.4	None
	7	Annual Delivery Plan - Monitoring reports	Chief Financial Officer	Receipt of paper to Governing Body meeting on progress against Annual Delivery Plan	Date: 21.01.2015 Two year delivery plan (10.4) and Appendices 1 & 2	Governing Body 21.01.2015 10.4	None
8	Engagement Plan updates	Director of Engagement and Development	Receipt of paper to Governing Body meeting on engagement	Date: 17.09.2014 GB Paper 9.7 Engagement and Communications Framework, Appendix 1 and Appendix 2	Governing Body 17.09.2014 9.7	None	

Risk Title	No	Key Controls	Control Owner	Sources of Assurance	Positive Assurances Received	Evidence (hyperlink)	Gaps in Assurance Process
	9	CCG Complaints Process/policies	Director of Quality	Receipt of paper to Governing Body on complaints	Date: Sept 2012 CCG complaints policy - approved by PCT Board Date: 16.07.2014 Annual Complaints report to Board	Governing Body 16.07.2014	None
	10	CCG Involvement Network	Director of Engagement and Development	Receipt of paper to Governing Body on Engagement	Date: 17.09.2014 GB Paper 9.7 Engagement and Communications Framework, Appendix 1 and Appendix 2	Governing Body 17.09.2014 9.7	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: 19.03.2014 GB Paper 8.1 Strategy Refresh	Governing Body 19.03.2014 8.1	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: 01.10.2014 Shadsow Joint Primary Care Committee meeting (Paper 8.3; Appendix 1)	Evidence held by Corporate Office	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 resp for decision making	Extra-ordinary reporting due to timeframes involved and volume of workload Date: 21.01.2015 GB Paper 11.2 & Appendix 1	Governing Body 21.01.2015 11.2	None. CSR Assurance Group (GPs and CSR team) to meet fortnightly from w/c 10.11.2014. CSR Assurance Group will report directly to Governing Body, but will be a decision making entity due to fast moving nature of project.
Failure to achieve strategic and operational outcomes	1	NHS Constitution Assurance	Director of Quality	Receipt of update paper to Governing Body on NHS Constitution	Date: 19.11.2014 GB paper 10.11 Update on the NHS Constitution	Governing Body 19.11.2014 10.11	None
	2	NHS Constitution Assurance	Director of Quality	Receipt of update paper to Quality Group on NHS Constitution	Date: 16.01.2014 Paper 4.14 Enc AA	Evidence held by Corporate Office	None

Risk Title	No	Key Controls	Control Owner	Sources of Assurance	Positive Assurances Received	Evidence (hyperlink)	Gaps in Assurance Process
	4a	NHS England (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: 21.01.2015 GB paper 8 Chief Officers Update	Governing Body 21.01.2015 8	None
	4b	NHS England (Wessex) Assurance Review (also known as Wessex Assurance checkpoint meeting)	Chief Officer	Evidence supplied to NHS England (Wessex) and attendance at Checkpoint meeting on a quarterly basis	Date: 28.11.2014 Checkpoint meeting with Area Team	Assured by NHS England (Wessex)	One domain 'Assured with Support', Five domains fully assured - action plan in place.
	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	Governing Body 16.07.2014 7	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: 16.07.2014 GB Paper 9.4 2 year Delivery Plan	Governing Body 16.07.2014 9.4	None
	14	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	NHS England hold all legacy PCT documents and minutes.	None
	15	Clinical Commissioning Improvement Plan	Director of Service Delivery	Receipt of paper to Governing Body on Clinical Commissioning Improvement Plan (CCIP)	Date: 21.05.2014 GB paper 9.6 Clinical Commissioning Local Improvement Plan	Governing Body 21.05.2014 9.6	In December 2015, following identification of the gap in assurance, the CCI Plan was added to the corporate office annual planner to ensure that the plan is discussed at the GB meeting (part 1) twice a year. The CCIP has been added to the Joint Primary Care Committee on 01.04.2015 and GB agenda (part 1) for 20.05.2015 as there is no update to report prior to this date.
	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	n/a	None

