

Risk Title	Key Controls	Control Owner	Sources of Assurance	Positive Assurances Received	Gaps In Controls	Gaps in Assurance Process
Strategic Principle 1: Designing Services Around Patients						
Failure to engage with and identify the needs of the population	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
	NHS Constitution Assurance	Director of Quality	Receipt of update paper to Quality Group on NHS Constitution	Date: 12.09.2014 Paper 4.13 Enc Y	None	None
	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
	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: 19.11.2014 GB paper 8 Chief Officers Update	None	None
	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	None	One domain 'Assured with Support', Five domains fully assured - action plan in place.
	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
	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
	Annual Delivery Plan - Monitoring reports	Chief Financial Officer	Receipt of paper to Governing Body meeting on progress against Annual Delivery Plan	Date: 19.11.2014 Two year delivery plan (9.4) and Appendices 1	None	None
	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	None	None
	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
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	None	None	

Risk Title	Key Controls	Control Owner	Sources of Assurance	Positive Assurances Received	Gaps In Controls	Gaps in Assurance Process
	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	None	None

Risk Title	Key Controls	Control Owner	Sources of Assurance	Positive Assurances Received	Gaps In Controls	Gaps in Assurance Process
	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)	None	None
	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	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.
Strategic Principle 2: Preventing Ill Health and Reducing Inequalities						
Failure to achieve strategic and operational outcomes	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
	NHS Constitution Assurance	Director of Quality	Receipt of update paper to Quality Group on NHS Constitution	Date: 12.09.2014 Paper 4.13 Enc Y	None	None
	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
	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: 19.11.2014 GB paper 8 Chief Officers Update	None	None
	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	None	One domain 'Assured with Support', Five domains fully assured - action plan in place.
	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
	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
	Clinical Commissioning Improvement Plan	Director of Service Delivery	Receipt of paper to Governing Body on Clinical Commissioning Improvement Plan	Date: 21.05.2014 GB paper 9.6 Clinical Commissioning Local Improvement Plan	None	The Clinical Commissioning Improvement Plan has been added to the GB agenda (part 1) for 21.01.15. The Plan has now been added to the corporate office annual planner to ensure that the plan is discussed at the GB meeting (part 1) twice a year.

Risk Title	Key Controls	Control Owner	Sources of Assurance	Positive Assurances Received	Gaps In Controls	Gaps in Assurance Process
	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	None	None
	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
	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
	Clinical Commissioning Committee (CCC) Terms of Reference	Secretary and General Counsel	Approval of CCC Terms of Reference by Governing Body	Date: 15.01.2014 GB paper 9.8 Clinical Commissioning Committee (CCC) Terms of Reference	None	None
	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
	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 6.3 Assurance Framework/Risk Register - 08.10.2014	None	None
	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 19.11.2014 meeting	None	None
	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 - 08.10.2014	None	None
	CCG Governing Body Assurance Framework	Director of Quality	Receipt of paper on Governing Body Assurance Framework by Governing Body meeting (Part 2)	Evidence of assurance confirmed via Corporate Office for 19.11.2014 meeting	None	None
	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	None	None
	KPIs	Chief Financial Officer	CCG contracting processes	Date:19.11.2014 GB paper 10.2 Performance Report	None	None
	Quality Indicators	Director of Quality	CCG contracting processes	Date: 19.11.2014 GB paper 10.1 Quality Report	None	None
	Financial envelope agreed by Governing Body	Chief Financial Officer	Opening budget and budget reports received	Date: 16.07.2014 GB paper 8.4 Opening Budget - 19 March 2014	None	None

Risk Title	Key Controls	Control Owner	Sources of Assurance	Positive Assurances Received	Gaps In Controls	Gaps in Assurance Process
	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
	Executive scrutiny	Chief Officer	Receipt of Quality and Performance Reports to Governing Body meeting	Date: 19.11.2014 GB paper 10.1 Quality Report and GB paper 10.2 Performance Report and GB paper 10.3 Finance Report	None	None

