

# Surrey Downs Clinical Commissioning Group

Governing Body  
30<sup>th</sup> September 2016

## SD CCG Policies Update

<b>Agenda item 20 Paper 14</b>	
<b>Author:</b>	Jo Silcock, Corporate Governance
<b>Executive Lead:</b>	Matthew Knight, Chief Finance Officer
<b>Relevant Committees or forums that have already reviewed this paper:</b>	-
<b>Action required:</b>	For Information
<b>Attached:</b>	-
<b>CCG Strategic objectives relevant to this paper:</b>	Corporate Governance
<b>Risk</b>	If a policy is missing or has passed its review date then staff may not act correctly and the CCG will fail to comply with statutory regulations or guidance.
<b>Compliance observations:</b>	<b>Finance:</b> N/A
	<b>Engagement :</b> N/A
	<b>Quality impact:</b> N/A
	<b>Equality impact:</b> All policies should consider the equality impact.
	<b>Privacy impact:</b> Most policies consider the privacy impact.
	<b>Legal:</b> Failure to comply with statutory regulations or guidance will lead to interventions from regulators.

## **EXECUTIVE SUMMARY**

Policies provide the Governing Body a mechanism to inform interested parties and its staff on the approach being used locally to comply with statutory regulations and guidance. As the regulations and guidance change, so it is necessary to review the policies to ensure the local approach is appropriate.

The attached document lists all the current policies in place and under development. Where a policy is under development or is past its review date, a short status comment has been supplied.

The Governing Body is asked to note that a policy, which has passed its review date, remains effective i.e. It does not “expire”.

<b>Date of paper</b>	13 <sup>th</sup> September 2016
<b>For further information contact:</b>	<a href="mailto:Jo.Silcock3@nhs.net">Jo.Silcock3@nhs.net</a>

# Master Index of Policies and Procedures - Surrey Downs CCG

	= In date
	= Will be out of date within next three months
	= Need agreed but not in place
	= Out of date
	= Need not agreed

Ref	Name of Policy	Owner	Executive lead	Status	Type	Committee responsible for approving	Last approved	Review Date	Current Governance Admin Activity
CG01	Policy for the creation, development, implementation and review of policies and related procedural	Governing Body Secretary	Chief Finance Officer	Cat4 - In Date	Corporate	Audit Committee	14/10/2015	01/01/2017	
CG02	Risk Management Strategy	Governing Body Secretary	Chief Finance Officer	Cat1 - Out Of Date	Corporate	Governing Body	24/04/2015	24/04/2016	Being re-written
CG04	Business Continuity	Executive Business Manager	Chief Finance Officer	Cat1 - Out Of Date	Corporate	Audit Committee	13/01/2015	01/08/2016	Minor updates outstanding Oct 16
CG05	Comments, Concerns, Complaints and Compliments Policy	Head of Quality	Director of Clinical Performance and Delivery	Cat4 - In Date	Quality	Quality Committee	09/09/2016	09/09/2018	
CG06	Internal CCG Incidents Policy	Governing Body Secretary	Chief Finance Officer	Cat2 - Need Agreed But Not In Place	Corporate	Audit Committee	N/A	N/A	Under development
CG08	Procurement Policy	Head of Legal	Chief Finance Officer	Cat4 - In Date	Corporate	Audit Committee	22/04/2016	31/05/2017	
CG09	Corporate and Social Responsibility Policy	Governing Body Secretary	Chief Finance Officer	Cat2 - Need Agreed But Not In Place	Corporate	Finance and Performance Committee	N/A	N/A	On hold
CG12	Performance Management of Healthcare Contracts	Governing Body Secretary	Chief Finance Officer	Cat2 - Need Agreed But Not In Place	Corporate	Finance and Performance Committee	N/A	N/A	Draft being reviewed by Dan Brown - to include contract database
CG13	Service change strategy	Head of Project Management Office	Director of Commissioning and Strategy	Cat2 - Need Agreed But Not In Place	Corporate	Finance and Performance Committee	N/A	N/A	On hold
CG14	Quality and Equality Impact Assessment	Head of Quality	Director of Clinical Performance and Delivery	Cat4 - In Date	Quality	Quality Committee	27/10/2015	01/11/2018	
CG16	Prevent	Executive Business Manager	Chief Finance Officer	Cat4 - In Date	Human Resources	Remuneration and Nominations Committee	29/07/2016	01/04/2018	
CG17	Emergency Preparedness, Resilience and Response Policy	Executive Business Manager	Chief Finance Officer	Cat4 - In Date	Corporate	Governing Body	29/07/2016	28/07/2018	
CG18	Incident & Serious Incident Policy/Procedure	Head of Quality	Director of Clinical Performance and Delivery	Cat4 - In Date	Quality	Quality Committee	09/09/2016	09/09/2018	
CL01	Policy and Operating Procedures for Individual Funding Requests	Head of Planned Care and Referral Management	Director of Clinical Performance and Delivery	Cat1 - Out Of Date	Clinical	Governing Body	01/04/2013	01/10/2013	Will be updated after completion of review by David Sines
CL02	List of Procedures that are not routinely funded - requiring Individual Funding Applications	Head of Planned Care and Referral Management	Director of Clinical Performance and Delivery	Cat3 - 3 Months	Clinical	Governing Body	01/04/2016	01/10/2016	Will be updated after completion of review by David Sines
CL03	Procedures of Limited Clinical Effectiveness (POLCE)	Head of Planned Care and Referral Management	Director of Clinical Performance and Delivery	Cat3 - 3 Months	Clinical	Governing Body	01/04/2016	01/10/2016	Will be updated after completion of review by David Sines
CL04	Assisted Conception Policy	Head of Quality	Director of Commissioning and Strategy	Cat4 - In Date	Clinical	Governing Body	27/05/2016	01/05/2017	

