



Department
of Health

Triennial Review Annexes to Main Report: National Institute for Health and Care Excellence

July 2015

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Annex A – Written Ministerial Statement

Written Ministerial Statement

DEPARTMENT OF HEALTH

Triennial reviews of non- Departmental public bodies

Thursday 30 October 2014

The Parliamentary Under Secretary of State, Department of Health (George Freeman): I am today announcing the start of the triennial reviews of the National Institute for Health and Care Excellence (NICE), the Medicines and Healthcare Products Regulatory Agency (MHRA), the British Pharmacopoeia Commission (BPC), the Commission on Human Medicines (CHM), the Administration of Radioactive Substances Advisory Committee (ARSAC) and the Independent Reconfiguration Panel (IRP).

All Government Departments are required to review their non-Departmental public bodies (NDPBs) at least once every three years. Due to the wide ranging reforms made by the Health and Social Care Act 2012, the Department was exempt from the first round of reviews in 2011-14. In order to ensure that the Department is an effective system steward and can be assured of all the bodies it is responsible for, we have extended the programme of reviews over the next three years to all of its arm's length bodies and executive agencies.

The reviews of the aforementioned bodies have been selected to commence during the first year of the programme (2014-15). The reviews will be conducted in two stages. The first stage will examine the continuing need for the function and whether the organisation's form, including operating at arm's length from government, remains appropriate. If the outcome of this stage is that delivery should continue, the second stage of the review will assess whether the bodies are operating efficiently and in line with the recognised principles of good corporate governance.

Annex B – Review Team membership

Review Team	Role
Andrew Sanderson	Senior Review Sponsor – Director of Financial Planning
Kathy Scott	Lead Reviewer
Kim Collins	Assistant Reviewer
Maxine Ward	Assistant Reviewer
Jaspreet Bains	Review Volunteer - Policy Manager, NHS England Sponsorship
Graham Earnshaw	Review Volunteer - Social Care Workforce Programme Manager

Annex C – Project Board and Challenge Group membership and terms of reference,

Project Board membership and terms of reference

The Triennial Review of the National Institute for Health and Care Excellence (NICE) will be overseen by a Project Board. The role of the Project Board is to provide direction, leadership and challenge and to provide a regular forum through which risks and issues can be addressed.

Membership

Members (attendance required at all meetings):

Attendees	Role
Andrew Sanderson (Chair)	Senior Review Sponsor
Sir Andrew Dillon Professor Gillian Leng	Chief Executive Office, NICE Deputy Chief Executive Officer and Director of Health and Social Care, NICE
Claire Armstrong	Sponsor Team
Hari Rentala	Cabinet Office
Kathy Scott	Lead Reviewer

Attendees by Invitation Only:

Attendees	Role
Maxine Ward/ Kim Collins/Trusha Patel	Assistant Reviewers, Secretariat
Additional specialist representation (legal, commercial, analytical, engagement), to be confirmed	Project Board Attendee

Purpose

The purpose of the Project Board is to drive the delivery of the NICE Review through:

- Appropriately scoping the review in line with Departmental and Cabinet Office expectations.
- Holding the Review team to account for delivering against plans.
- Management of risks and issues, and mitigating actions.
- Ensuring sufficient resources and capability, including identifying specialist skills as required.

Responsibilities of the Project Board

- **Accountability and Oversight**
Accountable to the Triennial Review Steering Group for the quality and delivery of the Review
- **Strategic alignment**
Responsible for the strategic alignment of activity in the review, ensuring the requirement to efficiently complete the Review is balanced against the need for wide ranging engagement.
- **Assurance**
Initially approve review plans and documents and ensure successful delivery of the Review to time.

Frequency of meetings

The Project Board is expected to meet at regular intervals to provide necessary oversight. Some decisions and approval of documents may take place out of committee to avoid delays.

Other Governance Arrangements

The Project Board, through the Lead Reviewer, will report on progress to the Triennial Review Steering Group.

A Challenge Group has been established for this review to add rigour, test and challenge the assumptions and conclusions of the review, and to agree the Scope and Key Lines of Enquiry. The Lead Reviewer is responsible for ensuring the work of the Project Board and Challenge Group are coordinated and joined-up as appropriate.

The governance of the NICE Triennial Review is attached below for ease.

Challenge Group Terms of Reference

Governance

The Challenge Group will assess and give challenge to the scope, approach, organisation and reporting progress of the Triennial Reviews of the National Institute for Health and Care Excellence (NICE) and the Medicines and Healthcare Products Regulatory Agency (MHRA). It will also provide a light-touch challenge to the Triennial Reviews of the British Pharmacopoeia Commission and the Commission on Human Medicines. It will ensure the review scope sits within the wider objectives of public service reform, the Lead Reviewer is reasonably independent, and that the review is understanding of the business and reflects the need for greater efficiency in public services and the approach taken is objective, proportionate and transparent.

Membership

Attendees	
Catherine Bell (Chair)	Departmental NED
Andrew Sanderson (NICE) Flora Goldhill (MHRA/BPC/CHM)	Senior Review Sponsors, DH
Jon Rouse	DG, Social Care, Local Govt, Care Partnership
Oli Blackaby Nisha de Silva	Crown Commercial Lead, Cabinet Office Head of Strategic Communications and Stakeholder Engagement, Cabinet Office
Dr Anita Donley John Jeans	Key stakeholder representatives
Kathy Scott (NICE) David Dipple (MHRA/BPC/CHM)	Lead Reviewers (and Secretariat)

Purpose

The purpose of the Challenge Group is to rigorously and robustly test and challenge:

- The scope of the reviews
- The process of the reviews and whether they are being done properly (at around the mid-point of the reviews), including the robustness of the approach to evidence gathering and analysis
- The emerging conclusions and draft reports

Frequency of meetings

The Challenge Group is expected to meet at least 3 times to provide the necessary challenge. The Review Lead is responsible for ensuring the work of the Project Boards and Challenge Group are coordinated and joined-up as appropriate.

