

GBAF ID	Risk Title	Risk Owner	Key Controls	Control Owner	Sources of Assurance	Assurance frequency	Positive Assurances Received	Next assurance due	Evidence (hyperlink)	Gaps In Controls	Gaps in Assurance Process	Monitoring Committee	Link to Risk Register	Link to other Strategic Principles	
Strategic Principle 1: Designing Services Around Patients															
1.1	Failure to engage with and identify the needs of the population	Director of Engagement and Development	NHS Constitution Assurance	Director of Quality	Receipt of update paper to Governing Body on NHS Constitution	Annual	Date: 20.11.2013 GB paper 9.1 Update on the NHS Constitution	19.11.2014	Governing Body 20.11.2013.9.1	None	None	Governing Body	SDRD29 There is a risk to NHS Financial sustainability due to low anticipated growth in resources and rising health costs and demand (20) Q6 Risk that the recommendations from the public enquiry into the Mid Staffordshire NHS FT (Robert Francis) report will not be implemented successfully (6). CCP2.7 Risk of applying NICE national guidance on fertility (10) E&D1 Risk of not successfully engaging the public in improving their health (6) FIN6 Risk of increased emergency activity impacting on acute Trusts (15)	2,3,4	
			NHS Constitution Assurance	Director of Quality	Receipt of update paper to Quality Group on NHS Constitution	Quarterly	Date: 12.09.2014 Paper 4.13 Enc Y	16.01.2014	Evidence held by Corporate Office	None	None	Quality Group		2,3,4	
			NHS Dorset CCG Constitution	Secretary and General Counsel	Receipt of paper to Shadow Governing Body on CCG Constitution	n/a - one off assurance achieved	Date: 15.08.2012 CCG constitution approved by Shadow Governing Body, Area Team and Membership	n/a	NHS England hold all legacy PCT documents and minutes.	None	None	Governing Body		2,3,4	
			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	Quarterly	Date: 16.07.2014 GB paper 7 Chief Officers Update	17.10.2014 (Overdue)	Governing Body 16.07.2014.7	None	NHS England (Wessex) Assurance review to be added, as a standing item in Chief Officers update from Nov 14. The Chief Officer Update (Part 1) for meeting on 19/11/2014 contains an	None		Governing Body	2,3,4
			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	Quarterly	Date: 11.09.2014 Checkpoint meeting with Area Team	28.11.2014	Assured by NHS England (Wessex)	None	4 domains 'Assured with Support', 2 domains fully assured - action plan in place. This is a gap that will probably always be blue due to the nature of the control.	None		NHS England (Wessex)	2,3,4
			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	Annual refresh	Date: 16.07.2014 GB Paper 7 Chief Officers Update	16.07.2015	Governing Body 16.07.2014.7	None	None	None		Governing Body	2,3,4
			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	Annual refresh	Date: 16.07.2014 GB Paper 9.4 2 year Delivery Plan	16.07.2015	Governing Body 16.07.2014.9.4	None	None	None		Governing Body	2,3,4
			Annual Delivery Plan - Monitoring reports	Chief Financial Officer	Receipt of paper to Governing Body meeting on progress against Annual Delivery Plan	Bi-monthly	Date: 17.09.2014 Two year delivery plan (9.4) and Appendices 1 and 2	17.09.2014	Governing Body 17.09.2014.9.4	None	None	None		Governing Body	2,3,4
			Engagement Plan updates	Director of Engagement and Development	Receipt of paper to Governing Body meeting on engagement	Six monthly	Date: 17.09.2014 GB Paper 9.7 Engagement and Communications Framework, Appendix 1 and Appendix 2	17.03.2015	Governing Body 17.09.2014.9.7	None	None	None		Governing Body	2,3,4
			CCG Complaints Process/policies	Director of Quality	Receipt of paper to Governing Body on complaints	Annual	Date: Sept 2012 CCG complaints policy - approved by PCT Board Date: 16.07.2014 Annual Complaints report to Board	16.07.2015	Governing Body 16.07.2014.	None	None	None		Governing Body	2,3,4
			CCG Involvement Network	Director of Engagement and Development	Receipt of paper to Governing Body on Engagement	Six monthly	Date: 17.09.2014 GB Paper 9.7 Engagement and Communications Framework, Appendix 1 and Appendix 2	17.03.2015	Governing Body 17.09.2014.9.7	None	None	None		Governing Body	2,3,4
			CCG Engagement Events	Director of Engagement and Development	Receipt of paper on Strategy Refresh to Governing Body meeting informed by engagement event feedback	Annual	Date: 19.03.2014 GB Paper 8.1 Strategy Refresh	19.03.2015	Governing Body 19.03.2014.8.1	None	None	None		Governing Body	2,3,4
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.	Six monthly	Date: 01.10.2014 Shadsow Joint Primary Care Committee meeting (Paper 8.3; Appendix 1)	01.03.2015	Evidence held by Corporate Office	None	None	None	Primary Care Committee	4				

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			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	Weekly	Extra-ordinary reporting due to timeframes involved and volume of workload	19.11.2014	Evidence held by Corporate Office/CSR team	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.	Governing Body		2,3,4

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Strategic Principle 2: Preventing Ill Health and Reducing Inequalities														
