

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	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	None	None
	2	NHS Constitution Assurance	Director of Quality	Receipt of update paper to Quality Group on NHS Constitution	Date: 20.03.2015 Paper 4.14 Enc BB	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
	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: 21.01.2015 GB paper 8 Chief Officers Update	None	None
	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: 13.04.2015 Checkpoint meeting with Area Team	None	Two domains 'Assured with Support', Four domains fully assured - action plans 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	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: 16.07.2014 GB Paper 9.4 2 year Delivery Plan	None	None	

Risk Title	No	Key Controls	Control Owner	Sources of Assurance	Positive Assurances Received	Gaps In Controls	Gaps in Assurance Process
	7	Annual Delivery Plan - Monitoring reports	Chief Financial Officer	Receipt of paper to Governing Body meeting on progress against Annual Delivery Plan	Date:18.03.2015 Two year delivery plan (9.4) and Appendices 1 & 2	None	None
	8	Engagement Plan updates	Director of Engagement and Development	Receipt of paper to Governing Body meeting on engagement	Date: 18.03.2015 GB Paper 8.2 Engagement and Communications Framework and Appendix 1	None	None
	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	None	None
	10	CCG Involvement Network	Director of Engagement and Development	Receipt of paper to Governing Body on Engagement	Date: 18.03.2015 GB Paper 8.2 Engagement and Communications Framework and Appendix 1	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: 18.03.2015 GB Paper 8.1 Delivery Plan Refresh	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: 01.10.2014 Shadow Joint Primary Care Committee meeting (Paper 8.3; Appendix 1)	None	None

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	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. 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	None	None
	2	NHS Constitution Assurance	Director of Quality	Receipt of update paper to Quality Group on NHS Constitution	Date: 20.03.2015 Paper 4.14 Enc BB	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: 21.01.2015 GB paper 8 Chief Officers Update	None	None
	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: 13.04.2015 Checkpoint meeting with Area Team	None	Two domains 'Assured with Support', Four domains fully assured - action plans 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	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: 16.07.2014 GB Paper 9.4 2 year Delivery Plan	None	None

Risk Title	No	Key Controls	Control Owner	Sources of Assurance	Positive Assurances Received	Gaps In Controls	Gaps in Assurance Process
	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	None	None; the NHS Constitution was revised to reflect the changes to co-commissioning from
	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	None	In December 2014, 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 was discussed at the Joint Primary Care Committee on 01.04.2015 and is on the Governing Body agenda (part 1)
	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
	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: 16.07.2015 GB paper 9.5 Revised Governance Structure	None	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	None	None

Risk Title	No	Key Controls	Control Owner	Sources of Assurance	Positive Assurances Received	Gaps In Controls	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 (7.4) 08.04.2015	None	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 18.03.2015 meeting	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 7.2 Assurance Framework - 08.04.2015	None	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: 18.03.2015 Assurance Framework 9.5 and Appendix 1	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: 18.03.2015 GB paper 8 Chief Officer's update	None	None
	24a	KPIs	Chief Financial Officer	CCG contracting processes	Date:21.01.2015 GB paper 9.2 Performance Report	None	None
	24b	Quality Indicators	Director of Quality	CCG contracting processes	Date: 21.01.2015 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
	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	None	None

Risk Title	No	Key Controls	Control Owner	Sources of Assurance	Positive Assurances Received	Gaps In Controls	Gaps in Assurance Process
	27	Executive scrutiny	Chief Officer	Receipt of Quality, Performance and Reports to Governing Body meeting	Date: 18.03.2015 GB paper 9.1 Quality Report and GB paper 9.2 Performance Report and GB paper 9.3 Finance Report	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 (7.3) - 08.04.2015	None	None
	29	Executive scrutiny	Chief Officer	Audit and Quality Committee overview and scrutiny	Date: 08.04.2015 Audit and Quality Committee	None	None
	30	Scrutiny by Audit and Quality Committee	Director of Quality	Receipt of report on Quality Group Proceedings report	Date: 08.04.2015 Audit and Quality Committee paper 7.9 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: 08.04.2015 Audit and Quality Committee papers 10.1 and 10.2	None	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: 18.03.2015 Systems Resilience update 10.1	None	None
	33	Executive scrutiny	Chief Officer	Receipt of Quality, Performance and Risk papers to Directors Meeting	Directors meeting papers - 24.03.2015	None	None
	34	CCG Annual Report	Director of Engagement and Development	Publication of Annual Report	Publication of 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 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.	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
	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
	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	None	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 (7.4) 08.04.2015	None	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 18.03.2015 meeting	None	None