Annex D – Stakeholder engagement

The review team published an online call for evidence that was made available on the Department of Health pages on Gov.UK and was publicised on the NICE website also. In addition, the team emailed a wide range of stakeholders to inform them of this process and encourage wider dissemination.

The call for evidence opened on 1 December 2014 and ran until 9 January 2015. The respondents are listed below.

Call for Evidence Respondents

- 1 Alexander Feetham
- 2 Academy of Medical Sciences
- 3 Action on Hearing Loss
- 4 ALD Life
- 5 Arthritis Research UK
- 6 aseptika Ltd
- 7 Association of Directors of Public Health (UK)
- 8 Association of the British Pharmaceutical Industry (ABPI)
- 9 Aylesbury Vale CCG
- 10 British Association for Psychopharmacology (BAP)
- 11 Baxter Healthcare
- 12 BeTr Foundation
- 13 Biogen Idec
- 14 Breast Cancer Campaign
- 15 Bristol-Myers Squibb
- 16 British Specialist Nutrition Association Ltd
- 17 Cancer Research UK
- 18 David Hawker
- 19 Dr Debbie Hawker
- 20 Digital Health & Care Alliance (DHACA)

- 21 European Medicines Group (EMG)
- 22 Francis White
- 23 Genetic Alliance UK
- 24 GlaxoSmithKline
- 25 Hugh Small
- 26 International Society for Psychological and Social Approaches to Psychosis (ISPS) UK)
- 27 Janssen-Cilag Ltd
- 28 Lundbeck
- 29 MAP BioPharma Limited
- 30 Mobile Data Association (MDA)
- 31 MSD (Merck)
- 32 Myeloma UK
- 33 Neonatal and Paediatric Pharmacists Group (NPPG)
- 34 NHS
- 35 NHS Blood and Transplant
- 36 Novartis Pharmaceuticals UK Ltd
- 37 NTA Ltd (Nationwide Telephone Assistance Ltd)
- 38 Pancreatic Cancer UK
- 39 Patient Involved in NICE (PIN)
- 40 PatientView
- 41 Pfizer
- 42 PKD Charity
- 43 Public Health England (PHE)
- 44 Roche
- 45 Royal College of Psychiatrists

- 46 Salford city council
- 47 Sanofi
- 48 Skills for Care
- 49 Scotlandtherapy
- 50 The British Psychological Society
- 51 The Royal Academy of Engineering
- 52 The Royal College of Anaesthetists
- 53 The Royal College of Pathologists
- 54 The Royal College of Radiologists
- 55 Tunstall Healthcare
- 56 We Need to Talk

The review team also offered three sessions where interested stakeholders could book places. These were held on 8th December 2014, 18th December 2014 and 6th January 2015. The attendees were:

Attendees at workshops

1. Larushka Mellor – Merck
2. Dorothy Chen – JMC Inform
3. Shamila Kar - Norgine
4. Jade Marshall – MAP Biopharma
5. Zoe Molyneux – Cancer Research UK
6. Chris Rowlands - ABPI
7. EMG
8. Roche
9. Hannah Winter – Prostate Cancer
10. Ewan Barbour – Merck Group
11. Mary-Beth Peddell - Novartis

12. Andrew Davies - ABHI
13. Peter Conway - Norgine
14. Christian Hill – MAP Biopharma
15. Louisa Petchey – Genetic Alliance
16. Nick Meade – Genetic Alliance
17. Fathana Ali – Rare Disease UK
18. Stuart Hurst - Synageva
19. Maximilian Liebmiere – Novo Nordisk
20. Kamal Desai
21. Charles Lowe - DHACA
22. Mike Short - MDA
23. David Turner
24. David Park – Pancreatic Cancer

In addition, the review team conducted interviews with a range of stakeholders as set out below:

Interviews Conducted

Department of Health

1. DH Minister for Life Sciences
2. DH Permanent Secretary
3. Director General for Innovation, Growth & Technology
4. Director General for Public Health
5. Chief Medical Officer
6. Chief Pharmaceutical Officer for England
8. DH Sponsor Team
9. DH Appointments Team

NICE

10. Chair – David Haslam
11. Chief Executive – Andrew Dillon
12. Deputy Chief Executive – Gillian Leng
13. Ben Bennett - Director of Business Planning and Resources
14. Bill Mumford - Non-Executive Director
15. Maggie Helliwell - Non-Executive Director / Deputy Chair
16. Rona McClandish - Non-Executive Director
17. Carole Longson - Health Technology Evaluation Centre Director
18. Mark Baker - Director of Clinical Guidelines
19. Kalipso Chalkidou – NICE International
20. Jonathan Tross - Audit Chair

Other public and private sector

21. Vijay Patel - College of Social Work
22. Richard Gleave – Public Health England
23. Peter Ellingham and Andrew Davies - ABHI
24. Nicola Mather - BIS
25. Mike Richards & Malte Gerhard - CQC
26. Ian Hudson - MHRA
27. David Heyman – Public Health England
28. Chris Day - CQC
29. Bruce Keogh – NHS England
30. Andrea Sutcliffe - CQC
31. Alison Clough & Paul Catchpole - ABPI
33. Alyson Morley - LGA

