

CCG Effectiveness Review

Appendix 2 – Analysis of the CGC’s effectiveness review by section

Part One: Membership, independence, objectivity and understanding.

1.1 Membership, independence and objectivity

This section reviewed the CGC’s resourcing in terms of individuals independence, skill and experience, noting the pivotal role of the chair of the CGC in leading the CGC to successful outcomes. The wider membership needs to bring a breadth of skills and experience and there is regular attendance and valued input from other attendees.

The results are shown in graph 1 and table 1 below.

This section scored well. Most of the respondents believe that the Committee is either meeting or exceeding the standard in terms of the committee to discharge its responsibility. Members were generally in agreement that the membership, independence and objectivity of the committee is working well. The management of conflicts of interest is an area that will need to be explored further.

Graph 1

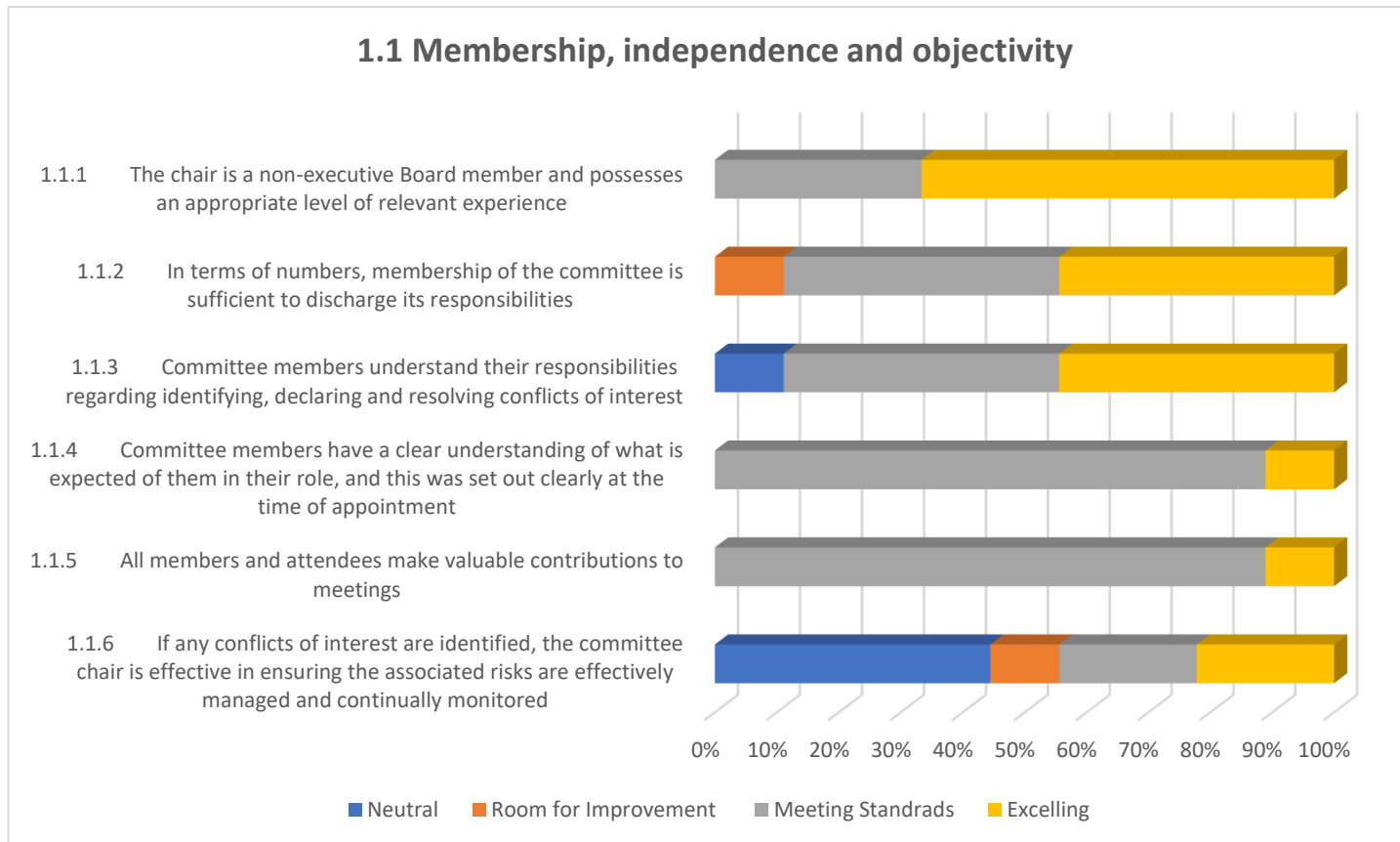


Table 1

Membership, independence and objectivity		Neutral	Room for improvement	Meeting standards	Excelling	Comments
1.1.1	The chair is a non-executive Board member and possesses an appropriate level of relevant experience.			3	6	I have not witnessed anyone sharing conflicts of interest
1.1.2	In terms of numbers, membership of the CGC is sufficient to discharge its responsibilities.		1	4	4	There have been no conflicts of interest identified so 0 given Not aware that we have had any conflicts identified to date.
1.1.3	CGC members understand their responsibilities regarding identifying, declaring and resolving conflicts of interest.	1		4	4	Chairing is effective, as the committee matures we are modifying the agenda to allow more time to discuss specific issues.
1.1.4	CGC members have a clear understanding of what is expected of them in their role, and this was set out clearly at the time of appointment.			8	1	
1.1.5	All members and attendees make valuable contributions to meetings.			8	1	1.1.6 – not sure this have occurred so put neutral as NA
1.1.6	If any conflicts of interest are identified, the CGC Chair is effective in ensuring the associated risks are effectively managed and continually monitored.	4	1	2	2	

1.2 Making the most of your time.

This section reviewed the CGC's ability to exercise its responsibilities effectively throughout the year, including the regularity, timing, and duration of meetings; strong agenda planning and management by the chair in ensuring the Committee devotes the right amount of time to issues competing for priority.

The responses are shown in graph 2 and table 2 the below.

Responses were somewhat mixed. Most members felt the number of meetings held are sufficient to allow the CGC to perform as effectively as possible. However, members felt that the meetings of the CGC were not long enough to ensure that all agenda items were covered in sufficient detail. Just over half of members believe that the committee was meeting or exceeding the requirements covered in this section.