2.1	Failure to achieve strategic and operational outcomes	Chief Officer	NHS Constitution Assurance	Director of Quality	Receipt of update paper to Governing Body on NHS Constitution	Annual	Date: 20.11.2013 GB paper 9.1 Update on the NHS Constitution	19.11.2014	Governing Body 20.11.2013 9.1	None	None	Governing Body	O24 Integration with Local Authorities. Risk if Health & Social Care system is unable to meet the national policy of integration (9) CCP6.2 Risk that the CCG does not meet the quality premium for dementia diagnosis. (9) FIN12 Risk that CCG award five year contract for GP IM&T without commitment of funding capital from NHS England. (2) FIN6 Risk of increase in Emergency Activity impacting on acute Trusts. (15) CCP3.1 Risk of increased referrals into acute hospitals. (2) SDRD19 Risk that there will be a sub-optimal use of resources by providers (12) SDRD29 There is a risk to NHS financial sustainability due to low anticipated growth in resources and rising health costs and demand (20) SDRD32 Risk of increase of emergency activity impacting across health and social care systems (12) SDRD5 DHUF Contract: Capacity, capability and resilience to deliver transformation programmes (12)	1,3,4
			NHS Constitution Assurance	Director of Quality	Receipt of update paper to Quality Group on NHS Constitution	Quarterly	Date: 12.09.2014 Paper 4.13 Enc Y	16.01.2014	Evidence held by Corporate Office	None	None	Quality Group		1,3,4
			NHS Dorset CCG Constitution	Secretary and General Counsel	Receipt of paper to Shadow Governing Body on CCG Constitution	n/a - one off assurance achieved	Date: 15.08.2012 CCG constitution approved by Shadow Governing Body, Area Team and Membership	n/a	NHS England hold all legacy PCT documents and minutes.	None	None	Governing Body		1,3,4
			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	Quarterly	Date: 16.07.2014 GB paper 7 Chief Officers Update	17.10.2014 (Overdue)	Governing Body 16.07.2014 7	None	NHS England (Wessex) Assurance review to be added, as a standing item in Chief Officers update from Nov 14. The Chief Officer Update (Part 1) for meeting on 19/11/2014 contains an	Governing Body		1,3,4
			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	Quarterly	Date: 11.09.2014 Checkpoint meeting with Area Team	28.11.2014	Assured by NHS England (Wessex)	None	4 domains 'Assured with Support', 2 domains fully assured - action plan in place. This is a gap that will probably always be blue due to the nature of the control.	NHS England (Wessex)		1,3,4
			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	Annual refresh	Date: 16.07.2014 GB Paper 7 Chief Officers Update	16.07.2015	Governing Body 16.07.2014 7	None	None	Governing Body		1,3,4
			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	Annual refresh	Date: 16.07.2014 GB Paper 9.4 2 year Delivery Plan	16.07.2015	Governing Body 16.07.2014 9.4	None	None	Governing Body		1,3,4
			Clinical Commissioning Improvement Plan	Director of Service Delivery	Receipt of paper to Governing Body on Clinical Commissioning Improvement Plan	Six monthly	Date: 21.05.2014 GB paper 9.6 Clinical Commissioning Local Improvement Plan	21.11.2014	Governing Body 21.05.2014 9.6	None	None	Governing Body		1,2,4
			CCG Governance Structure	Secretary and General Counsel	Receipt of paper to Governing Body on Governance Documents and Changes to Delegated Authority	Annual	Date: 19.03.2014 GB paper 8.5 Annual Review of Governance Documents and 8.7 Approval of changes to Delegated Authority	19.03.2015	Governing Body 19.03.2014 8.5	None	None	Governing Body		3
			CCG Commissioning Support Structure	Chief Officer	Receipt of paper to Governing Body on Commissioning Support Services	Annual	Date: 16.07.2014 GB Paper 9.7 Commissioning Support Services Annual Report	16.07.2015	Governing Body 16.07.2014 9.7	None	None	Governing Body		3
			Governing Body Clinical Membership and leadership	Chief Officer	Confirmation of Governing Body Terms of Reference	n/a	Approved by Shadow CCG prior to CCG commencing in April 2013	n/a	n/a	None	None	Membership		1,3,4
			Clinical Commissioning Committee (CCC) Terms of Reference	Secretary and General Counsel	Approval of CCC Terms of Reference by Governing Body	Annual	Date: 15.01.2014 GB paper 9.8 Clinical Commissioning Committee (CCC) Terms of Reference	01.01.2015		None	None	Governing Body		1,3,4
			Clinical Commissioning Programmes (CCP) Terms of Reference	Secretary and General Counsel	Approval of CCP Terms of Reference by Clinical Commissioning Committee	Annual	Date: 22.05.2013 CCC Paper 12 Revised generic CCP Terms of Reference	22.05.2014 (Overdue)	Evidence held by Corporate Office	None	The CCP Terms of Reference are on the agenda for the next CCC meeting 17.12.2014	CCC		1,3,4
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	Quarterly	Audit and Quality Committee paper 6.3 Assurance Framework/Risk Register - 08.10.2014	11.02.2015	Evidence held by Corporate Office	None	None	Audit and Quality Committee	1,3,4				

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			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	Every Governing Body meeting	Evidence of assurance confirmed via Corporate Office	19.11.2014	Evidence held by Corporate Office	None	None	Governing Body		1,3,4
			CCG Governing Body Assurance Framework	Director of Quality	Receipt of paper on Governing Body Assurance Framework by Audit and Quality Committee	Quarterly	Audit and Quality Committee paper 6.2 Assurance Framework - 08.10.2014	11.02.2015	Evidence held by Corporate Office	None	None	Audit and Quality Committee		1,3,4
			CCG Governing Body Assurance Framework	Director of Quality	Receipt of paper on Governing Body Assurance Framework by Governing Body meeting (Part 2)	Every Governing Body meeting	Evidence of assurance confirmed via Corporate Office	19.11.2014	Evidence held by Corporate Office	None	None	Governing Body		1,3,4