International organisations

34. Sandra Kweeder / Jarilyn / Don Prater FDA US

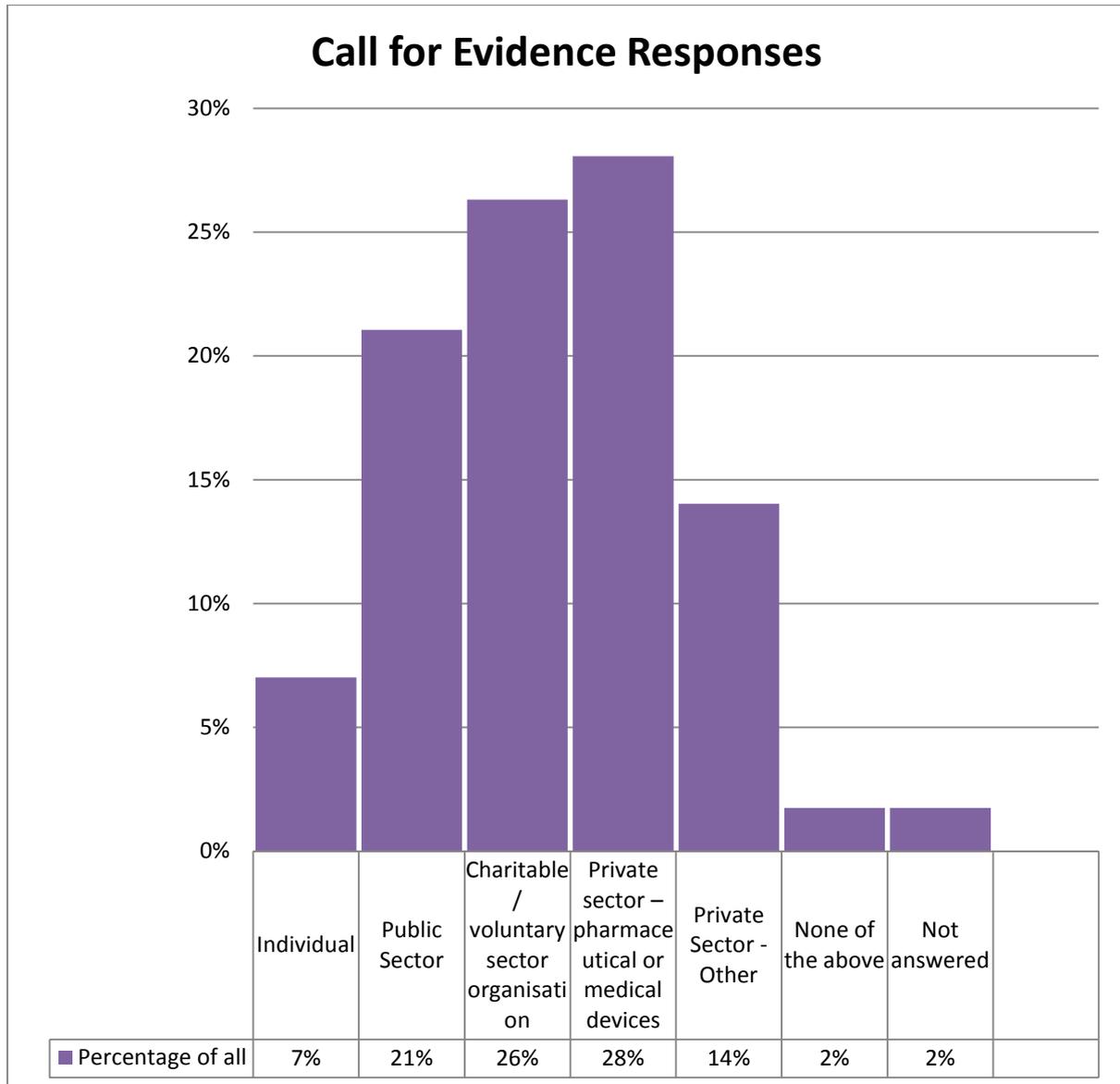
35. Professor Lloyd Sansom PBAC (Australia)
36. Dr Brian O'Rourke CADTH (Canada)
37. Dr Sara Twaddle SIGN

Annex E – Other sources of evidence

The review team referred to a range of published documents as part of the evidence gathering process, the key documents are listed below:

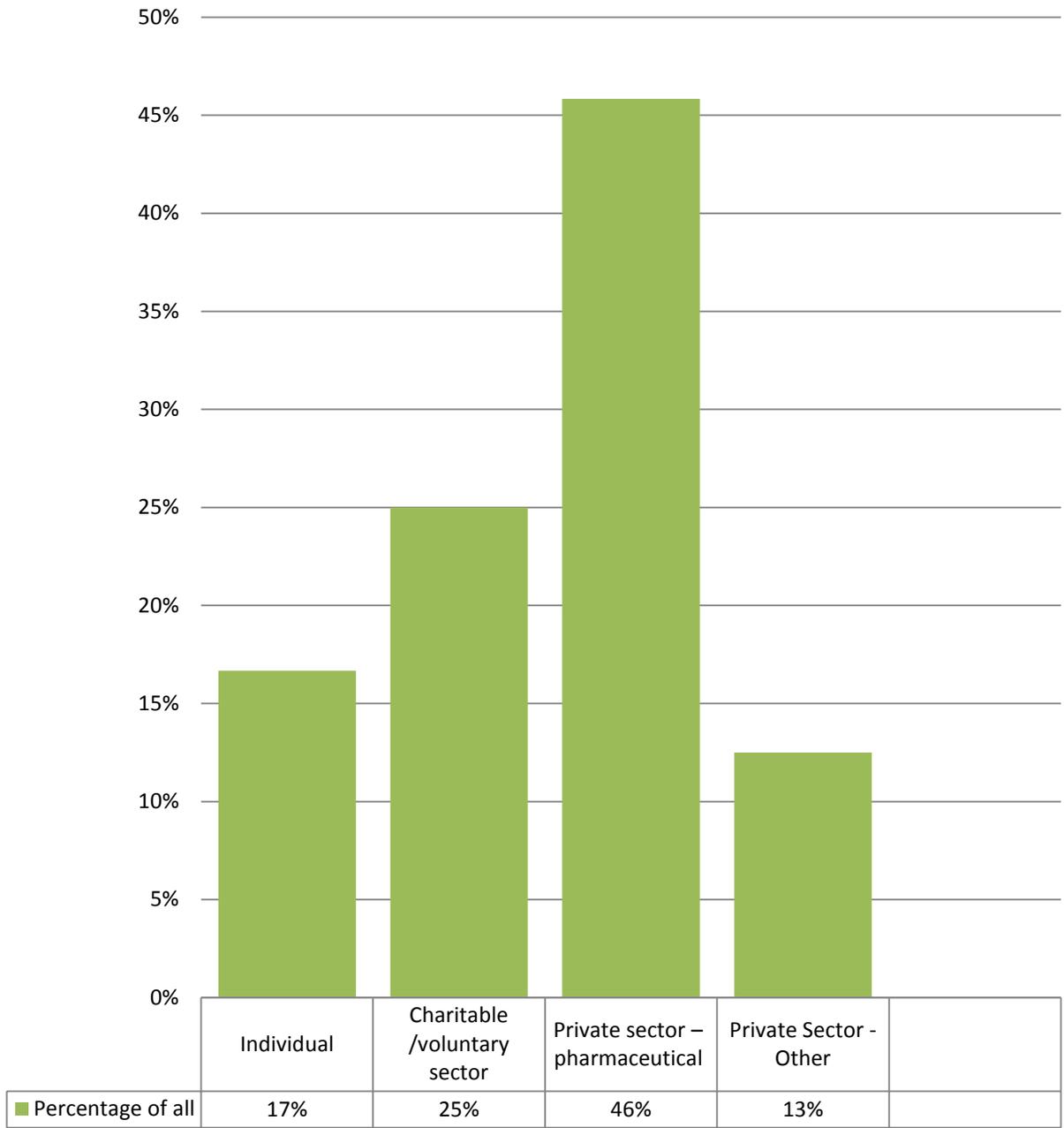
Published sources of information and evidence	
1.	Strategic and Business Plan 2014 – 2017 https://www.nice.org.uk/about/who-we-are/corporate-publications
2.	Annual Report and Accounts https://www.nice.org.uk/about/who-we-are/corporate-publications
3.	Board and Senior Management Team Expenses Summary https://www.nice.org.uk/About/Who-we-are/Board/Board-expenses
4.	Standing Orders https://www.nice.org.uk/Media/Default/About/Who-we-are/20140910-ge-tor-final.pdf
5.	Public Board Meetings https://www.nice.org.uk/Get-Involved/Meetings-in-public/Public-board-meetings
6.	DH - NICE Framework Agreement 2014 https://www.nice.org.uk/Media/Default/About/Who-we-are/NICE-and-Dept-of-Health-Framework-Agreement-March-2014.pdf
7.	Health Select Committee Review 2012 http://www.parliament.uk/business/committees/committees-a-z/commons-select/health-committee/publications/?type=&session=2&sort=false&inquiry=181
8.	Managing Public Money – HM Treasury https://www.gov.uk/government/publications/managing-public-money
9.	Corporate governance in central government departments – HM Treasury & Cabinet Office https://www.gov.uk/government/publications/corporate-governance-code-for-central-government-departments