Graph 2

■ Neutral ■ Room for Improvement ■ Meeting Standrads ■ Excelling

1.2 Making the most of your time

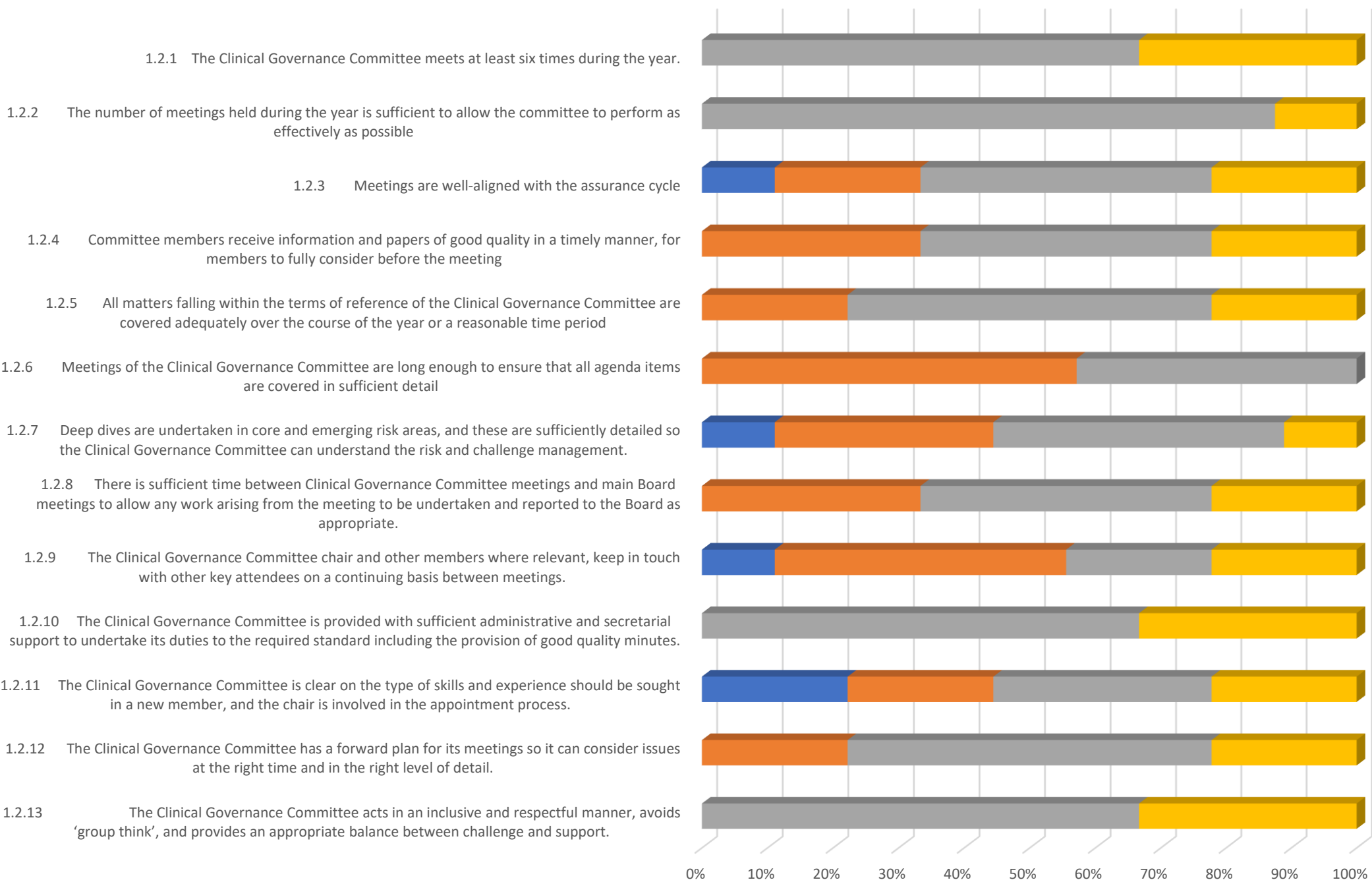


Table 2

Making the most of your time		Neutral	Room for improvement	Meeting standards	Excelling	Comments
1.2.1	The CGC meets at least six times during the year.			6	3	<p>The meeting agendas are very full and this can mean that the Chair has to be very focussed in discussions. The Chair has tried to rectify this and given feedback to committee members about length of papers and what is relevant to be discussed at committee.</p> <p>I have no evidence regarding new members as the committee is relatively new.</p> <p>As new committee has taken some time to bed in but the latest meeting I attended was getting there.</p> <p>Meetings concentrate on papers and not on other areas re skills, engagement and culture, so I've said not long enough. However, I think the length of meetings are about right, it's the number of papers perhaps need to be reviewed, and covered lower down in other groups..</p> <p>As new set up for CGC was adopted there were a few issues with aligning with other CARE meetings, however, this is now becoming resolved.</p> <p>I don't fully understand the basis for question 1.2.9, we receive good communications around request for papers etc., not sure why else I would be</p>
1.2.2	The number of meetings held are sufficient to allow the CGC to perform as effectively as possible.	0		7	1	
1.2.3	Meetings are well-aligned with the audit and assurance cycle.	1	2	4	2	
1.2.4	The CGC receives information and papers of good quality in a timely manner, for them to fully consider before the meeting.		3	4	2	
1.2.5	All matters falling within the terms of reference of the CGC are covered adequately over the course of the year or a reasonable time period.		2	5	2	
1.2.6	Meetings of the CGC are long enough to ensure that all agenda items are covered in sufficient detail.		4	3	2	
1.2.7	Deep dives are undertaken in core and emerging risk areas, and these are sufficiently detailed so the CGC can understand the risk and challenge management.	1	3	4	1	
1.2.8	There is sufficient time between CGC meetings and main Board meetings to allow any work arising from the meeting to be undertaken and reported to the Board as appropriate.		3	4	2	
1.2.9	The CGC chair and other members where relevant, keep in touch with other key attendees on a continuing basis between meetings.	1	4	2	2	
1.2.10	The CGC is provided with sufficient administrative and secretarial support to undertake its duties to the required standard.			6	3	
1.2.11	The CGC is clear on the type of skills and experience should be sought in a new member, and the chair is involved in the appointment process.	2	2	3	2	
1.2.12	The CGC has a forward plan for its meetings so it can consider issues at the right time and in the right level of detail.		2	5	2	