Risk Title	Key Controls	Control Owner	Sources of Assurance	Positive Assurances Received	Gaps In Controls	Gaps in Assurance Process
	Executive scrutiny	Chief Officer	Executive scrutiny of organisational Risk Register via Audit and Quality Committee	Audit and Quality Committee paper 6.3 Assurance Framework/Risk Register - 08.10.2014	None	None
	Executive scrutiny	Chief Officer	Audit and Quality Committee overview and scrutiny	Date: 19.11.2014 Audit and Quality Committee Minutes 9.1.2	None	None
	Scrutiny by Audit and Quality Committee	Director of Quality	Receipt of report on Quality Group Proceedings report	Date: 08.10.2014 Audit and Quality Committee paper 6.6 Quality Group report	None	None
	Executive scrutiny	Chief Officer	Receipt by Audit and Quality Committee of report on internal audit work undertaken during the year	Date: 08.10.2014 Audit and Quality Committee papers 9.1	None	Individual internal audits have highlighted gaps in assurance; action plans in place.
	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: 19.11.2014 Urgent Care update presentation	None	None
	Executive scrutiny	Chief Officer	Receipt of Quality, Performance and Risk papers to Directors Meeting	Directors meeting papers -10.11.2014	None	None
	CCG Annual Report	Director of Engagement and Development	Publication of Annual Report	Publication of Annual Report	None	None
	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
	Public Sector Equality Duty	Director of Engagement and Development	Receipt of Equality Duty progress report	Published on CCG website.	None	On agenda for February 2015 Audit and Quality Committee meeting. Document was signed off by Chief Officer prior to being uploaded to the CCG website but not formally ratified by a monitoring committee.
Failure of a significant provider	KPIs	Chief Financial Officer	CCG contracting processes	Date:19.11.2014 GB paper 10.2 Performance Report	None	None
	Quality Indicators	Director of Quality	CCG contracting processes	Date: 19.11.2014 GB paper 10.1 Quality Report	None	None
	Financial envelope agreed by Governing Body	Chief Financial Officer	Opening budget and budget reports received	Date: 16.07.2014 GB paper 8.4 Opening Budget - 19 March 2014	None	None

Risk Title	Key Controls	Control Owner	Sources of Assurance	Positive Assurances Received	Gaps In Controls	Gaps in Assurance Process
	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
	Report to Governing Body on Quality	Director of Quality	Receipt of paper for Governing Body meeting on quality	Date:19.11.2014 GB paper 10.1 Quality report	None	None
	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 -	None	None
	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 6.3 Assurance Framework/Risk Register - 08.10.2014	None	None
	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 19.11.2014 meeting	None	None
	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 - 08.10.2014	None	None
	CCG Governing Body Assurance Framework	Director of Quality	Receipt of paper on Governing Body Assurance Framework by Governing Body meeting (Part 2)	Evidence of assurance confirmed via Corporate Office for 19.11.2014 meeting	None	None
	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	None	None
	Scrutiny by Audit and Quality Committee	Director of Quality	Receipt of report on Quality Group Proceedings report	Date: 08.10.2014 Audit and Quality Committee paper 6.6 Quality Group report	None	None
	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
	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: 19.11.2014 Urgent Care update presentation	None	None
	Executive scrutiny	Chief Officer	Receipt of Quality, Performance and Risk papers to Directors Meeting	Directors meeting papers -10.11.2014	None	None
Strategic Principle 3: Ensuring Sustainable Healthcare Services						
Failure to implement Clinical Services Review project	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	Key Controls	Control Owner	Sources of Assurance	Positive Assurances Received	Gaps In Controls	Gaps in Assurance Process
	NHS Constitution Assurance	Director of Quality	Receipt of update paper to Quality Group on NHS Constitution	Date: 12.09.2014 Paper 4.13 Enc Y	None	None
	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
	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: 19.11.2014 GB paper 8 Chief Officers Update	None	None
	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	None	One domain 'Assured with Support', Five domains fully assured - action plan in place.
	Adherence to Clinical Service Review implementation timetable	Director of Transformation	Receipt of paper to Governing Body meeting on Clinical Services Review progress	Date: 19.11.2014 GB Paper 8 Chief Officers Update	None	None
	External Scrutiny from NHS England and external clinical experts	Chief Officer	Included in Clinical Services Review Specification to Governing Body	Date: 21.05.2014 GB Paper 8 Clinical Services Review Specification - 21 May 2014	None	It was agreed at the Director's Performance Meeting on 19.12.2014 that this control will be controlled via reporting from the Clinical Senates. This control will be assured once formal, quarterly reporting from the Clinical Senates to the Clinical Commissioning Committee commences in February 2015.
	Stakeholder Engagement in Clinical Services Review	Director of Transformation	Included in Clinical Services Review Specification to Governing Body	Date: 19.11.2014 Chief Officer Update	None	None
	Involvement of Dorset Provider organisations	Director of Transformation	Included in Clinical Services Review Specification to Governing Body	Date: 19.11.2015 GB Paper 7 Chief Officers update (2.6)	None	None. There is a set, structured monitoring process for CSR.
	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: 19.11.2014 GB Paper 8 Chief Officers update	None	None. There is a set, structured monitoring process for CSR.
	Involvement of Clinical Reference Groups, CCC, GPs and secondary Care Clinicians	Director of Transformation	Included in Clinical Services Review Specification to Governing Body	Date: 19.11.2014 GB Paper 8 Chief Officers update	None	None. There is a set, structured monitoring process for CSR.