Risk Title	No	Key Controls	Control Owner	Sources of Assurance	Positive Assurances Received	Evidence (hyperlink)	Gaps in Assurance Process
	17	Clinical Commissioning Committee (CCC) Terms of Reference	Secretary and General Counsel	Approval of CCC Terms of Reference by Governing Body	Date: 16.07.2015 GB paper 9.5 Revised Governance Structure	Governing Body 16.07.2014 9.5	None
	18	Clinical Commissioning Programmes (CCP) Terms of Reference	Secretary and General Counsel	Approval of CCP Terms of Reference by Clinical Commissioning Committee	Date: 17.12.2014 CCC Paper 8.2 CCP Annual Review of the CCC Terms of Reference	Evidence held by Corporate Office	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 (6.3) 11.02.2015	Evidence held by Corporate Office	None
	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 21.01.2013 meeting	Evidence held by Corporate Office	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 Assurance Framework - 11.02.2015	Evidence held by Corporate Office	None
	22	CCG Governing Body Assurance Framework	Director of Quality	Receipt of paper on Governing Body Assurance Framework by Governing Body meeting (Part 2)	Date: 21.01.2015 Assurance Framework 10.5 and Appendix 1	Governing Body 21.01.2015 10.5	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: 19.11.2014 GB paper 8 Chief Officer's update	Governing Body 19.11.2014 8	None
	24a	KPIs	Chief Financial Officer	CCG contracting processes	Date: 21.01.2015 GB paper 10.2 Performance Report	Governing Body 21.01.2015 10.2	None
	24b	Quality Indicators	Director of Quality	CCG contracting processes	Date: 21.01.2015 GB paper 10.1 Quality Report	Governing Body 21.01.2015 10.1	None
	25	Financial envelope agreed by Governing Body	Chief Financial Officer	Opening budget and budget reports received	Date: 19.03.2014 GB paper 8.4 Opening Budget - 19 March 2014	Governing Body 19.03.2014 8.4	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: 16.07.2014 GB Paper 9.7 Commissioning Support Services Annual Report	Governing Body 16.07.2014 9.7	None

Risk Title	No	Key Controls	Control Owner	Sources of Assurance	Positive Assurances Received	Evidence (hyperlink)	Gaps in Assurance Process
	27	Executive scrutiny	Chief Officer	Receipt of Quality, Performance and Reports to Governing Body meeting	Date: 21.01.2015 GB paper 10.1 Quality Report and GB paper 10.2 Performance Report and GB paper 10.3 Finance Report	Governing Body 21.01.2015 10.1, 10.2 & 10.3	None
	28	Executive scrutiny	Chief Officer	Executive scrutiny of organisational Risk Register via Audit and Quality Committee	Audit and Quality Committee paper Risk Register (6.3) - 11.02.2015	Evidence held by Corporate Office	None
	29	Executive scrutiny	Chief Officer	Audit and Quality Committee overview and scrutiny	Date: 11.02.2015 Audit and Quality Committee	Evidence held by Corporate Office	None
	30	Scrutiny by Audit and Quality Committee	Director of Quality	Receipt of report on Quality Group Proceedings report	Date: 11.02.2015 Audit and Quality Committee paper 6.11 Quality Group report	Evidence held by Corporate Office	None
	31	Executive scrutiny	Chief Officer	Receipt by Audit and Quality Committee of report on internal audit work undertaken during the year	Date: 11.02.2015 Audit and Quality Committee papers 9.1	Evidence held by Corporate Office	Individual internal audits have highlighted gaps in assurance; action plans in place.
	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: 21.01.2015 Systems Resilience update	Governing Body 21.01.2015 11.1	None
	33	Executive scrutiny	Chief Officer	Receipt of Quality, Performance and Risk papers to Directors Meeting	Directors meeting papers - 09.02.2015	Evidence held by Corporate Office	None
	34	CCG Annual Report	Director of Engagement and Development	Publication of Annual Report	Publication of Annual Report	NHS Dorset CCG Annual Report	None
	35	Working arrangements with Healthwatch	Chief Officer	Evidence of partnership working relationships in place reported through Chief Officers report to Governing Body	Regular meetings are arranged with the CCG Chair, Chief Officer and Chief Executive of Healthwatch Dorset. The Chief Executive of Healthwatch is attended the GB meeting on 19/11/14 to discuss the Healthwatch Dorset Every One Matters report.	Evidence held by Corporate Office	None

