

**NHS DORSET CLINICAL COMMISSIONING GROUP
GOVERNING BODY MEETING
REVIEW OF COMPLIANCE WITH THE NHS CLINICAL COMMISSIONING
GROUPS' CODE OF GOVERNANCE**

Date of the meeting	19/03/2014
Author	C G Lakeman, Governing Body Secretary and General Counsel
Sponsoring Board Member	T Goodson, Chief Officer
Purpose of Report	To inform the Governing Body of areas of possible non compliance.
Recommendation	The Governing Body is asked to Note the gap analysis.
Stakeholder Engagement	N/A
Previous GB / Committee/s, Dates	None.

Monitoring and Assurance Summary

This report links to the following Assurance Domains	<ul style="list-style-type: none"> • Quality • Engagement • Outcomes • Governance • Partnership-Working • Leadership 		
I confirm that I have considered the implications of this report on each of the matters below, as indicated:	Yes [e.g. ✓]	Any action required?	
		Yes Detail in report	No
All three Domains of Quality (Safety, Quality, Patient Experience)	✓		✓
Board Assurance Framework / Risk Register	✓		✓
Budgetary Impact	✓		✓
Legal / Regulatory	✓	✓	
People / Staff	✓		✓
Financial / Value for Money / Sustainability	✓		✓
Information Management & Technology	✓		✓
Equality Impact Assessment	✓		✓
Freedom of Information	✓		✓

Initials CGL

1. Introduction

- 1.1 Following a number of separate reports into the causes of various high profile financial scandals the Combined Code on Corporate Governance came into existence in 2003. This was revised in 2006, 2008 and again in 2010 resulting in the UK Corporate Governance Code.
- 1.2 Companies are required to disclose how they have complied with the code or explain where or why the code has not been followed.

2. Report

- 2.1 A supplemental Corporate Governance Code was published in November 2013 specifically for CCGs. This report sets out NHS Dorset CCG's compliance with the Code.
- 2.2 The aim of the code was to develop a concise document that outlined governance principles that support clinicians and those that work with them to perform their commissioning activities and help maintain public trust in clinicians and the NHS. It is a voluntary document but it is good practice to review activities to confirm compliance and to note and explain areas of non-compliance.
- 2.3 The NHS Code is available from <https://www.icsa.org.uk/assets/files/pdfs/guidance/nhs/ccg-code-nov-2013.pdf> and summarises six principles that CCGs should follow.
- 2.4 Each principle of the Code has an explanatory paragraph and a number of suggestions for demonstrating compliance with the individual principle together with a number of key questions that may be asked by and of the CCG to test compliance.
- 2.5 I have carried out a gap analysis against the suggested achievement criteria and the key questions and can confirm that the CCG is able to demonstrate compliance in the majority of areas.
- 2.6 The areas of possible non-compliance are as follows:
 - Principle 3: The CCG may be unable to show significant interaction with other CCGs although it is clearly aware of and understands the different relationships to be built and maintained when working with other commissioning organisations. This may be explained because of NHS Dorset CCG's size in relation to other CCGs.
 - Principle 5: The CCG has already just initiated plans to publish learning from and responses to complaints, following recommendations in the Francis report. This will be implemented immediately.
 - Principle 6: The Governing Body has not received an annual summary of information that is available to the public. This will be addressed and presented at the Governing Body's May meeting.

- 2.7 In all other respects the CCG complies with the code.
- 2.8 Members are asked to review the code and to consider whether they agree with the areas of non-compliance and the rationale therefore and whether there are any other areas of non-compliance not yet identified.

3. Conclusion

- 3.1 The Governing Body is asked to approve the assessment of compliance with the NHS CCG Code of Governance.

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Date : 25/02/2014

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