1.2.13	The CGC acts in an inclusive and respectful manner, avoids 'group think', and provides an appropriate balance between challenge and support.			6	3	<p>contacted unless there were additional action or pieces were required. 1.2.13 the committee is still maturing but feel that this is being achieved.</p> <p>1.2.3 – meeting can sometimes happen very near to the board meeting, which is challenging in terms of drafting the CG report, gaining approvals from key stakeholders before submission. 1.2.7 – This varies - some deep dives are very good, others are not well-structured and provides too much details without good summaries of key issues, and some lack details.</p>
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Part Two: Skills and experience

2.1 Range of skills

This section covered the essential mix of skills required in governance, risk management, and experience in relation to quality, safety and regulation, clinical governance; blood, organ and/or stem cells. The skills mix should be regularly reviewed to ensure the CGC is equipped to discharge its responsibilities to the Board

Average response scores by member and distribution of responses are shown respectively in graph 3 and table 3 below.

Members were generally in agreement that the Committee possesses a good range of skills and experience in relation to carry out its mandate.

Diversity, mapping of the skills of members to identify areas of strength and any skills gaps were identified as the areas with room for improvement.

Graph 3

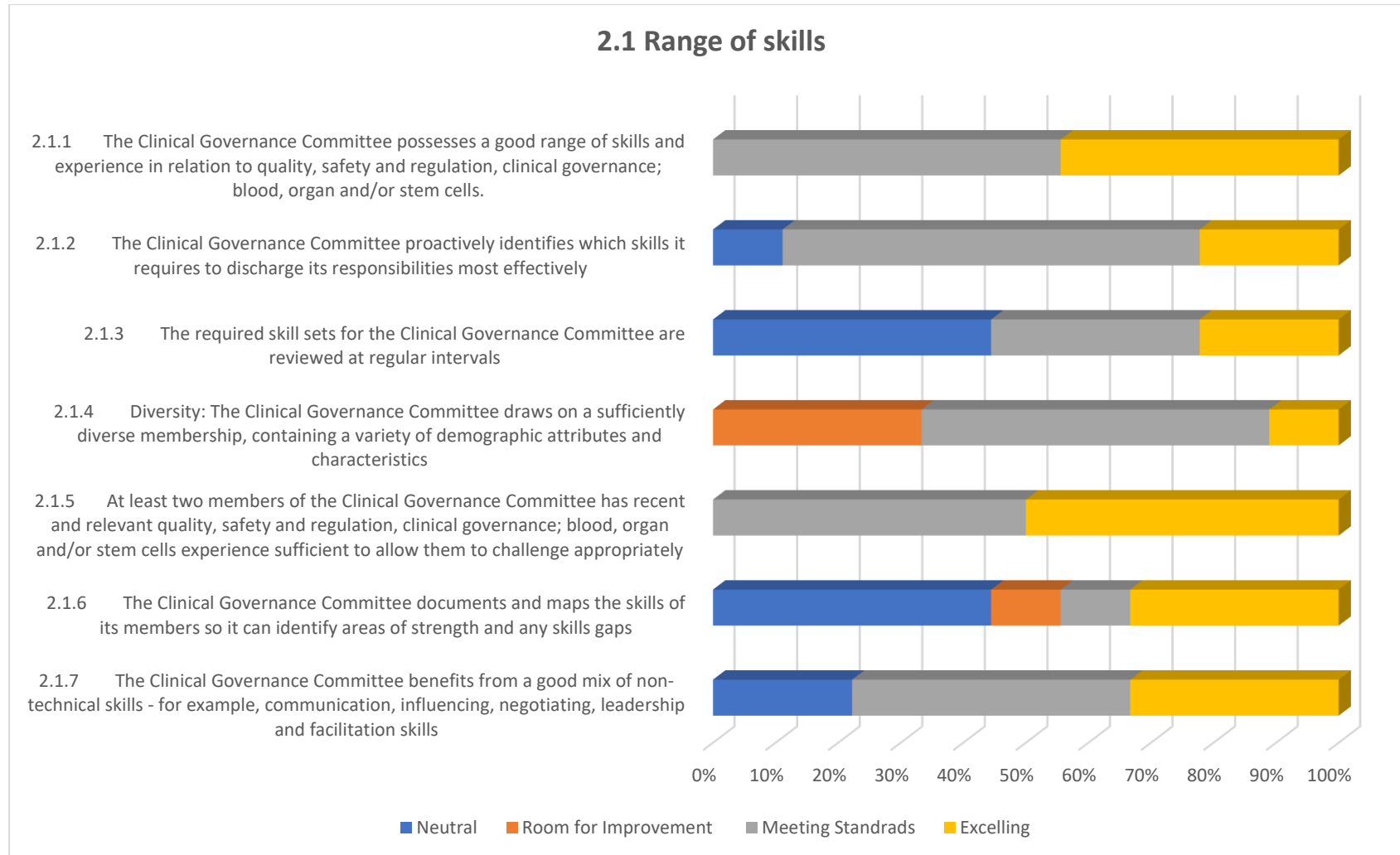


Table 3

Range of skills		Neutral	Room for improvement	Meeting standards	Excelling	Comments
2.1.1	The Clinical Governance Committee possesses a good range of skills and experience in relation to quality, safety and regulation, clinical governance; blood, organ and/or stem cells.			5	4	<p>I don't think the skills sets have been reviewed</p> <p>Not sure about diversity is this mapped against all the protected characteristics in a formal way? Not sure so did not answer re skills review and mapping of these</p> <p>Take regular attendees into account re above. Second NED clinician will join as a member from February.</p> <p>I do not think I can comment on some of these questions and have scored them as neutral, as an attendee I suspect these are areas where director level colleagues are making decisions.</p> <p>2.1.4 – The committee maybe diverse but this might be coincidental rather than intentional planned. The voice of the patient/donor is missing but the committee is working on addressing this issue.</p> <p>2.1.6 – Membership was decided based on the knowledge of the skills of members. This will also be reviewed annually to ensure key skills are still exist and assess whether new members are needed.</p>
2.1.2	The CGC proactively identifies which skills it requires to discharge its responsibilities most effectively.	1		6	2	
2.1.3	The required skill sets for the CGC are reviewed at regular intervals.	4		3	2	
2.1.4	Diversity: The CGC draws on a sufficiently diverse membership, containing a variety of demographic attributes and characteristics.		3	5	1	
2.1.5	At least two members of the CGC has recent and relevant quality, safety and regulation, clinical governance; blood, organ and/or stem cells experience sufficient to allow them to challenge appropriately.	1		4	4	
2.1.6	The CGC documents and maps the skills of its members so it can identify areas of strength and any skills gaps.	4	1	1	3	
2.1.7	The CGC benefits from a good mix of non-technical skills - for example, communication, influencing, negotiating, leadership and facilitation skills.	2		4	3	

2.2 Training and Development

The training and development section reviewed the CGC members' induction programme which outlines the requirements of the role, the organisation and for those new to government an understanding of public sector governance processes.