			Health and Well-being Boards Work Programme	Chief Officer	Evidence of partnership working relationships in place reported through Chief Officers report to Governing Body	Quarterly	Date: 16.07.2014 GB paper 7 Chief Officer's update	16.10.2014 (Overdue)	Governing Body 16.07.2014 7	None	The Chief Officers update (Part 1) for the meeting on 19.11.2014 contains a paragraph containing a link to the previous minutes for both Health and Wellbeing Boards	Governing Body		3
			KPIs	Chief Financial Officer	CCG contracting processes	Every Governing Body meeting	Date: 17.09.2014 GB paper 9.2 Performance Report	19.11.2014	Governing Body 17.09.2014 9.2	None	None	Governing Body		1,3,4
			Quality indicators	Director of Quality	CCG contracting processes	Every Governing Body meeting	Date: 17.09.2014 GB paper 9.1 Quality Report	19.11.2014	Governing Body 17.09.2014 9.2	None	None	Governing Body		1,3,4
			Financial envelope agreed by Governing Body	Chief Financial Officer	Opening budget and budget reports received	Annual	Date: 16.07.2014 GB paper 8.4 Opening Budget - 19 March 2014	01.03.2015	Governing Body 16.07.2014 8.4	None	None	Governing Body		1,3,4
			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)	Annual	Date: 16.07.2014 GB Paper 9.7 Commissioning Support Services Annual Report	16.07.2015	Governing Body 16.07.2014 9.7	None	None	Governing Body		1,3,4
			Executive scrutiny	Chief Officer	Receipt of Quality and Performance Reports to Governing Body meeting	Every Governing Body meeting	Date: 17.09.2014 GB paper 9.1 Quality Report and GB paper 9.2 Performance Report and GB paper 9.3 Finance Report	19.11.2014	Governing Body 17.09.2014 9.1 & 9.2	None	None	Governing Body		1,3,4
			Executive scrutiny	Chief Officer	Executive scrutiny of organisational Risk Register via Audit and Quality Committee	Quarterly	Audit and Quality Committee paper 6.3 Assurance Framework/Risk Register - 08.10.2014	11.02.2015	Evidence held by Corporate Office	None	None	Audit and Quality Committee		1,3,4
			Executive scrutiny	Chief Officer	Audit and Quality Committee overview and scrutiny	After each Audit and Quality meeting	Date: 16.07.2014 Audit and Quality Committee Minutes 9.1.2	19.11.2014	Evidence held by Corporate Office	None	None	Audit and Quality Committee		1,3,4
			Scrutiny by Audit and Quality Committee	Director of Quality	Receipt of report on Quality Group Proceedings report	Quarterly	Date: 08.10.2014 Audit and Quality Committee paper 6.6 Quality Group report	15.02.2015	Evidence held by Corporate Office	None	None	Audit and Quality Committee		1,3,4
			Executive scrutiny	Chief Officer	Receipt by Audit and Quality Committee of report on internal audit work undertaken during the year	Quarterly	Date: 08.10.2014 Audit and Quality Committee papers 9.1	11.02.2015	Evidence held by Corporate Office	None	Individual internal audits have highlighted gaps in assurance; action plans in place.	Audit and Quality Committee		1,3,4
			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	Every Governing Body meeting	Date: 17.09.2014 Urgent Care update presentation	19.11.2014	Evidence to be held by Corporate Office	None	None	Governing Body		1,3,4

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			Executive scrutiny	Chief Officer	Receipt of Quality, Performance and Risk papers to Directors Meeting	Every Directors meeting	Directors meeting papers - 14.10.2014	10.11.2014	Evidence held by Corporate Office	None	None	Directors meeting		1,3,4
			CCG Annual Report	Director of Engagement and Development	Publication of Annual Report	Annual	Publication of Annual Report	01.07.2015	NHS Dorset CCG Annual Report	None	None	Governing Body		1,3,4
			Working arrangements with Healthwatch	Chief Officer	Evidence of partnership working relationships in place reported through Chief Officers report to Governing Body	Annual		09.07.2015	Evidence held by Corporate Office	None	Regular meetings are arranged with the CCG Chair, Chief Officer and Chief Executive of Healthwatch Dorset. The Chief Executive of Healthwatch is attending the GB meeting on 19/11/14 to discuss the Healthwatch Dorset Every One Matters report.	Governing Body		3
			Public Sector Equality Duty	Director of Engagement and Development	Receipt of Equality Duty progress report	Annual	Published on CCG website.	11.02.2014	NHS Dorset CCG Public Sector Equality Duty	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.	Audit and Quality Committee		n/a
2.2	Failure of a significant provider	Director of Transformation	KPIs	Chief Financial Officer	CCG contracting processes	Every Governing Body meeting	Date: 17.09.2014 GB paper 9.2 Performance Report	19.11.2014	Governing Body 17.09.2014 9.2	None	None	Governing Body	Q2 Risk of non-compliance with Care Quality Commission regulations (6) O12 Risk of services being delivered without appropriate contract in place (12) FIN6 Risk of increase in emergency activity impacting on acute Trusts (15)	1,3,4
			Quality Indicators	Director of Quality	CCG contracting processes	Every Governing Body meeting	Date: 17.09.2014 GB paper 9.1 Quality Report	19.11.2014	Governing Body 17.09.2014 9.2	None	None	Governing Body	SDRD20 Patient transport and safety risk of failure to sign contract between E-Zec Medical and CCG (4)	1,3,4
			Financial envelope agreed by Governing Body	Chief Financial Officer	Opening budget and budget reports received	Annual	Date: 16.07.2014 GB paper 8.4 Opening Budget - 19 March 2014	01.03.2015	Governing Body 16.07.2014 8.4	None	None	Governing Body	SDRD19 Risk that there will be a sub optimal use of resources by providers registered with CQC which is in breach of contract with Dorset CCG and breaches CQC regulations (12)	1,3,4