CL05	Continuing Health Care Operational Policy	Head of Continuing Health Care	Director of Clinical Performance and Delivery	Cat1 - Out Of Date	Clinical	Governing Body	21/03/2014	10/02/2016	Expected to go to Quality Comm Oct 16
CL06	Adult Safeguarding	Head of Quality	Director of Clinical Performance and Delivery	Cat1 - Out Of Date	Clinical	Governing Body	27/11/2015	13/06/2016	Minor review in progress
CL07	Child Safeguarding	Head of Quality	Director of Clinical Performance and Delivery	Cat1 - Out Of Date	Clinical	Governing Body	10/07/2015	18/04/2016	Minor review in progress
CL11	Nurse Supervision Policy	Head of Continuing Health Care	Director of Clinical Performance and Delivery	Cat4 - In Date	Clinical	Quality Committee	N/A	N/A	
CL12	Referral Support Service Operating Policy	Head of Planned Care and Referral Management	Director of Commissioning and Strategy	Cat4 - In Date	Clinical	Finance and Performance Committee	12/05/2015	12/05/2017	
CL13	Operating process for dealing with Procedures of Limited Clinical Effectiveness (POLCE) and Assisted Conception	Head of Planned Care and Referral Management	Director of Clinical Performance and Delivery	Cat4 - In Date	Clinical	Governing Body	01/08/2016	01/02/2017	
CL14	CHC Choice Policy	Head of Continuing Health Care	Director of Clinical Performance and Delivery	Cat2 - Need Agreed But Not In Place	Clinical	Quality Committee		N/A	Expected to go to Quality Comm Oct 16
CL15	Transfer of Care Policy	Head of Continuing Health Care	Director of Clinical Performance and Delivery	Cat2 - Need Agreed But Not In Place	Clinical	Quality Committee		N/A	Awaiting agreement across Surrey
FBC01	Fraud, Bribery and Corruption Policy	Governing Body Secretary	Chief Finance Officer	Cat4 - In Date	Fraud, Bribery And Corruption	Audit Committee	14/10/2015	31/10/2018	
FBC02	Gifts and Hospitality Policy	Governing Body Secretary	Chief Finance Officer	Cat4 - In Date	Fraud, Bribery And Corruption	Audit Committee	14/10/2015	14/08/2017	
FBC03	Standards of Business Conduct	Governing Body Secretary	Chief Finance Officer	Cat4 - In Date	Fraud, Bribery And Corruption	Audit Committee	25/08/2015	31/08/2017	
FBC04	Conflict of Interest	Governing Body Secretary	Chief Finance Officer	Cat4 - In Date	Fraud, Bribery And Corruption	Audit Committee	06/09/15	01/08/2017	
FBC05	Working with the Pharmaceutical Industry	Head of Medicines Management	Director of Clinical Performance and Delivery	Cat2 - Need Agreed But Not In Place	Fraud, Bribery And Corruption	Audit Committee	N/A	N/A	Part of COI Policy Update
FBC06	Parallel Sanctions	Governing Body Secretary	Chief Finance Officer	Cat2 - Need Agreed But Not In Place	Fraud, Bribery And Corruption	Audit Committee	N/A	N/A	Request to Internal Audit
HR01	Attendance Management Policy	Head of HR	Chief Officer	Cat4 - In Date	Human Resources	Remuneration and Nominations Committee	24/11/2015	24/11/2018	
HR02	Alcohol and Substance Misuse at Work Policy	Head of HR	Chief Officer	Cat4 - In Date	Human Resources	Remuneration and Nominations Committee	15/12/2015	15/12/2018	
HR03	Disciplinary Policy	Head of HR	Chief Officer	Cat4 - In Date	Human Resources	Remuneration and Nominations Committee	10/11/2015	10/11/2018	
HR04	Grievance and Dignity at Work	Head of HR	Chief Officer	Cat4 - In Date	Human Resources	Remuneration and Nominations Committee	19/01/2016	29/01/2019	
HR05	Leave Policy and Flexible Working Guide	Head of HR	Chief Officer	Cat4 - In Date	Human Resources	Remuneration and Nominations Committee	24/02/2015	31/01/2018	
HR06	Health & Safety Policy	Executive Business Manager	Chief Officer	Cat4 - In Date	Human Resources	Remuneration and Nominations Committee	29/07/2016	01/08/2018	
HR07	Performance Management Policy	Head of HR	Chief Officer	Cat4 - In Date	Human Resources	Remuneration and Nominations Committee	15/12/2015	24/11/2018	