Average response score by member and distribution of responses are shown respectively in graph 4 and table 4 below.

Most of members were in agreement that improvement is required with the induction of new members, members of the CGC who are unfamiliar with corporate governance, operations of government and the public sector, and wider practice in government are specifically upskilled in this area. Engagement was also cited as an area that requires improvement.

Graph 4

2.2 Training and development

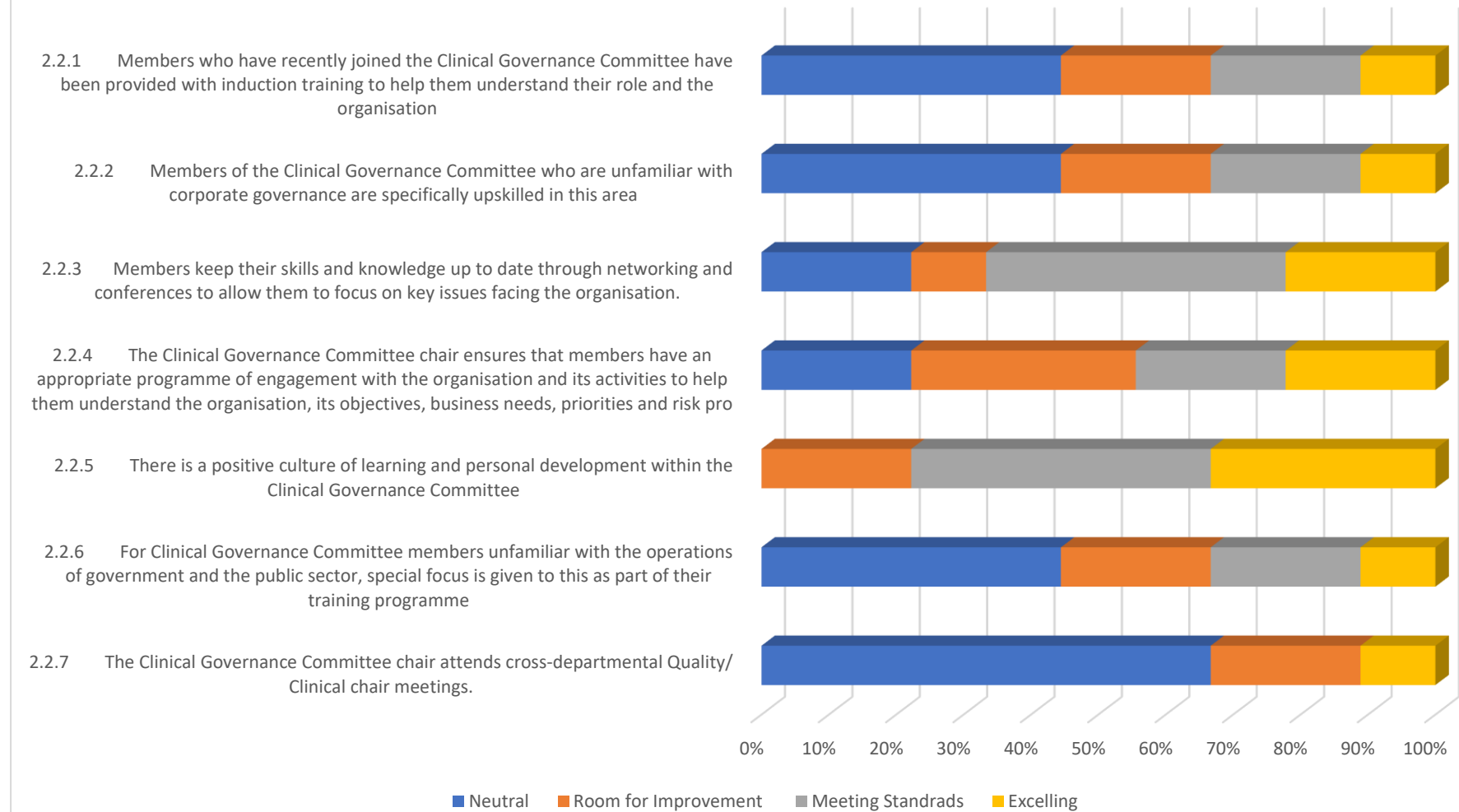


Table 4

Training and Development		Neutral	Room for improvement	Meeting standards	Excelling	Comments
2.2.1	Members who have recently joined the CGC have been provided with induction training to help them understand their role and the organisation.	4	2	2	1	I am not aware that we provide any training for new members
2.2.2	Members of the CGC who are unfamiliar with corporate governance and wider practice in government are specifically upskilled in this area.	4	2	2	1	I think this is an area that we need to consider how we can improve – this is an evolving committee with only one NED (the Chair)
2.2.3	Members keep their skills and knowledge up to date through networking and conferences to allow them to focus on key issues facing the organisation.	2	1	4	2	Not much of this section I am aware of happening so answered neutral.
2.2.4	The CGC chair ensures that members have an appropriate programme of engagement with the organisation and its activities to help them understand the organisation, its objectives, business needs, priorities and risk profile.	2	3	2	2	Not seen much re chair emphasising positive engagement as work seems to be about going through the papers. Again, same comment re positive culture, although there is challenge and support at the meeting there is no time for this.
2.2.5	There is a positive culture of learning and personal development within the CGC.		2	4	3	
2.2.6	For CGC members unfamiliar with the operations of government and the public sector, special focus is given to this as part of their training programme.	4	2	2	1	I am not aware of what training is offered to new members of the committee but that may be because of I have been attended various CARE committees over many years.
2.2.7	The CGC chair attends cross-departmental meetings.	6	2		1	2.2.1 – I don not know 2.2.2 – I do not know 2.2.3 – I do not know 2.2.4 – I do not know – not sure this is part of his role 2.2.6 – There is no learning programme for members and the organisation currently do not support this. 2.2.7 – I do not know

3.1 Governance

This section reviewed governance - good governance is vital to the success of the organisation. The CGC requires a solid understanding of how governance arrangements support achievement of the organisation's strategic objectives.