			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)	Annual	Date: 16.07.2014 GB Paper 9.7 Commissioning Support Services Annual Report	16.07.2015	Governing Body 16.07.2014 9.7	None	None	Governing Body	SDRD17 Introduction of National contracts for each provider, risk that the CCG will not have contractual arrangements with independent sector providers for CHC, FNC and ABI	1,3,4
			Report to Governing Body on Quality	Director of Quality	Receipt of paper for Governing Body meeting on quality	Every Governing Body meeting	Date: 17.09.2014 GB paper 9.1 Quality report	19.11.2014	Governing Body 17.09.2014 9.1	None	None	Governing Body	SDRD7 DHUFT Contract: Reputation of Commissioner organisation (4) SDRD32 Risk of increase of emergency activity impacting across health and social care systems (12)	1,3,4
			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)	Every Governing Body meeting	Date: 17.09.2014 GB paper 9.1 Quality report -	19.11.2014	Governing Body 17.09.2014 9.1	None	None	Governing Body	CCP2.11 At risk the Quality element of CHC Pulse contract. Q8 DHUFT; Monitor and CQC concerns (6)	1,3,4
			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	Quarterly	Audit and Quality Committee paper 6.3 Assurance Framework/Risk Register - 08.10.2014	11.02.2015	Evidence held by Corporate Office	None	None	Audit and Quality Committee		1,3,4
			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	Every Governing Body meeting	Evidence of assurance confirmed via Corporate Office	19.11.2014	Evidence held by Corporate Office	None	None	Governing Body		1,4
			CCG Governing Body Assurance Framework	Director of Quality	Receipt of paper on Governing Body Assurance Framework by Audit and Quality Committee	Quarterly	Audit and Quality Committee paper 6.2 Assurance Framework - 08.10.2014	11.02.2015	Evidence held by Corporate Office	None	None	Audit and Quality Committee		1,4
			CCG Governing Body Assurance Framework	Director of Quality	Receipt of paper on Governing Body Assurance Framework by Governing Body meeting (Part 2)	Every Governing Body meeting	Evidence of assurance confirmed via Corporate Office	19.11.2014	Evidence held by Corporate Office	None	None	Governing Body		1,4

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			Scrutiny of Audit and Quality Committee	Director of Quality	Receipt of papers of Audit and Quality Committee work received by Governing Body meeting	Every Governing Body meeting	GB received minutes of A&C Special Meeting 04.07.2014; acknowledged in GB minutes 16.07.2014	19.11.2014	Minutes from 08.10.2014 meeting will go to November Governing Body meeting	None	None	Governing Body		1,3,4
			Scrutiny by Audit and Quality Committee	Director of Quality	Receipt of report on Quality Group Proceedings report	Quarterly	Date: 08.10.2014 Audit and Quality Committee paper 6.6 Quality Group report	15.02.2015	Evidence held by Corporate Office	None	None	Audit and Quality Committee		1,3,4
			Executive scrutiny	Chief Officer	Receipt of paper to Governing Body on Internal Audit report	Annual	GB paper 4.5 Annual Internal Audit Report - 4 June 2014	04.06.2015	Governing Body 04.06.2014 4.5	None	None	Governing Body		1,3,4
			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	Every Governing Body meeting	Date: 17.09.2014 Urgent Care update presentation	19.11.2014	Evidence to be held by Corporate Office	None	None	Governing Body		1,3,4
			Executive scrutiny	Chief Officer	Receipt of Quality, Performance and Risk papers to Directors Meeting	Every Directors meeting	Directors meeting papers - 14.10.2014	10.11.2014	Evidence held by Corporate Office	None	None	Directors meeting		1,3,4

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Strategic Principle 3: Ensuring Sustainable Healthcare Services														
3.1	Failure to implement Clinical Services Review project	Director of Transformation	NHS Constitution Assurance	Director of Quality	Receipt of update paper to Governing Body on NHS Constitution	Annual	Date: 20.11.2013 GB paper 9.1 Update on the NHS Constitution	19.11.2014	Governing Body 20.11.2013 9.1	None	None	Governing Body	O24 Integration with Local Authorities. Risk if Health & Social Care system is unable to meet the national policy of integration (9) E&D1 Risk of not successfully engaging the public in improving their health (6) SDRD19 Risk that there will be a sub-optimal use of resources by providers (12) FIN6 Risk of increase in Emergency Activity impacting on acute Trusts (15) CCP3.1 Risk of increased referrals in to acute hospitals (2) SDRD29 There is a risk to NHS financial sustainability due to low anticipated growth in resources and rising health cost and demand (20)	1,2,4
			NHS Constitution Assurance	Director of Quality	Receipt of update paper to Quality Group on NHS Constitution	Quarterly	Date: 12.09.2014 Paper 4.13 Enc Y	16.01.2014	Evidence held by Corporate Office	None	None	Quality Group		1,2
			NHS Dorset CCG Constitution	Secretary and General Counsel	Receipt of paper to Shadow Governing Body on CCG Constitution	n/a - one off assurance achieved	Date: 15.08.2012 CCG constitution approved by Shadow Governing Body, Area Team and Membership	n/a	NHS England hold all legacy PCT documents and minutes.	None	None	Governing Body		1,2,4
			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	Quarterly	Date: 16.07.2014 GB paper 7 Chief Officers Update	17.10.2014 (Overdue)	Governing Body 16.07.2014 7	None	NHS England (Wessex) Assurance review to be added, as a standing item in Chief Officers update from Nov 14. The Chief Officer Update (Part 1) for meeting on 19/11/2014 contains an	Governing Body		1,3,4