Risk Title	Key Controls	Control Owner	Sources of Assurance	Positive Assurances Received	Gaps In Controls	Gaps in Assurance Process
	Development of all inclusive CSR Communication Plan	Director of Transformation	Included in Clinical Services Review Specification to Governing Body	Date: 21.05.2014 GB Paper 8 Clinical Services Review Specification - 21 May 2014	None	None. The CSR plan has been finalised and circulated widely.
	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: 17.09.2014 GB Paper 7 Chief Officers Update	None	None
	Financial envelope agreed by Governing Body	Chief Financial Officer	Opening budget and budget reports received	Date: 16.07.2014 GB paper 8.4 Opening Budget - 19 March 2014	None	None
	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	Processes are in place to manage where KPIs are not achieved	None
	Executive scrutiny	Chief Officer	Receipt of Quality and Performance Reports to Directors meeting	Date: 10.11.2014 Quality and Performance reports	None	None
	Executive scrutiny	Chief Officer	Executive scrutiny of organisational Risk Register via Audit and Quality Committee	Audit and Quality Committee paper 6.3 Assurance Framework/Risk Register - 8 Oct 2014	None	None
	Executive scrutiny	Chief Officer	Executive scrutiny of organisational Governing Body Assurance framework via Audit and Quality Committee	Scrutiny started at Audit and Quality Meeting on 08.10.2014	None	None
	Scrutiny by Audit and Quality Committee	Director of Quality	Receipt of report on Quality Group Proceedings report	Date: 08.10.2014 Audit and Quality Committee paper 6.6 Quality Group report	None	None
	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
	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: 19.11.2014 Urgent Care update presentation	None	None
	Executive scrutiny	Chief Officer	Receipt of Quality, Performance and Risk papers to Directors Meeting	Directors meeting papers -10.11.2014	None	None
Failure to implement Better Together agenda with Local Authority Partners	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
	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	Borough of Poole Better Care Fund Cabinet report (Sept 14) and Bournemouth Borough Council Better Fund Cabinet report (Sept 14) submitted as papers to Governing Body meeting 19.11.2014 to support Chair's update (item 8)	None	None