Annex F -Breakdown of responses by sector¹



¹ As categorised by respondent

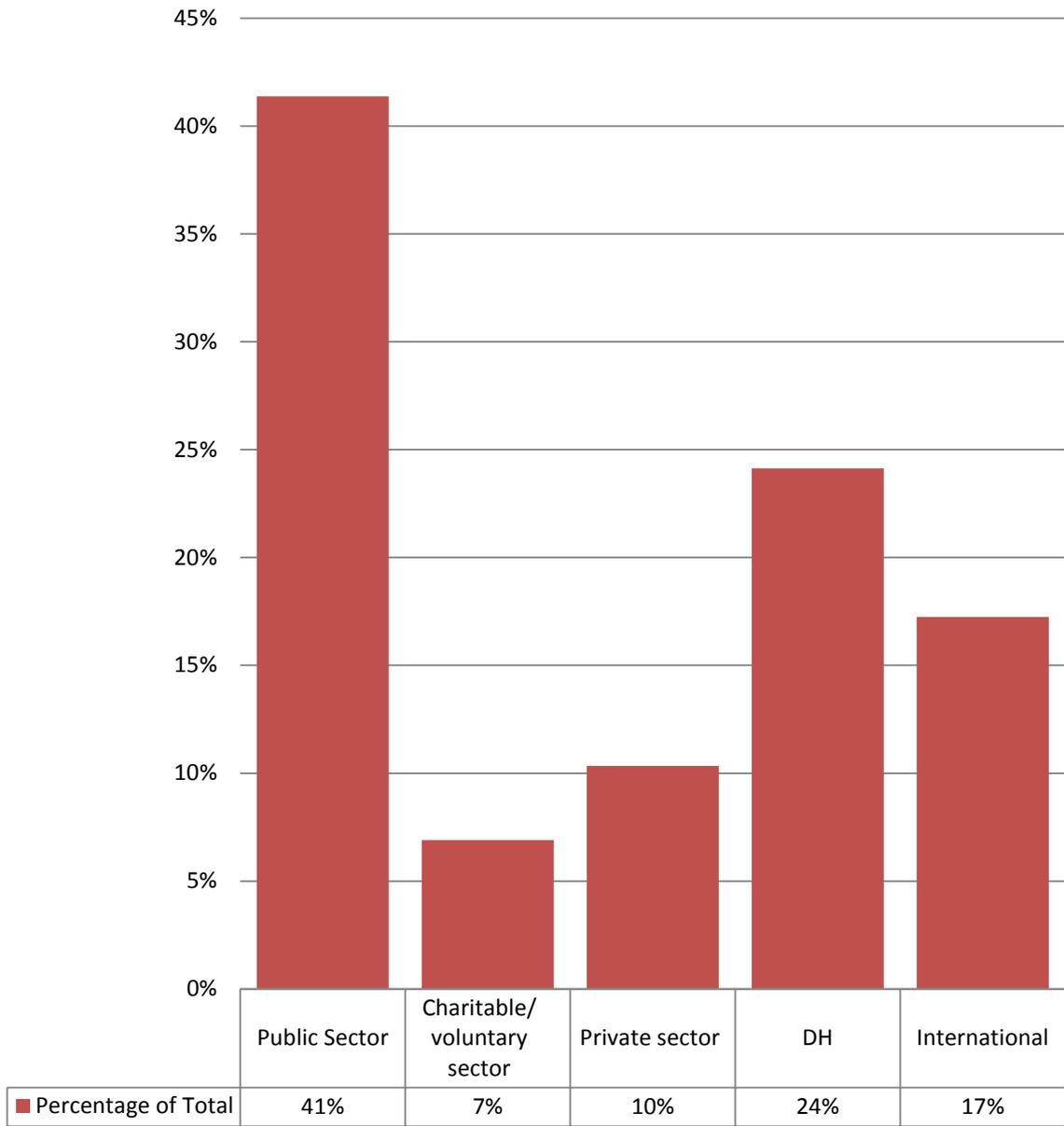
Workshop



2

² As categorised by Review team

Interviews



3

³ As categorised by Review team

Annex G – Characteristics of an ENDPB

NICE is an 'Executive NDPB', (rather than an Advisory NDPB). Executive NDPBs have the following key characteristics:

(a) Are usually established in bespoke legislation or under the Companies Act. A small number of NDPBs have been established by Royal Charter. [NICE was established through the Health and Social Care Act 2012.]

(b) Are (with a couple of exceptions) not part of The Crown but have their own legal personality.

(c) Carry out a wide range of administrative, commercial, executive and regulatory or technical functions which are considered to be better delivered 'at arm's length' from Ministers. [This means a significant degree of autonomy but not full independence.]

(d) Have a regional or national remit.

(e) Have varying degrees of operational autonomy and independence from Ministers and the sponsoring department – but all work within a strategic framework set by Ministers. They are directly accountable to Ministers who, in turn, are ultimately accountable to Parliament and the public for the performance of their NDPBs and their continued existence. [The DH sponsors NICE and the Secretary of State for Health provides the policy directions that broadly set NICE's strategic framework and sets financial directions for NICE].

(f) Are headed by boards (or occasionally office holders) comprising of an independent, non-executive chair and a majority of non-executive members. Board members are usually appointed by Ministers or by the Queen on the advice of Ministers. [NICE has a non-executive Chair and both non-executive and executive Board members⁴.]

(g) Generally, have a CEO with day-to-day responsibility for managing the body, who is appointed by the Board. The CEO and staff are not usually civil servants. In most cases the CEO would be designated as the Accounting Officer for the NDPB and the sponsor department's permanent secretary, as Principal Accounting Officer, would usually be involved in the designation.

⁴ <https://www.nice.org.uk/about/who-we-are>

(h) Are funded within the Estimate⁵ of their sponsor department. This is usually delivered through a grant or grant-in-aid, although many Executive NDPBs also generate additional income through other sources. [See NICE's Annual Report and Accounts⁶].

(i) Are accountable for their own budget and publish their own annual report and accounts. Each will have a sponsor department with whose accounts the NDPB's will be consolidated (as they are considered as central government for Office for National Statistics (ONS) purposes). [NICE publishes an annual report and accounts and its accounts are consolidated into those of DH⁷].

(j) The Comptroller & Auditor General is normally the external auditor. [This is the case for NICE.]

⁵ Estimates are the means of obtaining from Parliament, the legal authority to consume resources and spend cash the government needs to finance department's agreed spending programme.

⁶ <https://www.nice.org.uk/about/who-we-are/corporate-publications>

⁷ <https://www.gov.uk/government/publications/department-of-health-annual-report-and-accounts-2013-to-2014>

Annex H - Targets for 2014-15

Success Criteria	Key Measures	Target
Development and publication of guidance and evidence outputs		
Publish 7 public health guidelines	Publication within stated quarter	75%
Make update recommendations on 14 public health guidelines	Publication within stated quarter	75%
Publish 8 local government public health briefings	Publication within stated quarter	75%
Publish 44 technology appraisals guidance	Publication within stated quarter	75%
Publish up to 42 interventional procedures guidance	Publication within stated quarter	75%
Publish 6 diagnostics guidance	Publication within stated quarter	75%
Publish 3 highly specialised technologies guidance	Publication within stated quarter	100%
Publish up to 12 medical technologies guidance	Publication within stated quarter	75%
Publish 20-25 medtech innovation briefings (MIBs)	Publication within stated quarter	75%
Submit advice to Ministers on up to 12 Patient Access Schemes	Publication within stated quarter	75%
Publish 24 clinical guidelines, including updates	Publication within stated quarter	75%

