

## Conflicts of Interest indicator: Part one (annual assessment)

Name of CCG: Aylesbury Vale/Chiltern Date: April 2018

Conflicts of Interest Annual Assessment		
Requirements	Please complete	Additional comments <i>(If non-compliant in any areas, please outline the reasons why, the planned actions and any support needed from NHS England)</i>
The CCG has a clear policy for the management of conflicts of interest (in line with the <i>statutory guidance on managing conflicts of interest for CCGs</i> ) and the policy includes a robust process for the management of breaches.	Y / N	<p>Revised Conflicts of Interest Policy approved by CCG's Audit Committee 28/09/16 and ratified by Governing Body 13/10/16.</p> <p>Section 11 refers to management of breaches.</p> <p>31 January 2018: Audit Committees in common <b>NOTED</b> review undertaken of Conflicts of Interest policy:</p> <ol style="list-style-type: none"> <li>1. No relevant recommendations within annual internal audit (December 2017)</li> <li>2. No further amendments to published guidance that warrants amendment.</li> <li>3. Next annual review January 2019 unless guidance or experience requires amendments in between.</li> </ol> <p>26 July 2017: Audit Committees in common <b>NOTED</b> review undertaken after updated NHS England guidance for CCGs was published, and <b>APPROVED</b> retrospectively minor amendments which resulted.</p> <ol style="list-style-type: none"> <li>a. Updating registers annually rather than six monthly</li> <li>b. Website published registers to include only "decision-making" staff.</li> <li>c. Tightened definition on breaches.</li> </ol>

<p>The CCG has a minimum of three lay members. Please confirm the:</p> <ul style="list-style-type: none"> <li>• Number of CCG lay members:</li> <li>• Number of days per month all CCG lay members are employed:</li> </ul>	<p>Y / N</p> <p>4</p> <p>13</p>	<p>Two lay members are the respective Audit Committee chairs for each CCG, with a further two lay members who are members of the Governing Bodies meetings in common.</p> <p>These are all non-clinical and this figure excludes the Registered Nurse and Secondary Care Doctor.</p> <p>In terms of number of days per month, this breaks down as:</p> <p>Aylesbury Vale: 11</p> <p>Chiltern: 2</p> <p>This is on the basis that more of the current lay members in the federated CCGs were historically Aylesbury Vale lay members. All 4 lay members are anticipated to transfer to NHS Buckinghamshire CCG as of 1 April 2018.</p>
<p>The CCG Audit Chair has taken on the role of the Conflicts of Interest Guardian, supported by a senior CCG manager(s).</p>	<p>Y / N</p>	<p>Both Audit chairs were appointed in 2016.</p> <p>Evidence from Governing Body seminar minutes 21/07/2016:</p> <p>Conflict of Interest Guardians: Robert Parkes noted Audit Committee discussed and recommended at its meeting on 14/07/2016 the appointment of Audit Committee chairs Tony Dixon (Chiltern) and Robert Parkes (Aylesbury Vale) as conflict of interest guardians. The Governing Body approved and ratified the appointments.</p>
<p>From April 2017/18, 100% of staff have been offered the mandatory training and a minimum of 90% of CCG staff have completed the mandatory online conflicts of interest training (at the relevant level) by 31 January each year.</p>	<p>Y / N</p>	<p>Training published January 2018. Deadline 31 May 2018.</p> <p>Staff have been selected for one or more modules based on where the role meets certain criteria; may be a voting member of a committee which makes commissioning decisions (not just awarding contracts, but such areas as IFR), and/or a clinician or staff member involved in purchasing services for patients.</p>