			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	Quarterly	Date: 11.09.2014 Checkpoint meeting with Area Team	28.11.2014	Assured by NHS England (Wessex)	None	4 domains 'Assured with Support', 2 domains fully assured - action plan in place. This is a gap that will probably always be blue due to the nature of the control.	NHS England (Wessex)		1,2,4
			Adherence to Clinical Service Review implementation timetable	Director of Transformation	Receipt of paper to Governing Body meeting on Clinical Services Review progress	Every Governing Body meeting	Date: 17.09.2014 GB Paper 7 Chief Officers Update	19.11.2014	Governing Body 17.09.2014 7	None	None	Governing Body		1,2,4
			External Scrutiny from NHS England and external clinical experts	Chief Officer	Included in Clinical Services Review Specification to Governing Body	Six monthly	Date: 21.05.2014 GB Paper 8 Clinical Services Review Specification - 21 May 2014	19.11.2014	Governing Body 21.05.2014 8	None	None	Governing Body		1,2,4
			Stakeholder Engagement in Clinical Services Review	Director of Transformation	Included in Clinical Services Review Specification to Governing Body	Every Governing Body meeting	Date: 17.09.2014 GB Paper 9.7 Engagement and Communications Framework, Appendix 1 and Appendix 2	19.11.2014	Governing Body 17.09.2014 9.7	None	None	Governing Body		1,2,4
			Involvement of Dorset Provider organisations	Director of Transformation	Included in Clinical Services Review Specification to Governing Body	Every Governing Body meeting	Date: 17.09.2014 GB Paper 7 Chief Officers update (2.6)	19.11.2014	Governing Body 17.09.2014 7	None	None. There is a set, structured monitoring process for CSR.	Governing Body		1,2,4
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	Every Governing Body meeting	Date: 17.09.2014 GB Paper 7 Chief Officers update (2.6)	19.11.2014	Governing Body 17.09.2014 7	None	None. There is a set, structured monitoring process for CSR.	Governing Body	1,2,4				

GBAF ID	Risk Title	Risk Owner	Key Controls	Control Owner	Sources of Assurance	Assurance frequency	Positive Assurances Received	Next assurance due	Evidence (hyperlink)	Gaps In Controls	Gaps in Assurance Process	Monitoring Committee	Link to Risk Register	Link to other Strategic Principles
			Involvement of CCPs, CCC, GPs and secondary Care Clinicians	Director of Transformation	Included in Clinical Services Review Specification to Governing Body	Every Governing Body meeting	Date: 17.09.2014 GB Paper 7 Chief Officers update (2.6)	19.11.2014	Governing Body 17.09.2014 7	None	None. There is a set, structured monitoring process for CSR.	Governing Body		1,2,4
			Development of all inclusive CSR Communication Plan	Director of Transformation	Included in Clinical Services Review Specification to Governing Body	Every Governing Body meeting	Date: 21.05.2014 GB Paper 8 Clinical Services Review Specification - 21 May 2014	19.11.2014	Governing Body 21.05.2014 8	None	CSR Communication plan being finalised for imminent launch (draft stage at present, being circulated internally for comment)	Governing Body		1,2,4
			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	Every Governing Body meeting	Date: 17.09.2014 GB Paper 7 Chief Officers Update	19.11.2014	Governing Body 17.09.2014 7	None	None	Governing Body		1,2,4
			Financial envelope agreed by Governing Body	Chief Financial Officer	Opening budget and budget reports received	Annual	Date: 16.07.2014 GB paper 8.4 Opening Budget - 19 March 2014	01.03.2015	Governing Body 16.07.2014 8.4	None	None	Governing Body		1,2,4
			Executive scrutiny	Chief Officer	Receipt by Directors of a paper detailing Commissioning Support Services KPIs (before review by Governing Body)	Quarterly	Date: 26.08.2014 Director's meeting paper 5.2	25.11.2014	Evidence held by Corporate Office	Processes are in place to manage where KPIs are not achieved	None	Directors meeting		1,2,4
			Executive scrutiny	Chief Officer	Receipt of Quality and Performance Reports to Directors meeting	Every Directors meeting	Date: 27.10.2014 Quality and Performance reports	10.11.2014	Evidence held by Corporate Office	None	None	Directors meeting		1,2,4
			Executive scrutiny	Chief Officer	Executive scrutiny of organisational Risk Register via Audit and Quality Committee	Quarterly	Audit and Quality Committee paper 6.3 Assurance Framework/Risk Register - 8 Oct 2014	11.02.2015	Evidence held by Corporate Office	None	None	Audit and Quality Committee		1,2,4
			Executive scrutiny	Chief Officer	Executive scrutiny of organisational Governing Body Assurance framework via Audit and Quality Committee	Quarterly	Scrutiny started at Audit and Quality Meeting on 08.10.2014	11.02.2015	Evidence held by Corporate Office	None	None	Audit and Quality Committee		1,2,4
			Scrutiny by Audit and Quality Committee	Director of Quality	Receipt of report on Quality Group Proceedings report	Quarterly	Date: 08.10.2014 Audit and Quality Committee paper 6.6 Quality Group report	15.02.2015	Evidence held by Corporate Office	None	None	Audit and Quality Committee		1,2,4
			Executive scrutiny	Chief Officer	Receipt of paper to Governing Body on Internal Audit report	Annual	GB paper 4.5 Annual Internal Audit Report - 4 June 2014	04.06.2015	Governing Body 04.06.2014 4.5	None	None	Governing Body		1,2,4
			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	Every Governing Body meeting	Date: 17.09.2014 Urgent Care update presentation	19.11.2014	Evidence to be held by Corporate Office	None	None	Governing Body		1,2,4
			Executive scrutiny	Chief Officer	Receipt of Quality, Performance and Risk papers to Directors Meeting	Every Directors meeting	Directors meeting papers - 14.10.2014	10.11.2014	Evidence held by Corporate Office	None	None	Directors meeting		1,2,4