Risk Title	Key Controls	Control Owner	Sources of Assurance	Positive Assurances Received	Gaps In Controls	Gaps in Assurance Process
	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: 19.11.2014 GB paper 8 Chief Officers Update	None	None
	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	None	One domain 'Assured with Support', Five domains fully assured - action plan in place.
	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
	Annual Delivery Plan - Monitoring reports	Chief Financial Officer	Receipt of paper to Governing Body meeting on progress against Annual Delivery Plan	Date: 19.11.2014 Two year delivery plan (9.4) and Appendices 1	None	None
	Health Education Wessex partnership working plan	Director of Service Delivery	Attendance at Local Education Training Board (LETB) by GP Education Lead Attendance at Local Workforce and Education Group by Workforce and/or Quality representatives	CCGs participation in meetings	None	External agency assured
	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
	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	None	None
Loss of CCG Authorisation	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
	NHS Constitution Assurance	Director of Quality	Receipt of update paper to Quality Group on NHS Constitution	Date: 12.09.2014 Paper 4.13 Enc Y	None	None
	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: 19.11.2014 GB paper 8 Chief Officers Update	None	None

Risk Title	Key Controls	Control Owner	Sources of Assurance	Positive Assurances Received	Gaps In Controls	Gaps in Assurance Process
	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	None	One domain 'Assured with Support', Five domains fully assured - action plan in place.
	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
	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	None	None
	Compliance with CCG Governance Code	Secretary and General Counsel	Update paper to Governing Body on CCG Governance Code	Date: 19.05.2014 GB paper 8.6 Compliance with CCG Governance Code - 19 March 2014	None	None
	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	None	None
	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	None	None
	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 6.3 Assurance Framework/Risk Register - 08.10.2014	None	None
	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 19.11.2014 meeting	None	None
	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 - 08.10.2014	None	None
	CCG Governing Body Assurance Framework	Director of Quality	Receipt of paper on Governing Body Assurance Framework by Governing Body meeting (Part 2)	Evidence of assurance confirmed via Corporate Office for 19.11.2014 meeting	None	None
	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	None
	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
	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	None

Risk Title	Key Controls	Control Owner	Sources of Assurance	Positive Assurances Received	Gaps In Controls	Gaps in Assurance Process
	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
	Annual Delivery Plan - Monitoring reports	Chief Financial Officer	Receipt of paper to Governing Body meeting on progress against Annual Delivery Plan	Date: 19.11.2014 Two year delivery plan (9.4) and Appendices 1	None	None
	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
Strategic Principle 4: Enabling Care Closer to Home						
Failure to work with partners	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
	NHS Constitution Assurance	Director of Quality	Receipt of update paper to Quality Group on NHS Constitution	Date: 12.09.2014 Paper 4.13 Enc Y	None	None
	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
	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: 19.11.2014 GB paper 8 Chief Officers Update	None	None
	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	None	One domain 'Assured with Support', Five domains fully assured - action plan in place.
	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
	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	Borough of Poole Better Care Fund Cabinet report (Sept 14) and Bournemouth Borough Council Better Fund Cabinet report (Sept 14) submitted as papers to Governing Body meeting 19.11.2014 to support Chair's update (item 8)	None	None
	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: 19.11.2014 Urgent Care update presentation	None	None

Risk Title	Key Controls	Control Owner	Sources of Assurance	Positive Assurances Received	Gaps In Controls	Gaps in Assurance Process
	Area Team - Specialist and Primary Care Commissioning contracts	Director of Service Delivery	Responsibility of NHS England for Assurance	n/a	None	None
	Health Education Wessex partnership working plan	Director of Engagement and Development	Attendance at Local Education Training Board (LETB) by GP Education Lead Attendance at Local Workforce and Education Group by Workforce and/or Quality representatives	CCGs participation in meetings	None	External agency assured
	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
	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	None	None
	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	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. The report will be produced by the GP representative at the Wessex Clinical Senate meeting.
	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)	None	None
	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: 19.11.2014 GB paper 10.1 Quality report	None	None
	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

Risk Title	Key Controls	Control Owner	Sources of Assurance	Positive Assurances Received	Gaps In Controls	Gaps in Assurance Process
	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: 19.11.2014 GB paper 10.1 Quality report	None	None
	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