

# HSI21/071

## GOVERNING BODY

<b>Title of paper</b>	Policy Development Programme: Update Report		
<b>Agenda item</b>	11	<b>Date of meeting</b>	3 November 2021
<b>Exec lead</b>	Fiona Howarth, Chief of Staff	<b>Clinical sponsor</b>	N/A
<b>Author</b>	Jackie Zabiela, Governance Manager		

<b>Purpose</b>	For decision	<input type="checkbox"/>	<b>Link to strategic objective</b>	Policies and procedural documents are a key component of the Hampshire, Southampton and Isle of Wight CCG corporate governance framework and risk management system, which keep the organisation and its staff safe, protect the same from challenge, reputational damage and claim for redress. This framework supports all of the CCGs strategic objectives.
	To ratify	<input checked="" type="checkbox"/>		
	To discuss	<input type="checkbox"/>		
	To note	<input checked="" type="checkbox"/>		

### Executive Summary

This report outlines progress on the development of a Policy Development and Review Programme, including the establishment of a Policy Sub Group with oversight via the Audit and Risk Committee.

The Policy Sub Group has met on two occasions since the last update report was provided to the Governing Body on 8 September 2021 and approved the following documents for ratification / adoption:

#### **HR Policies**

- Performance Improvement (Management) Policy HR/003/V1.0
- Disciplinary Policy HR/004/V1.0
- Grievance Policy HR/005/V1.0
- Recruitment and Selection Policy HR/006/V1.0
- Secondment Policy HR/007/V2.0
- Probationary Policy HR/008/V1.0

#### **Information Governance Policies / Documentation**

- Staff Fair Processing Notice (IG/012/V1.1)
- Data Protection Impact Assessment Template (IG/013/V7.0)
- Information Asset Owner / Data Custodian Handbook (IG/009/V1.1)
- Information Governance Training Needs Analysis 2021/22
- Information Risk Management Programme (IG/011/V1.2)
- Records Management Policy (IG/010/V1.2)
- Privacy Statement / Fair Processing Notice (IG/001/V1.5) – *Updated*

#### **Corporate Policies**

- Social Value Policy CORP/007/V5.2

- Corporate Prepaid Card Policy CORP/008/V1.0

The Policy Sub Group also approved the adoption of the following Information Technology Security Policies, which CCG staff are required to adhere to:

**Mainland sites where IT support is provided by South Central and West Commissioning Support Unit i.e. SCWCSU owned IT Policies**

- Information Security Policy V4
- Anti-Virus Policy V4
- Asset Management Policy V2
- Clear Screen & Desk Policy V4
- IT Disposal Policy V4
- Network Security Policy V4
- Password Policy V4
- Patch Management Policy V3
- System Level Security Policy V4
- Acceptable Use Policy V4
- Access Control Policy V4
- Remote Working & Portable Devices Policy V3
- IT Change Management Policy V5.3
- Registration Authority Policy V4.2

**Sites based on Isle of Wight where IT support is provided by Isle of Wight NHS Trust IT Services i.e. IoW Trust owned IT Policies**

- Acceptable Use of ICT Policy V2
- Information Security Policy V4
- Remote Working & Portable Devices Policy V4

<b>Recommendations</b>	<p><b>The Governing Body is asked to:</b></p> <ul style="list-style-type: none"> <li>• <b>Note progress with the policy development and review programme</b></li> <li>• <b>Ratify / approve for adoption the policies / documentation as listed above which have been reviewed and approved by Policy Sub Group for use by the CCG.</b></li> </ul>
<b>Publication</b>	<p><b>Include on public website ✓</b></p>

<b>Please provide details on the impact of following aspects</b>	
Equality and quality impact assessment	Equality Impact Assessments are undertaken on policies which have been identified as having a medium or high impact on people with protected characteristics i.e. the Confidentiality and Safe Haven Policy and Information Governance Policy.
Patient and stakeholder engagement	NA
Financial impact, legal implications and risk	NA

<b>Governance and Reporting- which other meeting has this paper been discussed</b>		
Committee Name	Date discussed	Outcome
Policy Sub Group	23 September and 18 October 2021	Policies approved for ratification as listed above.

## POLICY DEVELOPMENT PROGRAMME

### Update Report (November 2021)

#### INTRODUCTION

Policies and procedural documents are a key component of the Hampshire, Southampton and Isle of Wight CCG corporate governance framework and risk management system, which keep the organisation and its staff safe, protect the same from challenge, reputational damage and claim for redress. The CCG uses policies and procedures to enable staff working for, and with us, to do so in a way that is efficient, consistent, safe and in keeping with our values, objectives and purpose. The development, approval and monitoring of the use of our policies, also ensures that we meet statutory, legal and insurance requirements as well as best practice in relation to corporate and clinical governance.