Risk Title	No	Key Controls	Control Owner	Sources of Assurance	Positive Assurances Received	Evidence (hyperlink)	Gaps in Assurance Process
	36	Public Sector Equality Duty	Director of Engagement and Development	Receipt of Equality Duty progress report	Date: 11.02.2015 Paper 15 (and Appendix): Public Sector Equality Duties Report 2014-15	Evidence held by Corporate Office; report will be uploaded to CCG website	None.
	37	CCG Governance Structure	Secretary and General Counsel	Receipt of paper to Governing Body on Governance Documents and Changes to Delegated Authority	Date: 19.03.2014 GB paper 8.5 Annual Review of Governance Documents and 8.7 Approval of changes to Delegated Authority	Governing Body 19.03.2014 8.5	None
	38	CCG Commissioning Support Structure	Chief Officer	Receipt of paper to Governing Body on Commissioning Support Services	Date: 16.07.2014 GB Paper 9.7 Commissioning Support Services Annual Report	Governing Body 16.07.2014 9.7	None
Failure of a significant provider	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 (6.3) 11.02.2015	Evidence held by Corporate Office	None
	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 21.01.2013 meeting	Evidence held by Corporate Office	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 Assurance Framework - 11.02.2015	Evidence held by Corporate Office	None
	22	CCG Governing Body Assurance Framework	Director of Quality	Receipt of paper on Governing Body Assurance Framework by Governing Body meeting (Part 2)	Date: 21.01.2015 Assurance Framework 10.5 and Appendix 1	Governing Body 21.01.2015 10.5	None
	24a	KPIs	Chief Financial Officer	CCG contracting processes	Date:21.01.2015 GB paper 10.2 Performance Report	Governing Body 21.01.2015 10.2	None
	24b	Quality Indicators	Director of Quality	CCG contracting processes	Date: 21.01.2015 GB paper 10.1 Quality Report	Governing Body 21.01.2015 10.1	None
	25	Financial envelope agreed by Governing Body	Chief Financial Officer	Opening budget and budget reports received	Date: 19.03.2014 GB paper 8.4 Opening Budget - 19 March 2014	Governing Body 19.03.2014 8.4	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: 16.07.2014 GB Paper 9.7 Commissioning Support Services Annual Report	Governing Body 16.07.2014 9.7	None

Risk Title	No	Key Controls	Control Owner	Sources of Assurance	Positive Assurances Received	Evidence (hyperlink)	Gaps in Assurance Process
	30	Scrutiny by Audit and Quality Committee	Director of Quality	Receipt of report on Quality Group Proceedings report	Date: 11.02.2015 Audit and Quality Committee paper 6.11 Quality Group report	Evidence held by Corporate Office	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: 21.01.2015 Systems Resilience update	Governing Body 21.01.2015 11.1	None
	33	Executive scrutiny	Chief Officer	Receipt of Quality, Performance and Risk papers to Directors Meeting	Directors meeting papers - 09.02.2015	Evidence held by Corporate Office	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: 19.11.2014 GB (Part 2) 24.2	Evidence held by Corporate Office	None
	40	Executive scrutiny	Chief Officer	Receipt of paper to Governing Body on Internal Audit report	GB paper 4.5 Annual Internal Audit Report - 4 June 2014	Governing Body 04.06.2014 4.5	None
	41	Report to Governing Body on Quality	Director of Quality	Receipt of paper for Governing Body meeting on quality	Date:21.01.2015 GB paper 10.1 Quality report	Governing Body 21.01.2015 10.1	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: 19.11.2014 GB paper 10.1 Quality report -	Governing Body 19.11.2014 10.1	None
Failure to implement Clinical Services Review project	1	NHS Constitution Assurance	Director of Quality	Receipt of update paper to Governing Body on NHS Constitution	Date: 19.11.2014 GB paper 10.11 Update on the NHS Constitution	Governing Body 19.11.2014 10.11	None
	2	NHS Constitution Assurance	Director of Quality	Receipt of update paper to Quality Group on NHS Constitution	Date: 16.01.2014 Paper 4.14 Enc AA	Evidence held by Corporate Office	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	NHS England hold all legacy PCT documents and minutes.	None
	4a	NHS England (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: 21.01.2015 GB paper 8 Chief Officers Update	Governing Body 21.01.2015 8	None