HR08	Recruitment Policy and Procedure	Head of HR	Chief Officer	Cat1 - Out Of Date	Human Resources	Remuneration and Nominations Committee	29/09/2013	30/09/2015	Approved version expected Oct 16
HR09	Whistleblowing Policy	Head of HR	Chief Officer	Cat1 - Out Of Date	Human Resources	Remuneration and Nominations Committee	23/06/2015	29/09/2014	Under review
HR10	Appraisal Policy	Head of HR	Chief Officer	Cat4 - In Date	Human Resources	Remuneration and Nominations Committee	27/05/2016	27/05/2019	
HR11	Fire Safety Policy	Executive Business Manager	Chief Finance Officer	Cat4 - In Date	Human Resources	Remuneration and Nominations Committee	29/07/2016	01/08/2018	
HR12	Equality and Diversity	Head of HR	Chief Officer	Cat4 - In Date	Human Resources	Remuneration and Nominations Committee	15/12/2015	15/12/2018	
HR14	Learning and Development	Head of HR	Chief Officer	Cat4 - In Date	Human Resources	Remuneration and Nominations Committee	29/07/2016	29/07/2019	
HR15	Adverse weather and Travel Disruption policy	Head of HR	Chief Officer	Cat4 - In Date	Human Resources	Remuneration and Nominations Committee	15/12/2015	01/10/2018	
HR19	Lone worker	Head of HR	Chief Officer	Cat4 - In Date	Human Resources	Remuneration and Nominations Committee	15/12/2015	24/11/2018	
HR21	Organisational change	Head of HR	Chief Officer	Cat1 - Out Of Date	Human Resources	Remuneration and Nominations Committee	26/05/2014	01/05/2015	Expected for approval Jan 16
HR25	Talent Management	Head of HR	Chief Officer	Cat2 - Need Agreed But Not In Place	Human Resources	Remuneration and Nominations Committee		NA	Expected for approval Jan 16
HR26	Staff Expenses & Petty Cash	Head of Finance	Chief Officer	Cat2 - Need Agreed But Not In Place	Human Resources	Remuneration and Nominations Committee		NA	Expected for approval Jan 16
HR30	Disclosure and Barring	Head of HR	Chief Officer	Cat2 - Need Agreed But Not In Place	Human Resources	Remuneration and Nominations Committee		NA	Expected for approval Jan 16
HR31	Reimbursement of expenses for patient and carer representatives	Head of Communications	Chief Officer	Cat4 - In Date	Human Resources	Remuneration and Nominations Committee	25/11/2014	01/11/2016	
HR32	Clinical appraisal	Head of HR	Chief Officer	Cat4 - In Date	Human Resources	Remuneration and Nominations Committee	15/12/2015	15/12/2018	
HR33	Maternity	Head of HR	Chief Officer	Cat4 - In Date	Human Resources	Remuneration and Nominations Committee	19/01/2016	19/01/2018	
HR34	Secondment Policy	Head of HR	Chief Officer	Cat4 - In Date	Human Resources	Remuneration and Nominations Committee	18/03/2016	18/03/2019	
HR35	Paternity and Shared Parental Leave	Head of HR	Chief Officer	Cat2 - Need Agreed But Not In Place	Human Resources	Remuneration and Nominations Committee		NA	Expected for approval Apr 16
HR36	Career Break	Head of HR	Chief Officer	Cat4 - In Date	Human Resources	Remuneration and Nominations Committee	29/07/2016	29/07/2019	
HR 37	Interim Guidelines	Head of HR	Chief Officer	Cat4 - In Date	Human Resources	Remuneration and Nominations Committee	29/07/2016	29/07/2019	
HR38	Probationary Period Policy	Head of HR	Chief Officer	Cat4 - In Date	Human Resources	Remuneration and Nominations Committee	29/07/2016	29/07/2019	