Overview of responses by member and distribution of responses are shown respectively in graph 5 and table 5 below.

Most members felt the Committee was meeting the standards, however areas that require requires improvement were also identified.

Graph 5

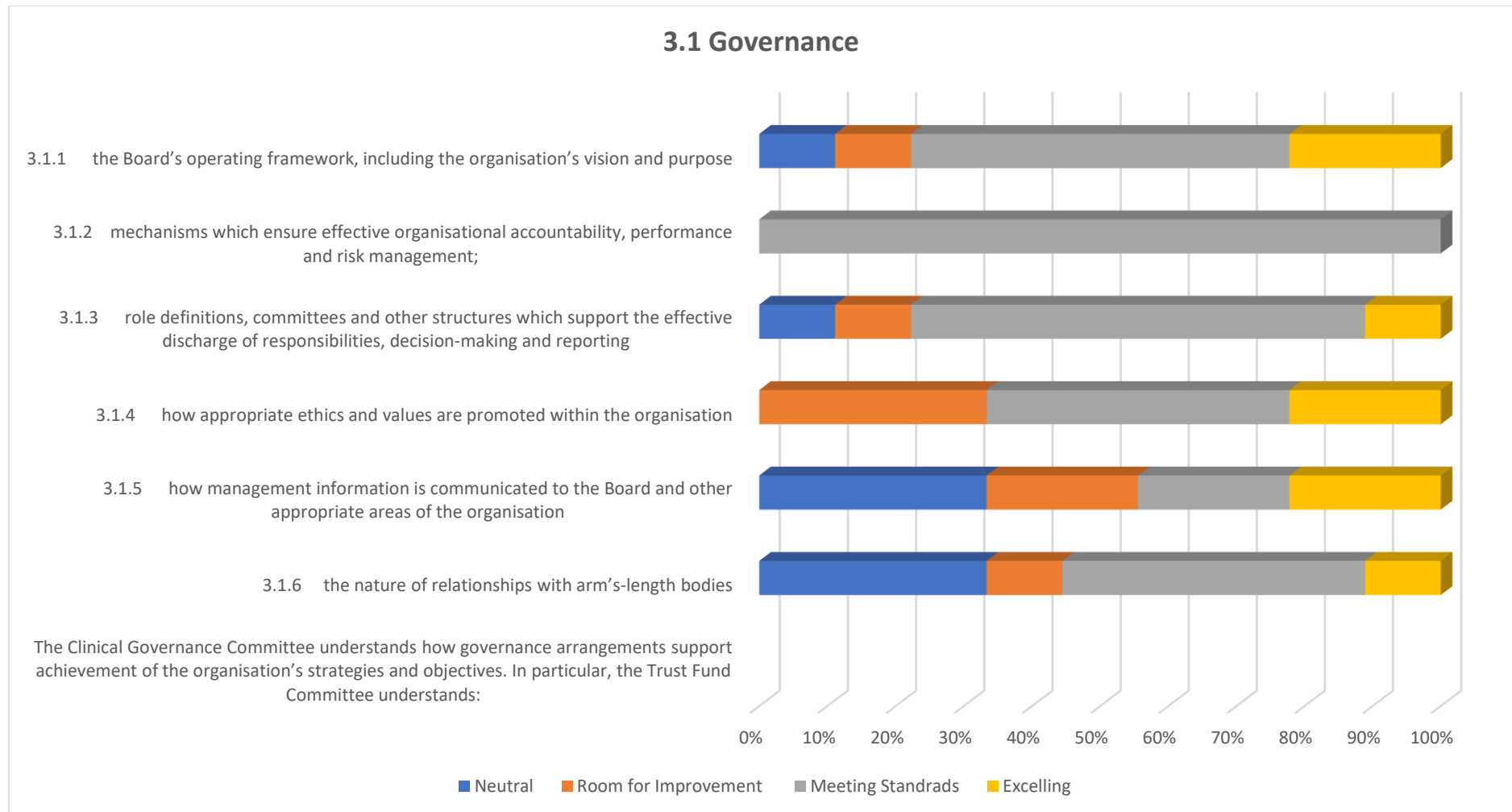


Table 5

Governance		Neutral	Room for improvement	Meeting standards	Excelling	Comments
	The CGC understands how governance arrangements support achievement of the organisation’s strategies and objectives. In particular, the CGC understands:					I’m not sure that new members get this information and how we manage knowledge transfer as scored low.
3.1.1	the Board’s operating framework, including the organisation’s vision and purpose;	1	1	5	2	
3.1.2	mechanisms which ensure effective organisational accountability, performance and risk management;		1	6	2	
3.1.3	role definitions, committees and other structures which support the effective discharge of responsibilities, decision-making and reporting;	1	1	6	1	
3.1.4	how appropriate ethics and values are promoted within the organisation;		3	4	2	
3.1.5	how management information is communicated to the Board and other appropriate areas of the organisation; and	3	2	2	2	
3.1.6	the nature of relationships with arm’s-length bodies, if applicable.	3	1	4	1	

3.3 Risk Management

This section reviewed the CGC’s understanding of the risk management framework and whether it critically challenges the effectiveness of the organisation’s risk management frameworks, policies and processes.

Overview of responses by member and distribution of responses are shown respectively in graph 6 and table 6 below.

Most members feel the Committee is meeting standards or excelling, however the understanding of risk tolerance needs improvement.