3.2	Failure to implement Better Together agenda with Local Authority Partners	Chief Officer	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	Annual refresh	Date: 16.07.2014 GB Paper 7 Chief Officers Update	16.07.2015	Governing Body 16.07.2014 7	None	None	Governing Body	O24 Integration with Local Authorities. Risk if Health & Social Care system is unable to meet the national policy of integration (O)	1,3,4

GBAF ID	Risk Title	Risk Owner	Key Controls	Control Owner	Sources of Assurance	Assurance frequency	Positive Assurances Received	Next assurance due	Evidence (hyperlink)	Gaps In Controls	Gaps in Assurance Process	Monitoring Committee	Link to Risk Register	Link to other Strategic Principles
			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	Every Governing Body meeting	October update circulated via newsletter; Better Together was not discussed at the Sept Governing Body meeting	19.11.2014	None	None	The Chief Officer Update (Part 1) for the meeting on 19/11/2014 contains a Better Together update. This will form a separate report for GB meetings going forward.	Governing Body	Integration (9). E&D1 Risk of not successfully engaging the public in improving their health (6). SDRD19 Risk that there will be a sub-optimal use of resources by providers (12). FIN6 Risk of increase in Emergency Activity impacting on acute Trusts (15).	1,2,4
			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	Quarterly	Date: 16.07.2014 GB paper 7 Chief Officers Update	17.10.2014 (Overdue)	Governing Body 16.07.2014 7	None	NHS England (Wessex) Assurance review to be added, as a standing item in Chief Officers update from Nov 14. The Chief Officer Update (Part 1) for meeting on 19/11/2014 contains an	Governing Body	CCP3.1 Risk of increased referrals in to acute hospitals (2). SDRD29 There is a risk to NHS financial sustainability due to low anticipated growth in resources and rising health cost and demand (20).	1,2,4
			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	Quarterly	Date: 11.09.2014 Checkpoint meeting with Area Team	28.11.2014	Assured by NHS England (Wessex)	None	4 domains 'Assured with Support', 2 domains fully assured - action plan in place. This is a gap that will probably always be blue due to the nature of the control.	NHS England (Wessex)		1,2,4
			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	Annual refresh	Date: 16.07.2014 GB Paper 9.4 2 year Delivery Plan	16.07.2015	Governing Body 16.07.2014 9.4	None	None	Governing Body		1,2,4
			Annual Delivery Plan - Monitoring reports	Chief Financial Officer	Receipt of paper to Governing Body meeting on progress against Annual Delivery Plan	Bi-monthly	Date: 17.09.2014 Two year delivery plan (9.4) and Appendices 1 and 2	17.09.2014	Governing Body 17.09.2014 9.4	None	None	Governing Body		1,2,4
			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	Quarterly	CCGs participation in meetings	12.02.2015	External agency assured	None	External agency assured	Governing Body		1,2,4
			Working arrangements with Healthwatch	Chief Officer	Evidence of partnership working relationships in place reported through Chief Officers report to Governing Body	Annual		09.07.2015	Evidence held by Corporate Office	None	Regular meetings are arranged with the CCG Chair, Chief Officer and Chief Executive of Healthwatch Dorset. The Chief Executive of Healthwatch is attending the GB meeting on 19/11/14 to discuss the Healthwatch Dorset Every One Matters report.	Governing Body		2
			Health and Well-being Boards Work Programme	Chief Officer	Evidence of partnership working relationships in place reported through Chief Officers report to Governing Body	Quarterly	Date: 16.07.2014 GB paper 7 Chief Officer's update	16.10.2014 (Overdue)	Governing Body 16.07.2014 7	None	The Chief Officers update (Part 1) for the meeting on 19.11.2014 contains a paragraph containing a link to the previous minutes for both Health and Wellbeing Boards	Governing Body		2
3.3	Loss of CCG Authorisation	Chief Officer	NHS Constitution Assurance	Director of Quality	Receipt of update paper to Governing Body on NHS Constitution	Annual	Date: 20.11.2013 GB paper 9.1 Update on the NHS Constitution	19.11.2014	Governing Body 20.11.2013 9.1	None	None	Governing Body	SDRD10 Expenditure of investment within financial plans. Ensuring agreed investment is fully in line with plan (9)	1,2,4
			NHS Constitution Assurance	Director of Quality	Receipt of update paper to Quality Group on NHS Constitution	Quarterly	Date: 12.09.2014 Paper 4.13 Enc Y	16.01.2014	Evidence held by Corporate Office	None	None	Quality Group	Q6 Risk that the recommendations from the	1,2

GBAF ID	Risk Title	Risk Owner	Key Controls	Control Owner	Sources of Assurance	Assurance frequency	Positive Assurances Received	Next assurance due	Evidence (hyperlink)	Gaps In Controls	Gaps in Assurance Process	Monitoring Committee	Link to Risk Register	Link to other Strategic Principles
			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	Quarterly	Date: 16.07.2014 GB paper 7 Chief Officers Update	17.10.2014 (Overdue)	Governing Body 16.07.2014 7	None	NHS England (Wessex) Assurance review to be added, as a standing item in Chief Officers update from Nov 14. The Chief Officer Update (Part 1) for meeting on 19/11/2014 contains an	Governing Body	public enquiry into the Mid Staffordshire NHS FT (Robert Francis) report will not be implemented successfully (6). E&D3 Succession planning. Risk of losing key clinical leads who form membership of Governing Body and CCPs or are leads in significant key roles due to CCG being unable to recruit to vacancies as they occur (8).	1,2,4