A Policy Sub Group has been established with responsibility for managing the work programme as well as the review and recommendation for approval of policies, guidelines and procedures. The Audit and Risk Committee will have oversight of the Policy Sub Group's activities, and the CCG Governing Body is responsible for the final ratification of policies for use within the CCG. Approved policies / documents are published on the CCG website (corporate) or intranet (human resources).

Consideration is now being given to how key Hampshire, Southampton and Isle of Wight CCG and Portsmouth CCG Policies can be brought into alignment in readiness for the Hampshire and Isle of Wight (HIOW) Integrated Care System (ICS) from April 2022; this work stream is being led by the Process Solutions Finding Group and links to the wider ICS Transition Programme.

Whilst there has not been a meeting of the Audit and Risk Committee since the last update was provided to the Governing Body, this report has been shared with the Chair of the Committee.

#### DOCUMENTATION FOR RATIFICATION

The Governing Body is asked to ratify the following new / updated documentation which has been reviewed and approved by the Policy Sub Group for onward ratification by the Governing Body (copies can be found in the Reading Room for information):

##### ***HR Policies***

- Performance Improvement (Management) Policy HR/003/V1.0
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- Remote Working & Portable Devices Policy V3
- IT Change Management Policy V5.3
- Registration Authority Policy V4.2

### **Sites based on Isle of Wight where IT support is provided by Isle of Wight NHS Trust IT Services i.e. IoW Trust owned IT Policies**

- Acceptable Use of ICT Policy V2
- Information Security Policy V4
- Remote Working & Portable Devices Policy V4

## **POLICY / DOCUMENTATION DEVELOPMENT SUMMARY**

The following is a summary of the numbers and status of the documents currently listed on the initial draft policy / document schedule, a copy of which is available in the Reading Room for information.

<b>Status</b>	<b>Number</b>	
	<b>Last Reported</b>	<b>Current</b>
Policies / documents approved and ratified for use within the CCG	4	15
Policies / documents awaiting approval / ratification	10	32
Predecessor CCG policies / documents overdue for review (not started)	61	15
Predecessor CCG policies / documents overdue for review (started)	7	13
Predecessor CCG policies / documents not yet due for review (not started)	15	12
Predecessor CCG policies / documents not yet due for review but for which work is already underway	2	3
New policies / documents in draft / in development	0	4
New policies / documents suggested for future development (by predecessor CCGs)	9	3
<b>Total</b>	<b>108</b>	<b>97</b>

Policies are categorised as follows:

- **HR** – currently there is a total of 21 HR related policies listed on the schedule. Of these eight have been approved or awaiting ratification, two new policies under development, four are overdue but work currently in progress, three not yet due for review but work in progress, one not yet due for review (needs to be re-written with Finance team). The three listed as overdue for review with no action currently underway are as follows:
  - Salary Over and Under Payments Policy: this is a SCW CSU HR Policy which will need to be reviewed
  - Agency and Interim Use Policy: this will now be in the form of an appendix to the Recruitment and Selection Policy
  - Travel and Expenses Policy: whilst the policy itself is overdue, the electronic claims process is available on the internal StayConnected Portal.
- **Information Governance** – the full suite of 13 policies / documents has been approved or awaiting final ratification. These will be required for the CCGs Data Security and Protection Toolkit (DSPT) submission
- **IT Security** – there is a suite of 18 IT security related policies, one of which is overdue for review; scheduled for completion by South Central & West Commissioning Support Unit by the end of December 2021; likely to come through for the CCG for adoption early 2022. These will also be required for the CCGs DSPT submission.
- **Corporate / Health and Safety** – there are 7 corporate / health and safety related policies currently overdue for review, eight that have been approved / or are awaiting ratification, nine overdue but with work underway, one not yet due and one new policy under development.
- **Clinical** – there are three clinical related policies currently listed as overdue for review and seven which are related to Continuing Healthcare, for which review dates have been deferred in order that they can be reviewed with a view to potential alignment across the HIOW ICS; it is likely this will not be completed for several months as arrangements across several local authority areas will need to be considered.
- **Safeguarding** – the main joint Safeguarding Policy (adults and children) is currently under review, with completion anticipated for end of December; there is also a completely new policy in development. There are three policies for which review dates have been deferred in order that they can be reviewed with a view to potential alignment across the HIOW ICS; as with the Continuing Healthcare policies this will need to consider arrangements across several local authority areas. There were two policies which had been listed for development by predecessor CCGs; work currently on hold pending the work to review / align policies.

The number of potential policies has reduced from 108 to 97. The majority related to policies which were in existence within individual predecessor CCGs which are no longer required as arrangements have either been superceded, or contents have been absorbed into other policies.

## **SUMMARY OF RECOMMENDATIONS**

**The Governing Body is asked to:**

- **Note progress with the policy development and review programme**
- **Ratify / approve for adoption the policies / documentation as listed above which have been reviewed and approved by Policy Sub Group for use by the CCG.**

**Jackie Zabiela**  
**Governance Manager**  
**19 October 2021**