Graph 6

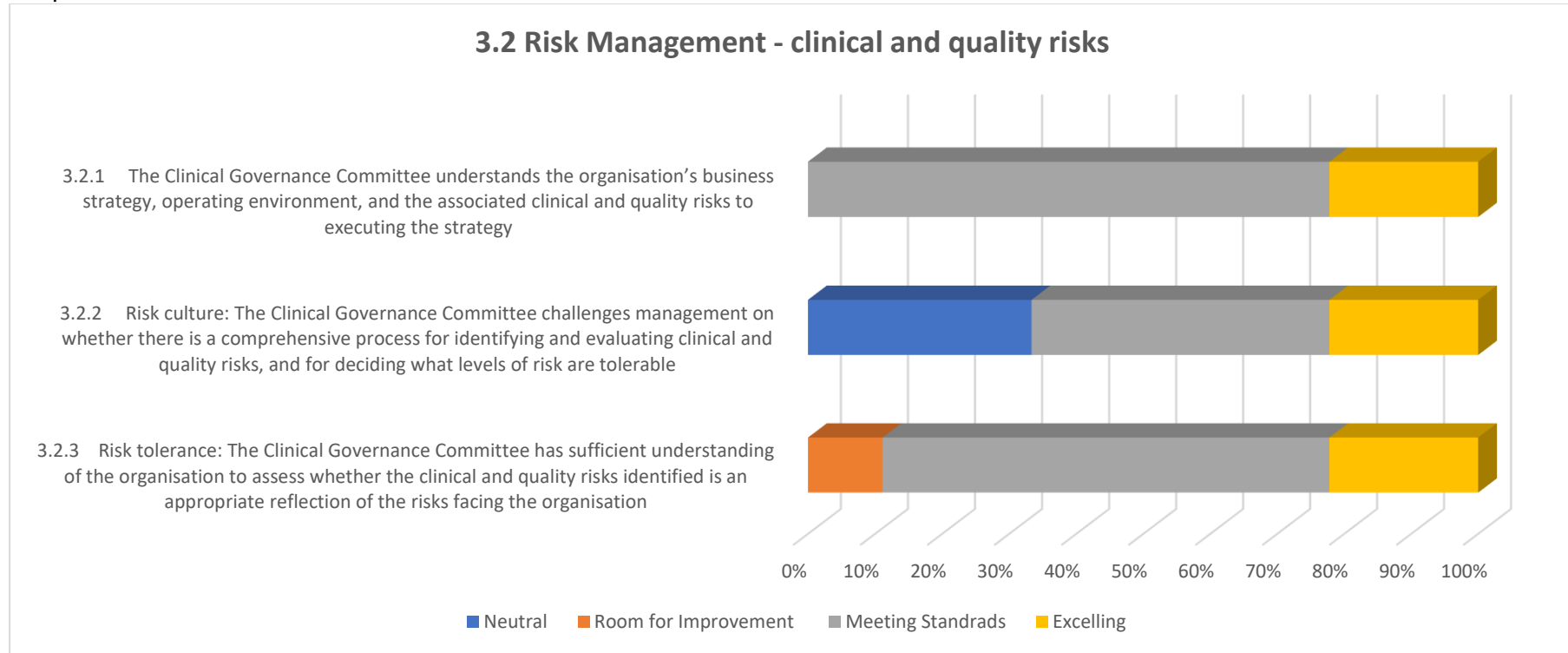


Table 6

Risk Management		Neutral	Room for improvement	Meeting standards	Excelling	Comments
3.2.1	The ARGC understands the organisation’s business strategy, operating environment and the associated risks to executing the strategy.			7	2	I think we could have better focus on clinical and quality risks with more time for discussion and scrutiny
3.2.2	Risk culture: The ARGC challenges management on whether there is a comprehensive process for identifying and evaluating risk, and for deciding what levels of risk are tolerable.	3		4	2	
3.2.3	Risk tolerance: The ARGC has sufficient understanding of the organisation to assess whether the risk register is an appropriate reflection of the risks facing the organisation.			1	6	There is challenge on risk re papers that are presented but not sure that it is methodical and systematic outside of this. 3.2.2 I think some of the work around challenging risks happens outside of the CGC too.

Part Four: Scope

4.1 Terms of reference

This section examined the core responsibilities and accountabilities of the CGC to ensure it focuses its time and resources on its core requirements.

Overview of responses by member and distribution of responses are shown respectively in graph 7 and table 7 below.

Most respondents felt the CGC is meeting the standard or excelling with no areas identified as requiring improvement. However, a comment was made about the availability of the ToRs on SharePoint.

