

## Governance Report

### Governing Body meeting

# G

4 April 2013

Author(s)/Presenter and title	Linda Tully, Head of Governance and Company Secretary
Sponsor	Ian Atkinson, Accountable Officer
Key messages	
<ul style="list-style-type: none"> <li>• Sheffield Transfer Schemes for human resources and for property, assets and liabilities were approved at the PCT Board meeting on 18 March 2013 ready for the Secretary of State to issue formal instructions.</li> <li>• The functions of the Responsible Officer (formerly held by Dr Richard Oliver), transfers to Dr David Black at the NHS Commissioning Board (NHS CB)</li> <li>• All policies have been reviewed and are compliant with current legislation and CCG structures and ways of working to ensure we are able to operate safely.</li> </ul>	
Assurance Framework (AF)	
<ul style="list-style-type: none"> <li>• 1.3.2c Provides assurance that governance arrangements have been reviewed as part of the transition process</li> <li>• 898 This paper provides assurance that the CCG has a full set of appropriate and up to date policies to ensure it acts both legally and effectively.</li> </ul>	
Equality/Diversity Impact	
<p><b>Has an equality impact assessment been undertaken?</b> Yes</p> <p>All policies are subject to equality impact assessments and there is no evidence to suggest that the CCG policies will adversely impact on any of the 9 Projected Characteristics.</p>	
Recommendations	
<p>The Governing Body is asked to:</p> <ol style="list-style-type: none"> <li>Note the arrangements for the handover of functions and responsibilities from 1 April 2013, through the Transfer Schemes for human resources and property, assets and liabilities, issued by the Secretary of State.</li> <li>Note the transfer of the Responsible Officer role, previously held by Dr Richard Oliver, to Dr David Black at the NHS CB.</li> <li>Note the CCG has adopted relevant NHS Sheffield PCT policies, and assure itself that NHS Sheffield CCG is able to operate safely and meet our statutory obligations</li> </ol>	

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#### **1. Executive Summary**

This paper updates the Governing Body on action addressing three residual governance matters to ensure the organisation is prepared to take on its full statutory responsibilities from 1 April 2013.

#### **2. Sheffield Quality and Operational Handover**

The closedown of the Primary Care Trust (PCT) and the handover of functions and responsibilities are set out in legislative instruments, also referred to as Transfer Schemes, issued by the Secretary of State. This ensures all relevant knowledge is transferred to organisations responsible for commissioning healthcare services, and for Public Health, on 1 April 2013. There are two Transfer Schemes; one for human resources and one for property, assets and liabilities.

As part of this process, on 8 March 2013, representatives from Sheffield PCT, as the “sender”, attended the Clinical Commissioning Group (CCG) Quality Assurance Committee. The Governing Body had previously delegated authority to the Quality Assurance Committee to act as “receiver” on its behalf. Representatives from the NHS Commissioning Board (NHS CB) were also in attendance. The purpose of the meeting was to provide assurance that the transition to the new system would conclude safely and effectively, with a particular emphasis on service quality.

The PCT approved the schemes as formal instructions ready for the Secretary of State at the final PCT Board meeting on 18 March 2013.

The CCG as the receiver is not required to sign the schemes. We will, however, note the schemes in accordance with our internal governance arrangements.

#### **3. Responsible Officer**

The role of the Responsible Officer is to ensure patients continue to be protected through the evaluation of fitness to practise and the monitoring of conduct and performance of doctors. On 1 April 2013 this function, previously held by Dr Richard Oliver, will transfer to the NHS CB. Dr David Black will be the NHS CB Responsible Officer.

#### **4. Policy**

From 1 April 2013, the CCG will adopt relevant NHS Sheffield PCT policies. To ensure we are able to operate safely and meet our statutory obligations all policies have been reviewed and updated to ensure they are compliant with current legislation and CCG structures and ways of working.

Any policies which are no longer relevant to the new organisation have been deleted from the policy library. The policies put forward for adoption are listed at Annex 1 and can be viewed on the CCG Intranet site.

## **5. Recommendation**

The Governing Body is asked to:

- i. Note the arrangements for the handover of functions and responsibilities from 1 April 2013, through the Transfer Schemes for human resources and property, assets and liabilities, issued by the Secretary of State.
- ii. Note the transfer of the Responsible Officer role, previously held by Dr Richard Oliver, to Dr David Black at the NHS CB.
- iii. Note the CCG has adopted relevant NHS Sheffield PCT policies, and assure itself that NHS Sheffield CCG is able to operate safely and meet our statutory obligations

Paper prepared by Linda Tully, Company Secretary and Head of Governance

On behalf of Ian Atkinson, Accountable Officer

24 March 2013

## Policies

1. Commissioning Safeguarding Adults and Children's Policy
2. Clinical Audit Policy
3. Implementation of NICE guidance policy
4. Mental Capacity Act 2005 Policy
5. Procedure for the Management of Serious Untoward Incidents (SI s)
6. Infection Control Standard Precautions Guidance (NEW)
7. Commercial Sponsorship Policy
8. Losses and Special Payment Policy
9. Tendering Policy
10. Budget Management Policy
11. Claims Handling Policy
12. Compliments and Complaints Policy and procedure
13. Confidentiality Code of Conduct
14. Copying Copyright Material Policy
15. Fire Safety Policy
16. Health and Safety Policy
17. Incident Reporting Policy
18. Information Governance Framework
19. Information Quality Assurance Policy
20. Information Security Policy
21. Intellectual Property (management of) Policy
22. Communications and Engagement Strategy
23. Records Management Policy
24. Risk Management Strategy
25. Information Sharing Policy
26. Fraud Policy
27. Adoption Leave Policy
28. Adverse Weather Policy
29. Annual Leave Policy
30. Capability Policy
31. Career Break Scheme
32. Conduct, Capability, Ill Health and Appeals Policies and Procedures for Practitioners
33. Corporate and Local Induction Policy
34. Dealing with unacceptable behaviour policy
35. Dignity and Respect at Work Statement
36. Disciplinary Procedure
37. Drug and Alcohol Policy
38. Equal Opportunities (Employment) Policy
39. Essential (Statutory and Mandatory) Training Policy
40. Exit Interview Policy and Guidance Notes for Managers
41. Flexible Working Policy
42. Flexible Working Hours Scheme
43. Grievance Policy and Procedure
44. Home Working Policy
45. Learning & Development Policy
46. Lease Car Policy
47. Management of Organisational Change and Redundancy Policy

48. Management of stress policy
49. Maternity Leave Policy
50. Parental Leave, Partner Leave, Adoptive Partner Leave Policy
51. Performance and Development Review Policy
52. Pre and Post Appointment Checks Policy
53. Professional Registration Policy
54. Recognition Agreement
55. Recruitment and Retention Premia Policy
56. Recruitment and Selection Policy
57. Relocation and its Alternative Policy
58. Retirement Gifts Policy
59. Sickness Absence (Management of) Policy
60. Smoke-free Policy
61. Special Leave for Personal and Domestic Circumstances Policy
62. Whistleblowing Policy
63. Email Policy
64. Internet Acceptable Use Policy
65. Policy for the acceptance of gifts and hospitality
66. Remote Working and Mobile Devices Policy