Publish 20 evidence updates	Publication within stated quarter	80%
Publish 59 evidence surveillance reviews	Publication within stated quarter	75%
Publish 30 evidence summaries – new medicines, unlicensed and off-label medicines	Publication within year	80%
Publish 3 good practice guidelines, including 1 good practice update on medicines and prescribing	Publication within year	100%
Publish 30 quality standards	Publication within stated quarter	75%
Publish 3 public health quality standards	Publication within stated quarter	75%
Publish 1 NICE menu for QOF	Publication within year	100%
Publish 1 NICE menu for CCGOIS	Publication within year	100%
Consult on 1 social care guideline	Publication within stated quarter	75%
Publish 3 social care guideline final scopes	Publication within stated quarter	75%
Publish at least 15 accreditation reports	Publication within stated quarter	75%
Publish at least 10 new QIPP case studies	Publication within stated quarter	80%
Publish 12 Cochrane QP studies	Publication within stated quarter	80%
Publish 50 shared learning examples	Publication within stated quarter	80%
Published guidance is accessible via NICE Pathways	Publication within stated quarter	95%

Publish 2 safe staffing guidelines	Publication within stated quarter	75%
Provision of support products for the effective implementation of guidance		
Support for commissioners for quality standards	% of quality standards launches with accompanying package of support	80%
Prepare up to 30 adoption briefing notes for new medical technologies	Publication within year	75%
Provide up to 8 adoption reports to MTAC/NICE scoping meetings	Publication within year	100%
Publish 10 site demonstrator packs on new technologies	Publication within year	80%
Conduct a minimum of 16 engagements between suppliers and front-line NHS organisations	Publication within year	80%
Publish a minimum of 4 e-learning modules	Publication within year	75%
Deliver 15 Student Champion training events	Publication within year	80%
Development and publication of evidence awareness services		
Publish 12 monthly evidence alerts via Eyes on Evidence	Publishing within stated quarter	100%
Publish 10 new Clinical Knowledge Summaries topics	Publishing within stated quarter	80%

Publish 12 monthly updates of the BNF and BNF C content	Publishing within stated quarter	80%
Publish a regular medicine awareness service	Publishing to regular weekly and daily (working day) schedule	90%

Annex I – Compliance with principles of good corporate governance

PRINCIPLES OF GOOD CORPORATE GOVERNANCE			
Accountability			
Statutory Accountability		Met (Yes/No)	Detail
Principle	<i>The public body complies with all applicable statutes and regulations, and other relevant statements of best practice.</i>		
Supporting Provisions	The public body must comply with all statutory and administrative requirements on the use of public funds. This includes the principles and policies set out in the HMT publication “Managing Public Money” and Cabinet Office/HM Treasury spending controls.	Yes	NICE complies with all statutory and administrative requirements on the use of public funds, including the principles and policies set out in Managing Public Money and Cabinet Office/HM Treasury spending controls.
	The public body must operate within the limits of its statutory authority and in accordance with any delegated authorities agreed with the sponsoring department.	Yes	NICE operates within the limits of its statutory authority as set out in the Health & Social Care Act 2012 in accordance with delegated authorities agreed by DH, including those set out in the Framework Document at. https://www.nice.org.uk/about/who-we-are
	The public body should operate in line with the statutory requirements and spirit of the Freedom of Information Act 2000. It should have a comprehensive Publication Scheme. It should proactively release information that is of legitimate public interest where this is consistent with the provisions of the Act.	Yes	NICE is committed to promoting and actively developing a culture of openness, transparency and accountability embodied in the Freedom of Information Act. It has a comprehensive Publication Scheme and proactively releases information of legitimate public interest within the provisions of the Act.
	The public body must be compliant with Data Protection legislation.	Yes	NICE has policies and procedures in place which explain to staff their responsibilities to comply with the Data Protection Act. The corporate directorate provides advice, guidance and training to

			staff on data protection issues.
	The public body should be subject to the Public Records Acts 1958 and 1967.	Yes	NICE is subject to the Public Records Acts 1958 and 1967, and the corporate directorate is responsible for the effective management of compliance with this legislation.

Accountability for public money		Met (Yes/No)	Detail
Principle	<i>The Accounting Officer of the public body is personally responsible and accountable to Parliament for the use of public money by the body and for the stewardship of assets</i>		
Supporting Provisions	There should be a formally designated Accounting Officer for the public body. This is usually the most senior official (normally the Chief Executive).	Yes	NICE's Chief Executive has been designated as the Accounting Officer by letter from the Permanent Secretary of DH who is Principal Accounting Officer.
	The role, responsibilities and accountability of the Accounting Officer should be clearly defined and understood. The Accounting Officer should have received appropriate training and induction. The public body should be compliant with the requirements set out in "Managing Public Money", relevant Dear Accounting Officer letters and other directions. In particular, the Accounting Officer of the NDPB has a responsibility to provide evidence-based assurances required by the Principal Accounting Officer (PAO). The PAO requires these to satisfy him or herself that the Accounting Office responsibilities are being appropriately discharged. This includes, without reservation, appropriate access of the PAO's internal audit service into the NDPB.	Yes	The Accounting Officer is responsible and accountable personally to Parliament for the management of NICE, including its use of public money and the stewardship of its assets. The prime responsibilities of the Accounting Officer and the importance of "Managing Public Money" are set out in the appointment letter and included in the Framework Document. The DH Sponsorship Team is the primary contact for NICE and supports the Principal Accounting Officer in his or her responsibilities toward NICE. NICE Internal Audit service is provided by DH as part of a shared service and the Principal Accounting Officer has access through this mechanism.