<b>IG01</b>	IG Framework	Governing Body Secretary	Chief Finance Officer	<b>Cat4 - In Date</b>	<b>Information Governance</b>	Audit Committee	27/10/2015	29/10/2017	
<b>IG02</b>	IG Policy	Head of IG	Chief Finance Officer	<b>Cat4 - In Date</b>	<b>Information Governance</b>	Audit Committee	27/01/2015	27/01/2017	
<b>IG03</b>	Information Security Policy	Head of IG	Chief Finance Officer	<b>Cat4 - In Date</b>	<b>Information Governance</b>	Audit Committee	27/01/2015	27/01/2017	
<b>IG04</b>	Remote Working and Portable Devices Policy	Executive Business Manager	Chief Finance Officer	<b>Cat4 - In Date</b>	<b>Information Governance</b>	Audit Committee	25/08/2015	01/08/2017	
<b>IG05</b>	Safe Haven Policy	Governing Body Secretary	Chief Finance Officer	<b>Cat4 - In Date</b>	<b>Information Governance</b>	Audit Committee	02/11/2015	02/11/2017	
<b>IG06</b>	Data Subject Access Procedure	Governing Body Secretary	Chief Finance Officer	<b>Cat4 - In Date</b>	<b>Information Governance</b>	Audit Committee	04/08/2015	04/08/2017	
<b>IG07</b>	Confidentiality and Data Protection Policy	Governing Body Secretary	Chief Finance Officer	<b>Cat4 - In Date</b>	<b>Information Governance</b>	Audit Committee	27/10/2015	20/10/2017	
<b>IG08</b>	Records Management Policy	Head of IG	Chief Finance Officer	<b>Cat4 - In Date</b>	<b>Information Governance</b>	Audit Committee	27/01/2015	27/01/2017	
<b>IG09</b>	Freedom of Information Policy	Head of Communications	Chief Officer	<b>Cat4 - In Date</b>	<b>Information Governance</b>	Audit Committee	10/11/2015	10/11/2017	
<b>IG10</b>	Information Incident Reporting Policy	Head of IG	Chief Finance Officer	<b>Cat4 - In Date</b>	<b>Information Governance</b>	Audit Committee	27/10/2015	27/10/2017	
<b>IG11</b>	Registration Authority Smartcard Use Policy (Includes Misuse)	Head of IG	Chief Finance Officer	<b>Cat4 - In Date</b>	<b>Information Governance</b>	Audit Committee	11/12/2015	11/12/2016	
<b>IG14</b>	Use of Internet Policy	Head of IG	Chief Officer	<b>Cat2 - Need Agreed But Not In Place</b>	<b>Information Governance</b>	Audit Committee		NA	Request passed to Robert Wells.