

Committee:	Governing Body	Date: 23/01/18
Venue:	Boardroom, Dominion House, Guildford	
Title of Report	Extension of the Policies/Plans & Revision to Standards of Business and Conflict of Interest Policy	
Date of Report	05/01/18	
Status:	FOR APPROVAL/RATIFICATION	

Presented by:	Karen McDowell, Chief Finance Officer and Elaine Newton, Executive Director for Communications and Corporate Affairs, Surrey Heartlands' CCGs	
Executive Lead:	Chief Finance Officer & Executive Director for Communications and Corporate Affairs, Surrey Heartlands' CCGs	
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Finance Lead Sign off	Anna Gavrilov, Head of Finance	26/11/2017

Relevant Legislation and Source Documents		
Conflict of Interest	None	
Governance and Reporting <i>(relevant committees/forums the paper has previously been presented to)</i>	Audit Committee December 2017	Recommendation to extend/revise

Attachments:	None
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<p>Executive Summary</p> <p>Due to the transition to Surrey Heartlands Partnership, an extension is requested to end of the financial year 2017/18 of policies and plans as detailed in the table below.</p> <p>A revision to the Standards of Business and Conflict of Interest Policy as detailed below was reviewed by the December 2017 Audit Committee and is recommended to the Governing Body for ratification.</p>

Extension requested for the following policies/plans to the end of the financial year 2017/18	
a) Detailed Financial Policies;	An extension to these policies was recommended by Audit Committee on 12/12/17.
b) Prime Financial Policies;	
c) Financial Policy Summary Guidance;	
d) Fraud, Bribery and Corruption Policy	
e) Joint LCFS and HR Working Protocol for Parallel Criminal and Disciplinary Investigations;	Surrey Heartlands' CCGs - Guildford and Waverley, North West Surrey and Surrey Downs CCGs – are working collaboratively to align the current financial policies to have a consistent approach across Surrey Heartlands Partnership. Should the overarching policies be complete before the end of the financial year, they will be included on the next Audit Committee agenda (March 2018).
f) Reimbursement of Expenses Policy (non-employees)	
g) Policy and Procedure for Losses and Special Payments	
h) Emergency Preparedness, Resilience and Response Policy	The October 2017 Governing Body approved an extension of these policies/plans to January 2018.
i) Pandemic Influenza Plan	
j) Incident Management Plan	
	<p>The Governing Body is asked for a further extension to the end June 2018 to enable further development work of a joint policy/plan across the Surrey Heartlands' CCGs following the outcome of the new structures being known.</p> <p>The content of the plans is still current and follows best practice.</p>
Revision to Policy	
Standards of Business Conduct and Conflict of Interest Policy	<p>Audit Committee on 12/12/17 reviewed the separate GP practice statement for compliance for prescribing developed locally pending assurance of GP member compliance with declarations of interest which is now at 98%. Audit Committee recommend the statement is removed from the policy as superfluous to the requirement of statutory guidance.</p> <p>Governing Body are asked to ratify the recommendation.</p>

Implications:

Health/ CCG strategic objectives	We will be a learning, listening organisation that values our staff and the wider workforce and supports partnership working and good governance both within the CCG and between organisations.
Financial/ Resource	Financial policies and procedures provide an internal control framework to support the delivery of statutory obligations around achieving financial balance and effectively managing financial resources.
Legal/ Compliance	<p>The CCG must ensure it has policies in place as part of its governance framework</p> <p>Civil Contingencies Act 2004, Health and Social Care Act 2012 (Sections 46 and 47) and <i>NHS England EPRR Core Standards</i></p> <p>Civil Contingencies Act 2004 and Health and Social Care Act 2012 (Sections 46 and 47)</p> <p>NHS Gateway ref: 06967– 10 July 2017 – EPRR Assurance Process Guidance</p> <p>Incident Management Plan 2017</p> <p>2017 EPRR Assurance Assessment</p>
Equality Analysis	N/A
Patient and Public Engagement	N/A
Risk (including reputational) and rating	Robust financial policies and procedures are a key component of the financial control environment and reduce the risk of financial impropriety.

Recommendation(s):

- 1) **TO APPROVE** the extension of the financial policies a) – g) to the end of the financial year 2017/18 as recommended by Audit Committee
- 2) **TO APPROVE** the further extension of policies and plans detailed h) – j) to the end of June 2018
- 3) **TO RATIFY** the recommendation of the Audit Committee to remove the statement of GP compliance from the Standard of Business and Conflict of Interest Policy which is over and above statutory guidance.

Next Steps:

Guildford and Waverley CCG, North West Surrey CCG and Surrey Downs CCGs will continue to work collaboratively to align the current policies/plans.

For further information contact	Chris Head, Governing Body Secretary
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