

Governing Body Meeting Date:
5 June 2014



**Harrogate and Rural District
Clinical Commissioning Group**

Report Sponsor

Amanda Bloor
Chief Officer

Report Author

Kerry Ryan
NYHCSU Human Resources
Business Partner

1. Title of Paper: HR Policy Approval Process

2. CCG Corporate Objectives supported by this paper

	CCG Corporate Objective	Tick
1	Engage and enable local people to be involved in decisions made about the healthcare we commission	
2	Commission services to ensure and improve quality and safety of services and improve outcomes	x
3	Achieve a sustainable Health Economy	
4	Deliver transformational service change	
5	Develop strong and mature partnerships	
6	Develop a strong, sustainable and successful CCG	x

3. CCG Values Underpinned in this paper

	CCG Values	Tick
1	Respect and Dignity	x
2	Commitment to Quality of Care	x
3	Compassion	
4	Improving Lives	
5	Working Together for Patients	x
6	Everyone Counts	

4. Executive Summary

In order to ensure a quick and efficient process for policy approval this paper proposes that the Harrogate and Rural District Clinical Commissioning Group delegate authority to approve Human Resources Policies to the Senior Management Team and Remuneration Committee.

5. Any statutory / regulatory / legal / NHS Constitution implications

The CCG's constitution includes the following provision;

7.1.1 The group will from time to time agree and approve policy statements/procedures which will apply to all or specific groups of staff employed by NHS Harrogate and Rural District Clinical Commissioning Group. The decisions to

approve such policies and procedures will be recorded in an appropriate group minute and will be deemed where appropriate to be an integral part of the group's standing orders.

HR policies provide a framework and mechanism for the organisation's management of staff in line with a broad range of statutory, regulatory and legal requirements. They also provide a framework and mechanism for compliance with additional requirements imposed by NHS Employers which the CCG is obliged to comply with until at least 31.03.2015 in accordance with the Memorandum of Understanding that the Staff Transfer Order prescribed.

6. Equality Impact Assessment

All HR policies are subject to the Equality Impact Assessment Process and a completed assessment will be available for each policy. This paper in itself does not constitute a policy or service change and therefore does not require an Equality Impact Assessment.

7. Implications/Actions for Public and Patient Engagement

Not applicable

8. Recommendations / Action Required

The Governing Body is asked to agree delegation of responsibility for the approval of HR policies to the Senior Management Team and Remuneration Committee as appropriate.

9. Assurance

Each policy will be provided in accordance with the agreed HaRD CCG policy framework template. Reports will be submitted to each Governing Body Meeting to provide an update on policy development and advise which policies have been approved each period.

For further information please contact:

Kerry Ryan
Human Resources Business Partner (NYHCSU)
01904 601085

1.0 Introduction

The purpose of this report is to present the case to the Governing Body for delegated authority to be provided to the Senior Management Team and Remuneration Committee for the final approval of Human Resources (HR) policies.

2.0 Background

When the CCG was established on 01.04.2013 it inherited a range of HR policies from originated from North Yorkshire and York Primary Care Trust (PCT). Whilst these still provide a good basis or principles to follow many aspects of the policies are out of date due to changes in legal requirements and many of the policies are not fit for purpose in a CCG. In addition to this all policies require regular reviews and updating.

The CCG's Constitution provides at clause 7.1.1 that: *'The group will from time to time agree and approve policy statements/procedures which will apply to all or specific groups of staff employed by NHS Harrogate and Rural District Clinical Commissioning Group. The decisions to approve such policies and procedures will be recorded in an appropriate group minute and will be deemed where appropriate to be an integral part of the group's standing orders.'*

It is currently a requirement that the Governing Body approve HR, all Terms of Reference and other corporate policies. The Quality and Clinical Governance Committee is authorised to approve policies with the exception of those reserved to the Governing Body as an individual or Committee.

There are approximately 40 HR policies that require updating to the HaRD CCG format, updating and subsequent approval of the governing body. It was envisaged that this would be completed during the first year of operation and it is now important that this task is undertaken as efficiently and as effectively as possible.