	<p>The public body should establish appropriate arrangements to ensure that public funds:</p> <ul style="list-style-type: none"> • are properly safeguarded; • are used economically, efficiently and effectively; • are used in accordance with the statutory or other authorities that govern their use; • deliver value for money for the Exchequer as a whole. 	Yes	<p>The Accounting Officer has responsibility for reviewing the effectiveness of internal control, informed by the Audit Committee, the Senior Management Team and other managers responsible for the development and maintenance of the internal framework, in accordance with Managing Public Money. This is supported by the work of Internal Audit who completes Value for Money (VFM) audits, comments made by NAO as external auditors in their management letter and other assurance reports and advice from the Board and its Audit Committee. To monitor and evidence compliance, assurance is sought annually through internal governance Letters of Assurance by Directors to the Accounting Officer.</p>
	<p>The public body's annual accounts should be laid before Parliament. The Comptroller and Auditor General should be the external auditor for the body.</p>	Yes	<p>NICE's Annual Report and Accounts are laid before Parliament in accordance with Parliament. The Comptroller and Auditor General is the external auditor for NICE.</p>

Ministerial Accountability		Met (Yes/No)	Detail
Principle	<i>The Minister is ultimately accountable to Parliament and the public for the overall performance of the public body.</i>		
Supporting Provisions	The Minister and sponsoring department should exercise appropriate scrutiny and oversight of the public body.	Yes	Appropriate scrutiny and oversight is secured through Ministerial approval of NICE's business plan and key performance indicators, through quarterly reporting on financial and performance matters and through the regular meetings which DH Ministers and officials have with NICE as set out in the Framework Document.
	Appointments to the board should be made in line with any statutory requirements and, where appropriate, with the Code of Practice issued by the Commissioner for Public Appointments.	Yes	The Secretary of State appoints the Chair and NICE Board Members in accordance the Code of Practice of the Commissioner for Public Appointments as set in the Board Operating Framework. NICE's structure consists of a Chair and 8 Non-Executive Board Members that have a balance of skills and experience appropriate to directing NICE's business.
	The Minister will normally appoint the Chair and all non-executive board members of the public body and be able to remove individuals whose performance or conduct is unsatisfactory.	Yes	The Secretary of State has the power to appoint or remove the Chair or a NICE Board non - executive board member under the statutory provisions governing the appointment. Regulation 5 of the NHS Regulations sets out the grounds for terminating an appointment.
	The Minister should be consulted on the appointment of the Chief Executive and will normally approve the terms and conditions of employment.	Yes	The National Health Service Act 1977 provides for the appointment of the Chief Executive by the NICE Board with the consent of the Secretary of State who shall also determine the terms and conditions of employment.
	The Minister should meet the Chair and/or Chief Executive on a regular basis.	Yes	Monthly meetings are held to review NICE's performance involving the Minister, the Chair and the Chief Executive. Additional meetings also take place as required and may involve other NICE officials.
	A range of appropriate controls and safeguards should be in place to ensure that the Minister is consulted on key issues and can be properly held to account. These will normally	Yes	The Board agrees a Business Plan setting out NICE's corporate objectives and spending priorities together with associated key

	<p>include:</p> <ul style="list-style-type: none"> • a requirement for the public body to consult the Minister on the corporate and/or operational business plan; • a requirement for the exercise of particular functions to be subject to guidance or approval from the Minister; • a general or specific power of Ministerial direction over the public body; • a requirement for the Minister to be consulted by the public body on key financial decisions. This should include proposals by the public body to: (i) acquire or dispose of land, property or other assets; (ii) form subsidiary companies or bodies corporate; and (iii) borrow money; • a power to require the production of information from the public body which is needed to answer satisfactorily for the body's affairs. 		<p>performance indicators.</p> <p>This is then subject to Ministerial approval. The Secretary of State gives general and specific directions. NICE are also required to provide the Secretary of State with such information as is required relating to its assets or the discharge or proposed discharge of its functions.</p> <p>Additional controls and safeguards are set out in the Framework document.</p>
	<p>There should be a requirement to inform Parliament of the activities of the public body through publication of an annual report.</p>	<p>Yes</p>	<p>NICE publishes an Annual Report and Accounts which are laid before Parliament.</p>

PRINCIPLES OF GOOD CORPORATE GOVERNANCE

Roles and responsibilities

Role of the Sponsor Department		Met (Yes/No)	Detail
Principle	<p><i>The departmental board ensures that there are robust governance arrangements with the board of each arm's length body. These arrangements set out the terms of their relationship and explain how they will be put in place to promote high performance and safeguard propriety and regularity.</i></p> <p><i>There is a sponsor team within the department that provides appropriate oversight and scrutiny of, and support and assistance to, the public body.</i></p>		
Supporting Provisions	The departmental board's regular agenda should include scrutiny of the performance of the public body. The departmental board should establish appropriate systems and processes to ensure that there are effective arrangements in place for governance, risk management and internal control in the public body.	Yes	NICE's performance is reported to DH on a quarterly basis including governance, risk management and internal control matters as appropriate. Effectiveness of governance, risk management and internal control are reported in the Annual Report and Accounts.
	There should be a Framework Document in place which sets out clearly the aims, objectives and functions of the public body and the respective roles and responsibilities of the Minister, the sponsoring department and the public body. This should follow relevant Cabinet Office and HM Treasury guidance. The Framework Document should be published. It should be accessible and understood by the sponsoring department, all board members and by the senior management team in the public body. It should be regularly reviewed and updated.	Yes	A Framework Document is in place between NICE and DH and clearly sets out the aims objectives and functions of NICE and the responsibilities of the Minister, DH and NICE was prepared using Cabinet Office and HM Treasury guidance and is accessible via NICE's website.
	There should be a dedicated sponsor team within the parent department. The role of the sponsor team should be clearly defined.	Yes	There is a dedicated sponsor team within DH, which has a clearly defined role.