Risk Title	No	Key Controls	Control Owner	Sources of Assurance	Positive Assurances Received	Gaps In Controls	Gaps in Assurance Process
	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 7.2 Assurance Framework - 08.04.2015	None	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: 18.03.2015 Assurance Framework 9.5 and Appendix 1	None	None
	24a	KPIs	Chief Financial Officer	CCG contracting processes	Date:21.01.2015 GB paper 9.2 Performance Report	None	None
	24b	Quality Indicators	Director of Quality	CCG contracting processes	Date: 21.01.2015 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
	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	None	None
	30	Scrutiny by Audit and Quality Committee	Director of Quality	Receipt of report on Quality Group Proceedings report	Date: 08.04.2015 Audit and Quality Committee paper 7.9 Quality Group 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: 18.03.2015 Systems Resilience update 10.1	None	None
	33	Executive scrutiny	Chief Officer	Receipt of Quality, Performance and Risk papers to Directors Meeting	Directors meeting papers - 24.03.2015	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: 18.03.2015 GB (Part 2) 24.2	None	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	None	None

Risk Title	No	Key Controls	Control Owner	Sources of Assurance	Positive Assurances Received	Gaps In Controls	Gaps in Assurance Process
	41	Report to Governing Body on Quality	Director of Quality	Receipt of paper for Governing Body meeting on quality	Date: 18.03.2015 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: 18.03.2015 GB paper 19.1 Quality 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	Three contract queries have currently been issued to NHS funded providers by the CCG.
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	None	None
	2	NHS Constitution Assurance	Director of Quality	Receipt of update paper to Quality Group on NHS Constitution	Date: 20.03.2015 Paper 4.14 Enc BB	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	None	None; the NHS Constitution was revised to reflect the changes to co-commissioning from
	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: 21.01.2015 GB paper 8 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
	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: 13.04.2015 Checkpoint meeting with Area Team	None	Two domains 'Assured with Support', Four domains fully assured - action plans in place.
	30	Scrutiny by Audit and Quality Committee	Director of Quality	Receipt of report on Quality Group Proceedings report	Date: 08.04.2015 Audit and Quality Committee paper 7.9 Quality Group 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: 18.03.2015 Systems Resilience update 10.1	None	None
	33	Executive scrutiny	Chief Officer	Receipt of Quality, Performance and Risk papers to Directors Meeting	Directors meeting papers - 24.03.2015	None	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	None	None
	43	Stakeholder Engagement in Clinical Services Review	Director of Transformation	Included in Clinical Services Review Specification to Governing Body	Date: 18.03.2015 Clinical Services Review Update 20	None	None
	44	Involvement of Dorset Provider organisations	Director of Transformation	Included in Clinical Services Review Specification to Governing Body	Date: 18.03.2015 Clinical Services Review Update 20	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: 18.03.2015 Clinical Services Review Update 20	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: 18.03.2015 Clinical Services Review Update 20	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
	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	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: 18.03.2015 Clinical Services Review Update 20	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
	50	Executive scrutiny	Chief Officer	Receipt by Directors of a paper detailing Commissioning Support Services KPIs (before review by Governing Body)	Date: 23.02.2015 Performance meeting paper 5.2	Processes are in place to manage where KPIs are not achieved	
	33	Executive scrutiny	Chief Officer	Receipt of Quality, Performance and Risk papers to Directors Meeting	Directors meeting papers - 24.03.2015	None	None
	51	Executive scrutiny	Chief Officer	Executive scrutiny of organisational Risk Register via Audit and Quality Committee	Audit and Quality Committee paper 7.3 Risk Register - 08.04.2015	None	None
	52	Executive scrutiny	Chief Officer	Executive scrutiny of organisational Governing Body Assurance framework via Audit and Quality Committee	Date:08.04.2015 Governing Body Assurance Framework (7.2)	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	Date: 21.05.2014 GB Paper 8 Clinical Services Review Specification - 21 May 2014	None	Clinical Senate: A risk was identified when checking assurance processes during the development of the Pre-Consultation Business Case (PCBC) that the CSR team had not fully understood the role of the Clinical Senate in providing an independent review. The Clinical Senate has now been engaged, Terms of Reference have been agreed and the chair is recruiting a team to undertake the review. An extraordinary meeting of the Senate Council is planned for 08.07.2015 to consider the Dorset Clinical Services Review. NHS England Assurance processes: A meeting has been held with NHS England, sub region, and south representatives to undertake the Stage 1 Assurance process. The CSR programme has passed this and the programme is now entered onto the NHS reconfiguration grid, which means there is now oversight