Risk Title	No	Key Controls	Control Owner	Sources of Assurance	Positive Assurances Received	Evidence (hyperlink)	Gaps in Assurance Process
	4b	NHS England (Wessex) Assurance Review (also known as Wessex Assurance checkpoint meeting)	Chief Officer	Evidence supplied to NHS England (Wessex) and attendance at Checkpoint meeting on a quarterly basis	Date: 28.11.2014 Checkpoint meeting with Area Team	Assured by NHS England (Wessex)	One domain 'Assured with Support', Five domains fully assured - action plan in place.
	30	Scrutiny by Audit and Quality Committee	Director of Quality	Receipt of report on Quality Group Proceedings report	Date: 11.02.2015 Audit and Quality Committee paper 6.11 Quality Group report	Evidence held by Corporate Office	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: 21.01.2015 Systems Resilience update	Governing Body 21.01.2015 11.1	None
	33	Executive scrutiny	Chief Officer	Receipt of Quality, Performance and Risk papers to Directors Meeting	Directors meeting papers - 09.02.2015	Evidence held by Corporate Office	None
	40	Executive scrutiny	Chief Officer	Receipt of paper to Governing Body on Internal Audit report	GB paper 4.5 Annual Internal Audit Report - 4 June 2014	Governing Body 04.06.2014 4.5	None
	43	Stakeholder Engagement in Clinical Services Review	Director of Transformation	Included in Clinical Services Review Specification to Governing Body	Date: 21.01.2015 Clinical Services Review Update 11.2	Governing Body 21.01.2015 11.2	None
	44	Involvement of Dorset Provider organisations	Director of Transformation	Included in Clinical Services Review Specification to Governing Body	Date: 21.01.2015 Clinical Services Review Update 11.2	Governing Body 21.01.2015 11.2	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: 21.01.2015 Clinical Services Review Update 11.2	Governing Body 21.01.2015 11.2	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: 21.01.2015 Clinical Services Review update 11.2	Governing Body 21.01.2015 11.2	None. There is a set, structured monitoring process for CSR.

Risk Title	No	Key Controls	Control Owner	Sources of Assurance	Positive Assurances Received	Evidence (hyperlink)	Gaps in Assurance Process
	47	Development of all inclusive CSR Communication Plan	Director of Transformation	Circulation of the all inclusive CSR Communication Plan	Confirmation from the CSR team of the circulation of the CSR Communication Plan	Evidence held by CSR team	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: 21.01.2015 Clinical Services Review Update 11.2 and Appendix 1	Governing Body 21.01.2015 11.2	None
	49	Financial envelope agreed by Governing Body	Chief Financial Officer	Opening budget and budget reports received	Date: 19.03.2014 GB paper 8.4 Opening Budget - 19 March 2014	Governing Body 19.03.2014 8.4	None
	50	Executive scrutiny	Chief Officer	Receipt by Directors of a paper detailing Commissioning Support Services KPIs (before review by Governing Body)	Date: 25.11.2014 Performance meeting paper 1.1	Evidence held by Corporate Office	None
	33	Executive scrutiny	Chief Officer	Receipt of Quality, Performance and Risk papers to Directors Meeting	Directors meeting papers - 09.02.2015	Evidence held by Corporate Office	None
	51	Executive scrutiny	Chief Officer	Executive scrutiny of organisational Risk Register via Audit and Quality Committee	Audit and Quality Committee paper 6.3 Risk Register - 11.02.2015	Evidence held by Corporate Office	None
	52	Executive scrutiny	Chief Officer	Executive scrutiny of organisational Governing Body Assurance framework via Audit and Quality Committee	Date: 11.02.2015 Governing Body Assurance Framework (6.2)	Evidence held by Corporate Office	None
	53	External Scrutiny from NHS England and external clinical experts for Clinical Services Review	Chief Officer	Included in Clinical Services Review Assurance processes	Date: 21.05.2014 GB Paper 8 Clinical Services Review Specification - 21 May 2014	Governing Body 21.01.2015 11.2	None

Risk Title	No	Key Controls	Control Owner	Sources of Assurance	Positive Assurances Received	Evidence (hyperlink)	Gaps in Assurance Process
	54	Adherence to Clinical Service Review implementation timetable	Director of Transformation	Receipt of paper to Governing Body meeting on Clinical Services Review progress	Date: 21.01.2015 Clinical Services Review Update 11.2	Governing Body 21.01.2015 11.2	None
Failure to implement Better Together agenda with Local Authority Partners	4a	NHS England (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: 21.01.2015 GB paper 8 Chief Officers Update	Governing Body 21.01.2015 8	None
	4b	NHS England (Wessex) Assurance Review (also known as Wessex Assurance checkpoint meeting)	Chief Officer	Evidence supplied to NHS England (Wessex) and attendance at Checkpoint meeting on a quarterly basis	Date: 28.11.2014 Checkpoint meeting with Area Team	Assured by NHS England (Wessex)	One domain 'Assured with Support', Five domains fully assured - action plan in place.
	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	Governing Body 16.07.2014 7	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: 16.07.2014 GB Paper 9.4 2 year Delivery Plan	Governing Body 16.07.2014 9.4	None
	7	Annual Delivery Plan - Monitoring reports	Chief Financial Officer	Receipt of paper to Governing Body meeting on progress against Annual Delivery Plan	Date: 21.01.2015 Two year delivery plan (10.4) and Appendices 1 & 2	Governing Body 21.01.2015 10.4	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: 19.11.2014 GB paper 8 Chief Officer's update	Governing Body 19.11.2014 8	None
	35	Working arrangements with Healthwatch	Chief Officer	Evidence of partnership working relationships in place reported through Chief Officers report to Governing Body	Regular meetings are arranged with the CCG Chair, Chief Officer and Chief Executive of Healthwatch Dorset. The Chief Executive of Healthwatch is attended the GB meeting on 19/11/14 to discuss the Healthwatch Dorset Every One Matters report.	Evidence held by Corporate Office	None

