

**Board Meeting in Public
Tuesday, 28 March 2023**

Title of Report	List of Board Policies for Approval	Agenda No.	4.3.1
Nature of Report (tick one)	<input checked="" type="checkbox"/> Official	<input type="checkbox"/> Official Sensitive	
Author(s)	Brenda Thomas, Interim Deputy Company Secretary		
Lead Executive	Wendy Clark, Interim Chief Executive Officer		
Non-Executive Director Sponsor (if applicable)	N/A		
Presented for (tick all that applies)	<input checked="" type="checkbox"/> Approval <input type="checkbox"/> Assurance	<input type="checkbox"/> Information <input type="checkbox"/> Update	
Purpose of the report and key issues			
<p>A recommendation from the Board Effectiveness review undertaken in September 2021 (report issued in October 2021), was to establish a list of policies which required Board level approval.</p> <p>This report details the list of policies proposed by the Executive Team, that require Board approval.</p>			
Previously Considered by			
<p>23 February 2022: initial list of policies agreed at the Executive Team meeting. 29 March 2022: proposed list of policies presented to the Board for approval. The Board deferred approval and agreed that the Executive Team discuss and agree the principles for selecting the policies. 18 January 2023: The Executive Team agreed the principles for selecting policies requiring Board approved, and approved the list of policies.</p>			
Recommendation	The Board is asked to approve the proposed list of policies requiring Board approval.		
Risk(s) identified (Link to Board Assurance Framework Risks)			
Linked to Regulatory Compliance risk (BAF-09).			
Strategic Objective(s) this paper relates to: [Click on all that applies]			
<input checked="" type="checkbox"/> Collaborate with partners <input checked="" type="checkbox"/> Invest in people and culture <input checked="" type="checkbox"/> Drive innovation <input checked="" type="checkbox"/> Modernise our operations <input checked="" type="checkbox"/> Grow and diversify our donor base			
Appendices:	None		

1. Background

One of the recommendations from the Board Effectiveness review undertaken in September 2021 was to establish a list of policies which required Board level approval.

The Executive Team (ET) agreed an initial list of policies on 23 February 2022 which was submitted to the Board for approval, on 29 March 2022. The Board recommended that the ET should develop the principles for selecting the policies. It was suggested at the Board meeting to include additional policies which together with the initial list agreed by the ET are listed under section three of this report.

At the meeting on 18 January 2023, the ET agreed the principles for selecting Board policies; and to recommend to the Board for approval, an agreed list of policies.

2. Principles for agreeing board policies

Whilst it is good governance for the Board to approve policies, not all policies require Board approval. The ET discussed and agreed the principles for selecting Board level policies, as requested by the Board and also agreed the proposed list of Board level policies.

Generally, policies should be approved by the Board if specific regulation or legal requirement dictates that a Board should approve particular policies or statements. Guidelines, protocols, plans, toolkits, procedures or documents that are operational in their content will be approved via the route prescribed for these documents.

3. Proposed list of policies

The ET agreed that the Board should approve policies if specific regulation or legal requirement dictates that a Board should approve particular policies or statements. In addition to best practice and benchmarking undertaken, the Chartered Governance Institute UK and Ireland's guidance on policies was consulted, to produce the list of policies requiring Board approval. The ET also agreed the director responsible for the policy and the Board Committees that should review the policies prior to recommending them for Board approval.

The proposed list of policies requiring Board approval are listed below.

Policy	Responsible Director	Board Committee
Anti-fraud, Bribery and Corruption	Chief Financial Officer	Audit, Risk and Governance Committee
Conflicts of Interest	Chief Financial Officer (Company Secretary)	Audit, Risk and Governance Committee
Data Security and Protection	Chief Information Officer	Audit, Risk and Governance Committee
Dignity at Work	Chief People Officer	People Committee
Disciplinary	Chief People Officer	People Committee
Grievance	Chief People Officer	People Committee
Health, Safety and Wellbeing	Chief People Officer	People Committee

Modern Slavery	Chief People Officer	People Committee
NHSBT Environment and Sustainability Statement	Chief Financial Officer	Audit, Risk and Governance Committee
Speak up (whistleblowing)	Chief People Officer	People Committee
Safeguarding	Chief Medical Officer	Clinical Governance Committee

4. Next Steps

Following approval by the Board, the following steps will be taken:

- 4.1.1 Responsible directors to review their policies and ensure they are taken through the prescribed governance route for approval.
- 4.1.2 Amend the Board and Board Committees forward planners to include review of these policies at their next established revision date.