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							<p>from the national reconfiguration team. The Stage 2 Assurance checkpoint will take place in mid July (dates to be confirmed) and it is only with that level of assurance that the CSR will be able to proceed to consultation (Governing body decision pending). NHS England were able to re-enforce that the Health Gateway review would be a desirable assurance process which would inform the Stage 2 assessment, and as a result a process is now underway to procure a team of accredited Gateway reviewers to come in to review the programme in June 2015. Without this external scrutiny there is a risk that, following consultation, NHS England and/or Health Overview Scrutiny (HOS) may reject any service reconfiguration without this independent review supporting the case.</p>
	54	Adherence to Clinical Service Review implementation timetable	Director of Transformation	Receipt of paper to Governing Body meeting on Clinical Services Review progress	Date: 18.03.2015 Clinical Services Review Update 20	None	None

Risk Title	No	Key Controls	Control Owner	Sources of Assurance	Positive Assurances Received	Gaps In Controls	Gaps in Assurance Process
Failure to implement Better Together agenda with Local Authority Partners	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: 21.01.2015 GB paper 8 Chief Officers Update	None	None
	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: 13.04.2015 Checkpoint meeting with Area Team	None	Two domains 'Assured with Support', Four domains fully assured - action plans 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	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: 16.07.2014 GB Paper 9.4 2 year Delivery Plan	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:18.03.2015 Two year delivery plan (9.4) and Appendices 1 & 2	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: 18.03.2015 GB paper 8 Chief Officer's update	None	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.	None	None

Risk Title	No	Key Controls	Control Owner	Sources of Assurance	Positive Assurances Received	Gaps In Controls	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	None	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)	None	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 10.3	None	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	None	None
	2	NHS Constitution Assurance	Director of Quality	Receipt of update paper to Quality Group on NHS Constitution	Date: 20.03.2015 Paper 4.14 Enc BB	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: 21.01.2015 GB paper 8 Chief Officers Update	None	None
	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: 13.04.2015 Checkpoint meeting with Area Team	None	Two domains 'Assured with Support', Four domains fully assured - action plans 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:18.03.2015 Two year delivery plan (9.4) and Appendices 1 & 2	None	None

Risk Title	No	Key Controls	Control Owner	Sources of Assurance	Positive Assurances Received	Gaps In Controls	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 (7.4) 08.04.2015	None	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 18.03.2015 meeting	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 7.2 Assurance Framework - 08.04.2015	None	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: 18.03.2015 Assurance Framework 9.5 and Appendix 1	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
	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
	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
	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
	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
	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 currently paused due to CSR. Work continues through the CSR Clinical Reference Groups, Clinical Working Groups and, where required, task and finish groups.
	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	None	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	None	The Remuneration Terms of Reference are listed as an agenda item at the Governing Body meeting for 16.09.2015 at the request of the CCG Secretary and General Counsel
	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	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
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	None	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: 20.03.2015 Paper 4.14 Enc BB	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	None	None; the NHS Constitution was revised to reflect the changes to co-commissioning from
	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: 21.01.2015 GB paper 8 Chief Officers Update	None	None
	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: 13.04.2015 Checkpoint meeting with Area Team	None	Two domains 'Assured with Support', Four domains fully assured - action plans 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	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: 01.10.2014 Shadow Joint Primary Care Committee meeting (Paper 8.3; Appendix 1)	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: 18.03.2015 GB paper 8 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
	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: 18.03.2015 Systems Resilience update 10.1	None	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.	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	None	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)	None	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 10.3	None	None
	67	Area Team - Specialist and Primary Care Commissioning contracts	Director of Service Delivery	Responsibility of NHS England for Assurance	n/a	None	None

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 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.	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: 18.03.2015 GB paper 9.1 Quality report	None	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	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:18.03.2015 GB paper 9.1 Quality report	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: 19.11.2014 Governing Body paper 10.8	None	None