			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	Quarterly	Date: 11.09.2014 Checkpoint meeting with Area Team	28.11.2014	Assured by NHS England (Wessex)	None	4 domains 'Assured with Support', 2 domains fully assured - action plan in place. This is a gap that will probably always be blue due to the nature of the control.	NHS England (Wessex)		1,2,4
			Governing body overview and scrutiny	Chief Officer	Governing body terms of reference	n/a	Approved by Shadow CCG prior to CCG commencing in April 2013	n/a	n/a	None	None	Membership		1,2,4
			Changes to Delegated Authority	Chief Financial Officer	Receipt of paper to Governing Body on Changes to Delegated Authority	Annual	Date: 19.03.2014 GB paper 8.7 Changes to Delegated Authority - 19 March 2014	19.03.2015	Governing Body 19.03.2014 8.7	None	None	Governing Body		1,2,4
			Compliance with CCG Governance Code	Secretary and General Counsel	Update paper to Governing Body on CCG Governance Code	Annual	Date: 19.05.2014 GB paper 8.6 Compliance with CCG Governance Code - 19 March 2014	19.03.2015	Governing Body 19.05.2014 8.6	None	None	Governing Body		1,2,4
			CCG Clinical Committees and Groups/ Governance Structure	Secretary and General Counsel	Receipt of paper to Governing Body on Annual Review of Governance Documents	Annual	Date: 19.03.2014 GB paper 8.5 Annual Review of Governance Documents - 19 March 2014	19.03.2015	Governing Body 19.03.2014 8.5	None	None	Governing Body		1,2,4
			Annual Governance Statement	Director of Quality	Receipt of Audit and Quality paper on Annual Governance Statement	Annual	Paper received by Audit and Quality Committee 09.04.2014	09.04.2015	Evidence held by Corporate Office	None	None	Audit and Quality Committee		1,2,4
			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	Quarterly	Audit and Quality Committee paper 6.3 Assurance Framework/Risk Register - 08.10.2014	11.02.2015	Evidence held by Corporate Office	None	None	Audit and Quality Committee		1,2,4
			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	Every Governing Body meeting	Evidence of assurance confirmed via Corporate Office	19.11.2014	Evidence held by Corporate Office	None	None	Governing Body		1,4
			CCG Governing Body Assurance Framework	Director of Quality	Receipt of paper on Governing Body Assurance Framework by Audit and Quality Committee	Quarterly	Audit and Quality Committee paper 6.2 Assurance Framework - 08.10.2014	11.02.2015	Evidence held by Corporate Office	None	None	Audit and Quality Committee		1,4
			CCG Governing Body Assurance Framework	Director of Quality	Receipt of paper on Governing Body Assurance Framework by Governing Body meeting (Part 2)	Every Governing Body meeting	Evidence of assurance confirmed via Corporate Office	19.11.2014	Evidence held by Corporate Office	None	None	Governing Body		1,4
			Clinical Commissioning Committee (CCC) Work Programmes	Director of Service Delivery	Approval of CCC Work Programmes	Annual	Date: 15.01.2014 GB paper 9.8 Clinical Commissioning Committee (CCC) Terms of Reference	15.01.2015	Governing Body 15.01.2014 9.8	None	None	Governing Body		1,2,4
			Clinical Commissioning Programmes (CCP) Work Programmes	Chief Officer	Approval of Work Programmes by Governing Body	Bi-monthly	Date: 17.09.2014 Two year delivery plan (9.4) and Appendices 1 and 2		Governing Body 17.09.2014 9.4	None	None	Governing Body		1,2,4
			Remuneration Committee Terms of Reference	Secretary and General Counsel	Update to Terms of Reference received by Governing Body	Annual	Paper 8.5 Annual Review of Governance documents to GB 19.03.2014	19.03.2015	Governing Body 19.03.2014 8.5	None	None	Governing Body		1,2,4
			Internal audit plan and reports	Chief Financial Officer	Receipt of internal audit plan	Annual	Date: 04.06.2014 GB paper 4.5 Annual Internal Audit Report	04.06.2015	Governing Body 04.06.2014 4.5	None	None	Governing Body		1,2,4

GBAF ID	Risk Title	Risk Owner	Key Controls	Control Owner	Sources of Assurance	Assurance frequency	Positive Assurances Received	Next assurance due	Evidence (hyperlink)	Gaps In Controls	Gaps in Assurance Process	Monitoring Committee	Link to Risk Register	Link to other Strategic Principles
			Annual Delivery Plan - Monitoring reports	Chief Financial Officer	Receipt of paper to Governing Body meeting on progress against Annual Delivery Plan	Bi-monthly	Date: 17.09.2014 Two year delivery plan (9.4) and Appendices 1 and 2	17.09.2014	Governing Body 17.09.2014 9.4	None	None	Governing Body		1,2,4
			Standards of Business Conduct	Secretary and General Counsel	Receipt of paper to Shadow CCG Governing Body on Standards of Business Conduct	n/a	Approved by Shadow CCG prior to CCG commencing in April 2013	n/a	n/a	None	None	Governing Body		1,2,4

GBAF ID	Risk Title	Risk Owner	Key Controls	Control Owner	Sources of Assurance	Assurance frequency	Positive Assurances Received	Next assurance due	Evidence (hyperlink)	Gaps In Controls	Gaps in Assurance Process	Monitoring Committee	Link to Risk Register	Link to other Strategic Principles
Strategic Principle 4: Enabling Care Closer to Home														
4.1	Failure to work with partners	Chief Officer	NHS Constitution Assurance	Director of Quality	Receipt of update paper to Governing Body on NHS Constitution	Annual	Date: 20.11.2013 GB paper 9.1 Update on the NHS Constitution	19.11.2014	Governing Body 20.11.2013 9.1	None	None	Governing Body	O24 Integration with Local Authorities. Risk if Health & Social Care system is unable to meet the national policy of integration (9) E&D1 Risk of not successfully engaging the public in improving their health (6) SDRD19 Risk that there will be a sub-optimal use of resources by providers (12). FIN6 Risk of increase in Emergency Activity impacting on acute Trusts (15). CCP3.1 Risk of increased referrals in to acute hospitals (2). SDRD29 There is a risk to NHS financial sustainability due to low anticipated growth in resources and rising health cost and demand (20).	1,2,3