3.0 Options and Considerations

Option 1: Continue current approval process

The CCG could opt to keep the current process of the Governing Body approving each HR policy itself. This would ensure the Governing Body members are all fully aware of the content of each policy and involved in every aspect of decision making. This would however take up a significant amount of Governing Body time which may not be the best use of Governing Body capacity, skills and expertise. As the Governing Body meets bi-monthly it may also cause delays in the approval process.

Option 2: Delegate authority to approve HR policies to the Senior Management Team

Option 2 is to change the approval process so that the Senior Management Team and Remuneration Committee are given delegated authority to approve HR policies in line with the proposal set out in section 4.0. This would speed up the approval process and provide the Governing Body with increased time to manage other business.

4.0 Proposal

Each HR policy would be developed based on the inherited PCT policy, national BSA standard policies provided to Commissioning Support Units, standard terms and conditions of employment and the CCG's Policy Framework Document. Each policy would be tailored to fit the CCG's local requirements by the CSU Workforce team and reviewed to ensure they reflect up to date regulatory and statutory requirements and best practice. Input from CCG staff, including managers will be gathered via email circulation and/or through the Staff Engagement Team. Once the draft policy is finished, including sustainability and equality impact assessments, it will be consulted on with staff side representatives and ratification will be sought from the Joint Trade Union Partnership Forum (JTUPF). The policy will then be submitted to the Senior Management Team or Remuneration Committee for final approval and the decisions made shall be reported on a bi-monthly basis to the Governing Body for noting.

The following exceptions will apply;

- i) In circumstances where the Senior Management Team feel unable to provide approval they may refer it to the Governing Body or other appropriate committee such as the Audit/ Quality group for approval.
- ii) Policies that significantly affect the total remuneration received by staff which falls outside of standard terms and conditions that apply to the majority of staff, i.e. Pay Protection will be referred to the Remuneration Committee.

Appendix 1 provides a list of expected HR policy areas that the Senior Management Team and Remuneration Committee would be responsible for approving if applicable to the CCG. This is not an exhaustive list.

5.0 Conclusion

Due to the volume of HR policies that are expected to be developed in the next 12-18 months it would be most effective and efficient for the Governing Body to delegate authority to approve these to the Senior Management Team and or Remuneration Committee as per the table in appendix 1 with immediate effect.

Appendix 1

Policy Name/ Area	Responsible Group
Absence Policy	Senior Management Team
Agency Worker Regulations	Senior Management Team
Annual Leave Policy	Senior Management Team
Career Break Policy	Senior Management Team
Change Management Policy	Senior Management Team
Disciplinary Policy	Senior Management Team
Equality and Diversity Policy	Senior Management Team
Flexi time Policy/ Arrangements	Senior Management Team
Flexible working policy	Senior Management Team
Further Education and CPD Policy	Senior Management Team
Grievance and Disputes Procedure	Senior Management Team
Harassment and Bullying Policy	Senior Management Team
Induction Policy	Senior Management Team
Job Evaluation	Senior Management Team
Lease Car Policy	Remuneration Committee
Managing Work Performance	Senior Management Team
Maternity Paternity and Adoption, including parental leave	Senior Management Team
On Call Arrangements	Senior Management Team
Ongoing review and objectives Policy/ Appraisal	Senior Management Team
Other Leave Policy	Senior Management Team
Partnership Working	Senior Management Team
Pay Protection Policy	Remuneration Committee
Probation Policy and Procedure	Senior Management Team
Professional Registration Policy	Senior Management Team
Recruiting Ex-Offenders	Senior Management Team
Recruitment and Retention Premia	Senior Management Team
Recruitment and Selection- Employment Checks/ DBS/ Ex Offenders	Senior Management Team
Redeployment Policy	Senior Management Team
Relocation Expenses Policy	Senior Management Team
Remote Access and Home Working	Senior Management Team
Retirement Policy	Senior Management Team
Secondment Policy	Senior Management Team
Starting Salaries	Senior Management Team
Stress Policy	Senior Management Team
Substance Misuse Policy	Senior Management Team
Temporary Promotion	Senior Management Team
Training and Development Policy	Senior Management Team

Travel Expenses & Subsistence including excess Travel	Senior Management Team
Well being and reward policies	Senior Management Team
Whistleblowing Policy (including Bribery, Fraud and Corruption)	Senior Management Team
Working Time Directives Policy	Senior Management Team