

## NHS DORSET CLINICAL COMMISSIONING GROUP

## GOVERNING BODY

## GOVERNANCE ARRANGEMENTS

<b>Date of the meeting</b>	18/11/2020
<b>Author</b>	S Lower, Corporate Office Manager
<b>Lead Director</b>	T Goodson, Chief Officer
<b>Purpose of Report</b>	Governing Body approval is sought for a proposed change to the Scheme of Reservation and Delegation (SoRD) contained in the Dorset CCG Governance Handbook, as set out in the report below.
<b>Recommendation</b>	The Governing Body is asked to <b>approve</b> the formal delegation to Directors (through the Directors' Performance meeting) to approve Dorset CCG operational policies, and to delegate to the Audit Committee to receive a quarterly update on approved new/revised Policies as set out in paragraph 1.6 below.

## Monitoring and Assurance Summary

<b>Conflicts of Interest</b>	N/A
<b>Involvement and Consultation</b>	The appropriate involvement/consultation would take place in the development/revision of an operational Policy.
<b>Equality, Diversity and Inclusion</b>	The need for an Equality Impact Assessment to be undertaken would be considered for all new/revised Policies.
<b>Financial and Resource Implications</b>	N/A
<b>Legal/governance</b>	Legal advice was sought to ensure the proposed delegation change to the SoRD delegation was appropriate in terms of the CCG's governance.
<b>Risk description/rating</b>	N/A

## 1. Background

- 1.1 Under the Scheme of Reservation and Delegation (SORD) contained within the Dorset CCG Governance Handbook, approval of CCG Policies is reserved to the Governing Body as set out in the SORD extract below:-

# 9.5

Policy Area	Decision
Regulation and Control	<ul style="list-style-type: none"> <li>- Approve detailed financial policies e.g. Standing Financial Instructions</li> <li>- Approve amendments to prime financial policies</li> <li>- Approve Standards of Business Conduct (incorporating the Conflicts of Interest) Policy (following recommendation for approval by the Audit Committee)</li> </ul>
Human Resources	- Approve Human Resources policies for employees and for other persons working on behalf of the CCG
Quality and Safety	- Approve arrangements, including supporting policies, to minimise clinical risk, maximise patient safety and to secure continuous improvement in quality and patient outcomes

- 1.2 Following the disbanding of the Clinical Commissioning Committee, clinical Policies are agreed by the system-wide Clinical Reference Group (chaired by the Dorset CCG Chair).
- 1.3 A significant number of the CCG's Policies are operational and Governing Body approval is sought to delegate approval of these to Directors (through the Directors' Performance meeting) as proposed below:-

Policy Area	Decision	<u>Proposed future approval</u>
Regulation and Control	<ul style="list-style-type: none"> <li>- Approve detailed financial policies e.g. Standing Financial Instructions</li> <li>- Approve amendments to prime financial policies</li> <li>- Approve Standards of Business Conduct (incorporating the Conflicts of Interest) Policy (following recommendation for approval by the Audit Committee)</li> </ul>	<b>All to remain with the Governing Body</b>
Human Resources	- Approve Human Resources policies for employees and for other persons working on behalf of the CCG	<b>To be delegated to Directors (through the Directors' Performance meeting)</b>
Quality and Safety	- Approve arrangements, including supporting policies, to minimise clinical risk, maximise patient safety and to secure continuous improvement in quality and patient outcomes	<p><b><u>Non-clinical Policies</u></b></p> <p><b>To be delegated to Directors (through the Directors' Performance meeting)</b></p> <p><b><u>Clinical Policies</u></b></p> <p><b>To remain with the system-wide Clinical Reference Group</b></p>

**(To note** : the Freedom to Speak Up : Raising Concerns (Whistleblowing) Policy for the NHS is reviewed annually by the Audit Committee).

1.4 An example of the types of operational policies are set out below:-

- Acceptable use of the Internet Policy
- Adverse Incidents Policy
- Conduct and Capability Policy
- Customer Care and Complaints Policy
- Data Protection Policy
- Dignity at Work and Grievance Policy
- Freedom of Information Policy
- IT Security Policy
- Leave Policy
- Records Management and Retention Policy
- Recruitment and Selection Policy
- Work-Life Balance Policy

1.5 As part of the delegated approval process, the relevant working group would seek approval at the Directors' Performance meeting to any new/revised operational policy. As part of the approval process, Directors would consider whether any new operational policy was of a more strategic/core nature or any proposed revisions were of material significance and therefore requiring Governing Body approval.

1.6 For assurance purposes, it is proposed the Governing Body delegate to the Audit Committee to receive a quarterly update on approved new/revised operational policies to enable oversight if felt appropriate. This delegation would sit within the current remit of the Audit Committee as set out in its Terms of Reference.

## 2. **Conclusion**

2.1 The Governing Body is asked to **approve** the delegation of Dorset CCG operational Policies to Directors (through the Directors' Performance meeting) and to delegate to the Audit Committee to receive a quarterly update in relation to approved new/revised Policies as set out in 1.6 above.

**Author's name and Title : S Lower, Corporate Office Manager**  
**Date : 13/10/2020**