			NHS Constitution Assurance	Director of Quality	Receipt of update paper to Quality Group on NHS Constitution	Quarterly	Date: 12.09.2014 Paper 4.13 Enc Y	16.01.2014	Evidence held by Corporate Office	None	None	Quality Group		1,2
			NHS Dorset CCG Constitution	Secretary and General Counsel	Receipt of paper to Shadow Governing Body on CCG Constitution	n/a - one off assurance achieved	Date: 15.08.2012 CCG constitution approved by Shadow Governing Body, Area Team and Membership	n/a	NHS England hold all legacy PCT documents and minutes.	None	None	Governing Body		1,2,3
			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	Quarterly	Date: 16.07.2014 GB paper 7 Chief Officers Update	17.10.2014 (Overdue)	Governing Body 16.07.2014 7	None	NHS England (Wessex) Assurance review to be added, as a standing item in Chief Officers update from Nov 14. The Chief Officer Update (Part 1) for meeting on 19/11/2014 contains an	Governing Body		1,2,3
			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	Quarterly	Date: 11.09.2014 Checkpoint meeting with Area Team	28.11.2014	Assured by NHS England (Wessex)	None	4 domains 'Assured with Support', 2 domains fully assured - action plan in place. This is a gap that will probably always be blue due to the nature of the control.	NHS England (Wessex)		1,2,3
			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	Annual refresh	Date: 16.07.2014 GB Paper 7 Chief Officers Update	16.07.2015	Governing Body 16.07.2014 7	None	None	Governing Body		1,2,3
			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	Every Governing Body meeting	October update circulated via newsletter; Better Together was not discussed at the Sept Governing Body meeting	19.11.2014	None	None	The Chief Officer Update (Part 1) for the meeting on 19/11/2014 contains a Better Together update. This will form a separate report for GB meetings going forward.	Governing Body		3
			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	Every Governing Body meeting	Date: 17.09.2014 Urgent Care update presentation	19.11.2014	Evidence to be held by Corporate Office	None	None	Governing Body		1,3,4
			Area Team - Specialist and Primary Care Commissioning contracts	Director of Service Delivery	Responsibility of NHS England for Assurance	n/a	n/a	n/a	n/a	None	None	NHS England (Wessex)		1,2,3
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	Quarterly	CCGs participation in meetings	12.02.2015	External agency assured	None	External agency assured	Governing Body	1,2,3				

GBAF ID	Risk Title	Risk Owner	Key Controls	Control Owner	Sources of Assurance	Assurance frequency	Positive Assurances Received	Next assurance due	Evidence (hyperlink)	Gaps In Controls	Gaps in Assurance Process	Monitoring Committee	Link to Risk Register	Link to other Strategic Principles
			Working arrangements with Healthwatch	Chief Officer	Evidence of partnership working relationships in place reported through Chief Officers report to Governing Body	Annual	0	09.07.2015	Evidence held by Corporate Office	None	Regular meetings are arranged with the CCG Chair, Chief Officer and Chief Executive of Healthwatch Dorset. The Chief Executive of Healthwatch is attending the GB meeting on 19/11/14 to discuss the Healthwatch Dorset Every One Matters report.	Governing Body		2
			Health and Well-being Boards Work Programme	Chief Officer	Evidence of partnership working relationships in place reported through Chief Officers report to Governing Body	Quarterly	Date: 16.07.2014 GB paper 7 Chief Officer's update	16.10.2014 (Overdue)	Governing Body 16.07.2014 7	None	The Chief Officers update (Part 1) for the meeting on 19.11.2014 contains a paragraph containing a link to the previous minutes for both Health and Wellbeing Boards	Governing Body		2
			Clinical Senates	Director of Service Delivery	Evidence of partnership working	Six monthly	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.	17.12.2014	Evidence held by Corporate Office	None	Formalised reporting process needs to be developed	Governing Body		3
			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.	Six monthly	Date: 01.10.2014 Shadsow Joint Primary Care Committee meeting (Paper 8.3; Appendix 1)	01.03.2015	Evidence held by Corporate Office	None	None	Primary Care Committee		1
			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)	Every Governing Body meeting	Date: 17.09.2014 GB paper 9.1 Quality report	19.11.2014	Governing Body 17.09.2014 9.1	None	None	Governing Body		1,2,3
			Adults Safeguarding Board	Director of Quality	Receipt of update from Adult Safeguarding Nurse Specialist on all aspects of Adult Safeguarding to Governing Body	Six monthly	Date: 19.03.2014 Governing Body paper 9.7	19.11.2014	Governing Body 19.03.2014 9.7	None	None	Governing Body		1,2,3
			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)	Every Governing Body meeting	Date: 17.09.2014 GB paper 9.1 Quality report	19.11.2014	Governing Body 19.03.2014 9.8	None	None	Governing Body		1,2,3
			Children's Safeguarding Board	Director of Quality	Receipt of update from Designated Nurse on all aspects of Child Safeguarding to Governing Body	Six monthly	Date: 19.03.2014 Governing Body paper 9.7	19.11.2014	Governing Body 19.03.2014 9.7	None	None	Governing Body		1,2,3