Graph 7

4.1 Terms of Reference

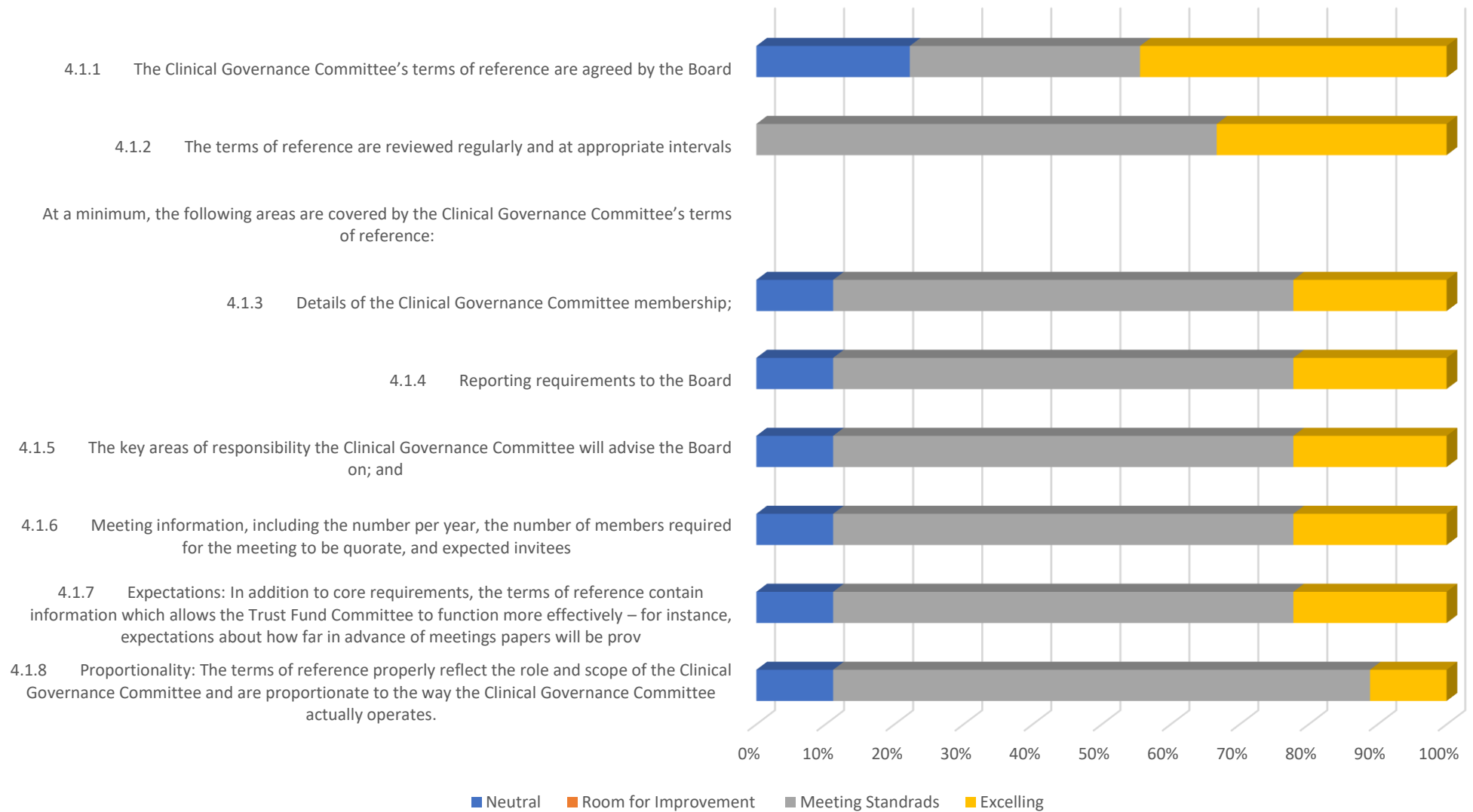


Table 7

Terms of reference		Neutral	Room for improvement	Meeting standards	Excelling	Comments
4.1.1	The CGC's terms of reference are agreed by the Board.	2		3	4	I know the TOR have been regularly mentioned at the meeting, and have we got it right re papers etc, but looking on link / sharepoint now they are not easily available for me to review against the requirements here, as some time ago since the meeting where I read them. I would expect these things to be in the TOR but can't easily make this review for this survey.
4.1.2	The terms of reference are reviewed regularly and at appropriate intervals.			6	3	
	At a minimum, the following areas are covered by the Clinical Governance Committee's terms of reference:					
4.1.3	Details of the CGC membership;	1		6	2	
4.1.4	Reporting requirements to the Board;	1		6	2	
4.1.5	The key areas of responsibility the CGC will advise the Board and accounting officer on;	1		6	2	
4.1.6	Meeting information, including the number per year, the number of members required for the meeting to be quorate, and expected invitees; and	1		6	2	
4.1.7	Expectations: In addition to core requirements, the terms of reference contain information which allows the CGC to function more effectively – for instance, expectations about how far in advance of meetings papers will be provided.	1		6	2	
4.1.8	Proportionality: The terms of reference properly reflect the role and scope of the CGC and are proportionate to the way the CGC actually operates.	1		7	1	

Part Five: Communication and reporting

5.1 Communication and reporting

This section reviewed the CGC's communication with the Board and other key stakeholders in exercise of its responsibilities.

Overview of responses by member and distribution of responses are shown respectively in graph 8 and table 8 below.

This area scored well apart from the reports to the CGC which over 50% of the respondents felt required improvement.