Risk Title	No	Key Controls	Control Owner	Sources of Assurance	Positive Assurances Received	Evidence (hyperlink)	Gaps in Assurance Process
	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	Minutes from LETB website	External agency assured
	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 12.02.2014)	Evidence held locally within Quality Directorate	External agency assured
	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: 21.01.2015 Better Together update 11.3	Governing Body 21.01.2015 11.3	None
Loss of CCG Authorisation	1	NHS Constitution Assurance	Director of Quality	Receipt of update paper to Governing Body on NHS Constitution	Date: 19.11.2014 GB paper 10.11 Update on the NHS Constitution	Governing Body 19.11.2014 10.11	None
	2	NHS Constitution Assurance	Director of Quality	Receipt of update paper to Quality Group on NHS Constitution	Date: 16.01.2014 Paper 4.14 Enc AA	Evidence held by Corporate Office	None
	4a	NHS England (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: 21.01.2015 GB paper 8 Chief Officers Update	Governing Body 21.01.2015 8	None
	4b	NHS England (Wessex) Assurance Review (also known as Wessex Assurance checkpoint meeting)	Chief Officer	Evidence supplied to NHS England (Wessex) and attendance at Checkpoint meeting on a quarterly basis	Date: 28.11.2014 Checkpoint meeting with Area Team	Assured by NHS England (Wessex)	One domain 'Assured with Support', Five domains fully assured - action plan in place.
	7	Annual Delivery Plan - Monitoring reports	Chief Financial Officer	Receipt of paper to Governing Body meeting on progress against Annual Delivery Plan	Date: 21.01.2015 Two year delivery plan (10.4) and Appendices 1 & 2	Governing Body 21.01.2015 10.4	None

Risk Title	No	Key Controls	Control Owner	Sources of Assurance	Positive Assurances Received	Evidence (hyperlink)	Gaps in Assurance Process
	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 (6.3) 11.02.2015	Evidence held by Corporate Office	None
	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 21.01.2013 meeting	Evidence held by Corporate Office	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 Assurance Framework - 11.02.2015	Evidence held by Corporate Office	None
	22	CCG Governing Body Assurance Framework	Director of Quality	Receipt of paper on Governing Body Assurance Framework by Governing Body meeting (Part 2)	Date: 21.01.2015 Assurance Framework 10.5 and Appendix 1	Governing Body 21.01.2015 10.5	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	n/a	None
	58	Changes to Delegated Authority	Chief Financial Officer	Receipt of paper to Governing Body on Changes to Delegated Authority	Date: 19.03.2014 GB paper 8.7 Changes to Delegated Authority - 19 March 2014	Governing Body 19.03.2014 8.7	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	Governing Body 19.03.2014 8.6	None
	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: 19.03.2014 GB paper 8.5 Annual Review of Governance Documents - 19 March 2014	Governing Body 19.03.2014 8.5	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 09.04.2014	Evidence held by Corporate Office	None
	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	Governing Body 15.01.2014 9.8	CCPs currently paused due to CSR. Work continues through the CSR Clinical Reference Groups, Clinical Working Groups and, where required, task and finish groups.

Risk Title	No	Key Controls	Control Owner	Sources of Assurance	Positive Assurances Received	Evidence (hyperlink)	Gaps in Assurance Process
	63	Clinical Commissioning Programmes (CCP) Work Programmes	Chief Officer	Approval of Work Programmes by Governing Body	Date: 17.09.2014 Two year delivery plan (9.4) and Appendices 1 and 2	Governing Body 17.09.2014 9.4	None
	64	Remuneration Committee Terms of Reference	Secretary and General Counsel	Update to Terms of Reference received by Governing Body	Paper 8.5 Annual Review of Governance documents to GB 19.03.2014	Governing Body 19.03.2014 8.5	None
	65	Internal audit plan and reports	Chief Financial Officer	Receipt of internal audit plan	Date: 04.06.2014 GB paper 4.5 Annual Internal Audit Report	Governing Body 04.06.2014 4.5	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	n/a	None
Failure to work with partners	1	NHS Constitution Assurance	Director of Quality	Receipt of update paper to Governing Body on NHS Constitution	Date: 19.11.2014 GB paper 10.11 Update on the NHS Constitution	Governing Body 19.11.2014 10.11	None
	2	NHS Constitution Assurance	Director of Quality	Receipt of update paper to Quality Group on NHS Constitution	Date: 16.01.2014 Paper 4.14 Enc AA	Evidence held by Corporate Office	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	NHS England hold all legacy PCT documents and minutes.	None
	4a	NHS England (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: 21.01.2015 GB paper 8 Chief Officers Update	Governing Body 21.01.2015 8	None
	4b	NHS England (Wessex) Assurance Review (also known as Wessex Assurance checkpoint meeting)	Chief Officer	Evidence supplied to NHS England (Wessex) and attendance at Checkpoint meeting on a quarterly basis	Date: 28.11.2014 Checkpoint meeting with Area Team	Assured by NHS England (Wessex)	One domain 'Assured with Support', Five domains fully assured - action plan in place.
	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	Governing Body 16.07.2014 7	None

Risk Title	No	Key Controls	Control Owner	Sources of Assurance	Positive Assurances Received	Evidence (hyperlink)	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: 01.10.2014 Shadsow Joint Primary Care Committee meeting (Paper 8.3; Appendix 1)	Evidence held by Corporate Office	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: 19.11.2014 GB paper 8 Chief Officer's update	Governing Body 19.11.2014 8	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: 21.01.2015 Systems Resilience update	Governing Body 21.01.2015 11.1	None
	35	Working arrangements with Healthwatch	Chief Officer	Evidence of partnership working relationships in place reported through Chief Officers report to Governing Body	Regular meetings are arranged with the CCG Chair, Chief Officer and Chief Executive of Healthwatch Dorset. The Chief Executive of Healthwatch is attended the GB meeting on 19/11/14 to discuss the Healthwatch Dorset Every One Matters report.	Evidence held by Corporate Office	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	Minutes from LETB website	External agency assured
	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 12.02.2014)	Evidence held locally within Quality Directorate	External agency assured
	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: 21.01.2015 Better Together update 11.3	Governing Body 21.01.2015 11.3	None

Risk Title	No	Key Controls	Control Owner	Sources of Assurance	Positive Assurances Received	Evidence (hyperlink)	Gaps in Assurance Process
	67	Area Team - Specialist and Primary Care Commissioning contracts	Director of Service Delivery	Responsibility of NHS England for Assurance	n/a	n/a	None
	68	Clinical Senates	Director of Service Delivery	Evidence of partnership working	The specific topics of the Clinical Senates feed into the relevant CCP programmes. To date, reviews have been on vascular (fed into our Cardio, Stroke, Renal and Diabetes CCP) and maternity (fed into our Maternity, Reproduction and Family Health CCP). The CCPs report accordingly through to the Clinical Commissioning Committee and onwards to the Governing Body if required.	Evidence held by Corporate Office	NHS Dorset CCG currently has a GP representative who attends the Wessex Clinical Senate meetings. It was agreed at the Director's Performance Meeting on 19.12.2014 that a formal quarterly reporting from the Clinical Senates to the Clinical Commissioning Committee will commence in February 2015. Although this appeared as actioned in the minutes, an administrative oversight led to this being left off the agenda for the CCC in February 2015. This will now be an agenda item for the CCC on 15.04.2015. The report will be produced by the GP representative at the Wessex Clinical Senate meeting.
	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: 21.01.2015 GB paper 10.1 Quality report	Governing Body 21.01.2015 10.1	None
	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: 19.11.2014 Governing Body paper 10.7	Governing Body 19.11.2014 10.7	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: 21.01.2015 GB paper 10.1 Quality report	Governing Body 21.01.2015 10.1	None

Risk Title	No	Key Controls	Control Owner	Sources of Assurance	Positive Assurances Received	Evidence (hyperlink)	Gaps in Assurance Process
	70b	Children's Safeguarding Board	Director of Quality	Receipt of update from Designated Nurse on all aspects of Child Safeguarding to Governing Body	Date: 19.11.2014 Governing Body paper 10.8	Governing Body 19.11.2014 10.8	None