Graph 8

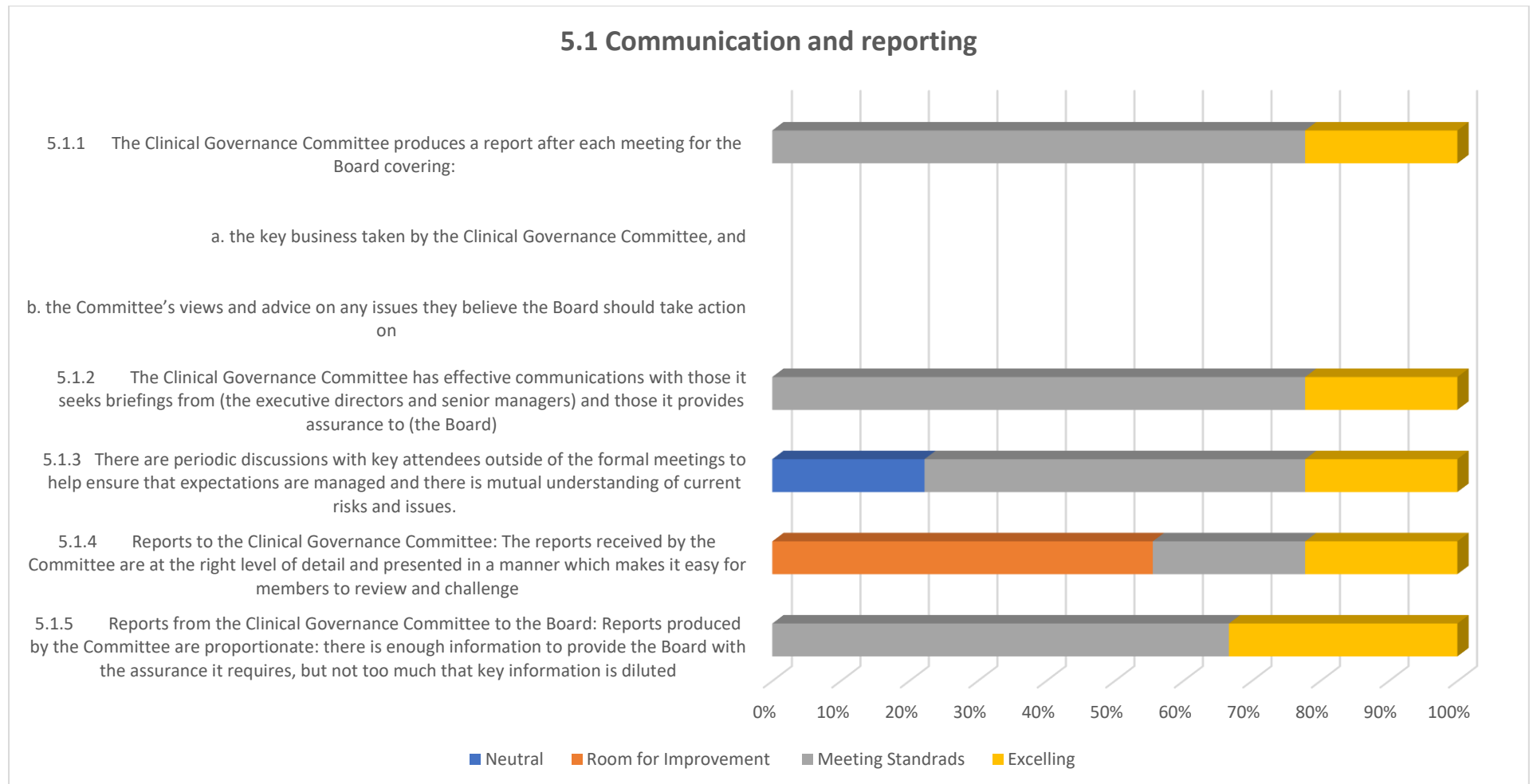


Table 8

Communication and reporting		Neutral	Room for improvement	Meeting standards	Excelling	Comments
5.1.1	The CGC produces a report after each meeting for the Board) covering: <ul style="list-style-type: none"> the key business taken by the CGC, and the CGC's views and advice on any issues they believe the Board should take action on. 			7	2	Too many reports and some over wordy. I cannot comment on 5.1.3- my interactions outside of the main meeting would be with other care groups or groups that I represent, I am aware that there are discussions with clinical governance leads and the chair and secretariat though. 5.1.5 – Reports vary in quality – some are good quality, some too details and includes very long appendices rather than summaries of key issues, and some lacks summaries of key issues making it difficult to focus on key areas.
5.1.2	The CGC has effective communications with those it seeks briefings from and those it provides assurance to (the Board).			7	2	
5.1.3	There are periodic discussions with key attendees outside of the formal meetings to help ensure that expectations are managed and there is mutual understanding of current risks and issues.	2		5	2	
5.1.4	Reports to the CGC: The reports received by the CGC are at the right level of detail and presented in a manner which makes it easy for members to review and challenge.		5	2	2	
5.1.5	Reports from the CGC to the Board: Reports produced by the CGC are proportionate: there is enough information to provide the Board with the assurance it requires, but not too much that key information is diluted.			6	3	

6.1 Continual improvement

The final section reviewed the CGC's attitude to learning and development, appraisal of its performance including the chair and individual members.

Overview of responses by member and distribution of responses are shown respectively in graph 9 and table 9 below.

Graph 9

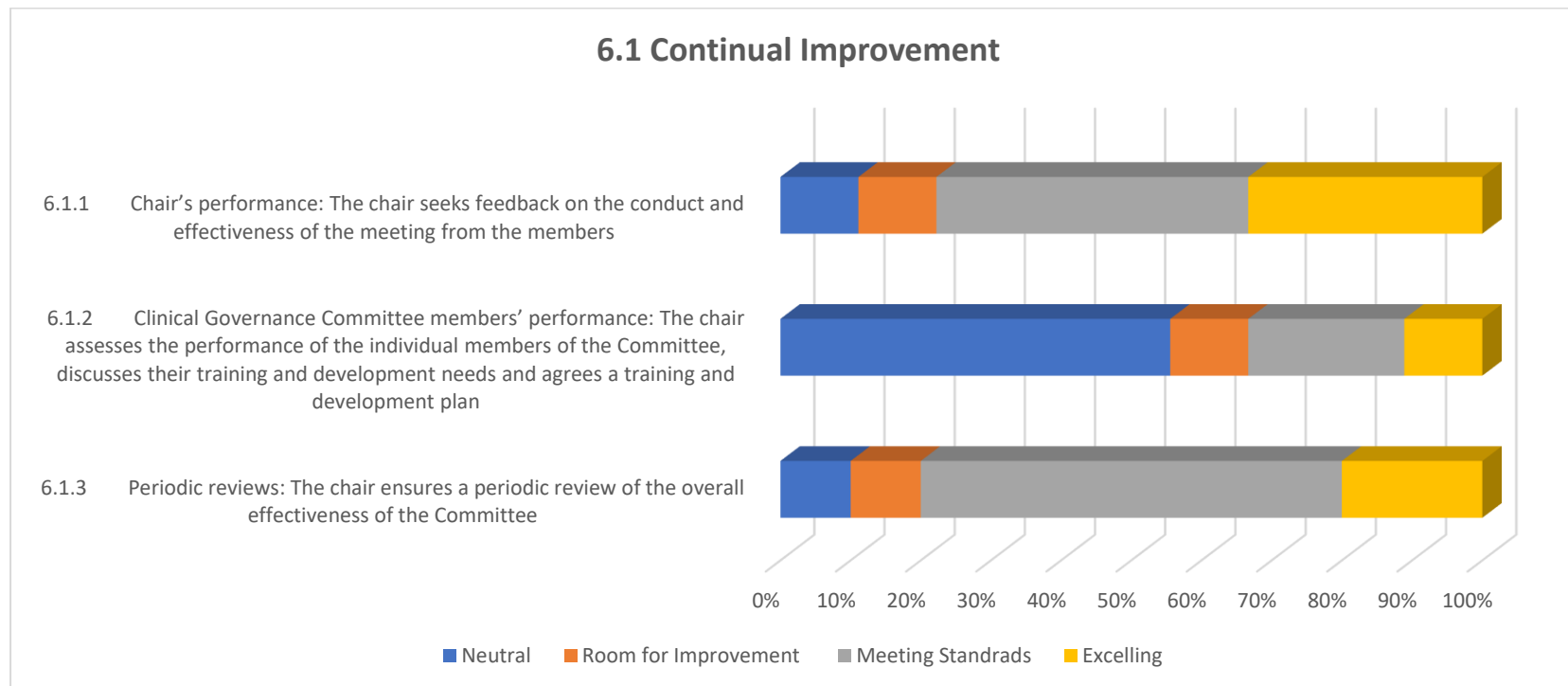


Table 9

Continual improvement		Neutral	Room for improvement	Meeting standards	Excelling	Comments
6.1.1	Chair's performance: The chair seeks appraisal of his or her performance from the members	1	1	4	3	This is the first annual cycle of this committee and therefore I have given a neutral answer – this is the first effectiveness review so meeting standards. Not aware of the chair assessing individual performance but always provides praise when due. The CGC is still relatively new hence my neutral scores 6.1.2 – not sure this is part of the Chair role!
6.1.2	The CGC members' performance: The chair assesses the performance of the individual members of the CGC, discusses their training and development needs and agrees a training and development plan.	5	1	2	1	
6.1.3	Periodic reviews: The chair ensures a periodic review of the overall effectiveness of the CGC.	1	1	6	2	