	<p>There should be regular and ongoing dialogue between the sponsoring department and the public body. Senior officials from the sponsoring department may as appropriate attend board and/or committee meetings. There might also be regular meetings between relevant professionals in the sponsoring department and the public body.</p>	<p>Yes</p>	<p>There is regular and ongoing dialogue between DH and NICE. This includes NICE's Chief Executive attending a quarterly sponsorship meeting to discuss performance against the business plan. In addition, the NICE Director of Finance meets monthly with the DH senior finance team to review monthly financial performance.</p>
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Role of the Board	Met (Yes/No)	Detail
Principle		<p><i>The public body is led by an effective board which has collective responsibility for the overall performance and success of the body. The board provides strategic leadership, direction, support and guidance.</i></p> <p><i>The board – and its committees – have an appropriate balance of skills, experience, independence and knowledge.</i></p> <p><i>There is a clear division of roles and responsibilities between non-executive and executives. No one individual has unchallenged decision-making powers.</i></p>
Supporting Provisions	<p>The board of the public body should:</p> <ul style="list-style-type: none"> • meet regularly; • retain effective control over the body; • effectively monitor the senior management team. 	<p>Yes</p> <p>The Board meets six times a year and dates of meetings are published on the NICE website. The Board aims to conduct as much of its business as possible in Open Session. The Board sets the NICE strategy and approves the NICE Business Plan. At every meeting, it reviews the performance of NICE against its plan. The Board has set up an Audit Committee chaired by a non-executive member to provide independent advice to assure itself of the effectiveness of the internal control and risk management systems.</p>
	<p>The size of the board should be appropriate.</p>	<p>Yes</p> <p>The size and composition of the Board is kept under review to ensure it remains appropriate.</p>
	<p>Board members should be drawn from a wide range of diverse backgrounds.</p>	<p>Yes</p> <p>NICE's Board Members are appointed by the Secretary of State in accordance the Code of Practice of the Commissioner for Public Appointments Vacancies on the NICE Board are advertised on the Cabinet Office Public Appointments website, and are also brought to the attention of relevant stakeholder groups.</p>
	<p>The board should establish a framework of strategic control (or scheme of delegated or reserved powers). This should</p>	<p>Yes</p> <p>NICE's Board Operating Framework contains a schedule of matters that need to come before the Board for decision, review</p>

	<p>specify which matters are specifically reserved for the collective decision of the board. This framework must be understood by all board members and by the senior management team. It should be regularly reviewed and refreshed.</p>		<p>and endorsement. All other authority is delegated to the Chief Executive and is further distributed throughout the organisation. This is understood by all Board members and SMT and is regularly reviewed and refreshed in line with NICE's priorities.</p>
	<p>The Board should establish formal procedural and financial regulations to govern the conduct of its business.</p>	<p>Yes</p>	<p>The NICE Board has formally agreed Terms of Reference and Standing Orders for the Board and its Committees. The Board has adopted an Operating Framework which sets out the roles and responsibilities of the NICE Board, its committees and its members.</p>
	<p>The Board should establish appropriate arrangements to ensure that it has access to all such relevant information, advice and resources as is necessary to enable it to carry out its role effectively.</p> <p>The Board should make a senior executive responsible for ensuring that appropriate advice is given to it on all financial matters.</p>	<p>Yes</p>	<p>Its formal Committees and informal groups enable it to receive the relevant information advice and resources as is necessary to enable it to carry out its role effectively The Board has regular access to advice from the Chief Executive and Senior Management Team, and also receives advice directly from NICE policy officials where appropriate The Chief Executive is appointed as Accounting Officer and is supported by the Director of Finance.</p>
	<p>The Board should make a senior executive responsible for ensuring that Board procedures are followed and that all applicable statutes and regulations and other relevant statements of best practice are complied with.</p>	<p>Yes</p>	<p>The Director of Finance has responsibility for corporate governance and reports directly to the Chief Executive supported by the Directors of HR and Legal. Compliance is fully reported in the Governance Statement published in NICE's Annual Report and Account and is regularly reviewed by the Audit Committee.</p>
	<p>The Board should establish a remuneration committee to make recommendations on the remuneration of top executives. Information on senior salaries should be published. The board should ensure that the body's rules for recruitment and management of staff provide for appointment and advancement on merit.</p>	<p>Yes</p>	<p>NICE's Board has established a Remuneration Committee which reviews performance and recommends remuneration of the Chief Executive and Deputy Chief Executive. It also ensures appropriate succession planning arrangements are in place and ensures that recruitment and management of staff provide for appointment and advancement on merit.</p>

	<p>The Chief Executive should be accountable to the Board for the ultimate performance of the public body and for the implementation of the Board's policies. He or she should be responsible for the day-to-day management of the public body and should have line responsibility for all aspects of executive management.</p>	<p>Yes</p>	<p>The Chief Executive has line management responsibility for all aspects of executive management, implementation of Board policies and is accountable to the Board for the performance of NICE.</p>
	<p>There should be an annual evaluation of the performance of the board and its committees – and of the Chair and individual board members.</p>	<p>Yes</p>	<p>Both the Board and the Audit Committee undertake annual reviews of their effectiveness in line with best practice corporate governance which are included in the Governance Statement. The Chair's performance is assessed on an annual basis by the nominated sponsor within the Department.</p>

Role of the Chair		Met (Yes/No)	Detail
Principle	<i>The Chair is responsible for leadership of the board and for ensuring its overall effectiveness.</i>		
Supporting Provisions	The board should be led by a non-executive Chair.	Yes	The board is led by a non-executive Chair.
	There should be a formal, rigorous and transparent process for the appointment of the Chair. This should be compliant with the Code of Practice issued by the Commissioner for Public Appointments. The Chair should have a clearly defined role in the appointment of non-executive board members.	Yes	The process for appointing members to the NICE Board, including the Chair, is delivered by the Sponsorship within DH on behalf of the Secretary of State and is formalised, rigorous and transparent. Appointments comply with the Code of Practice issued by the Commissioner for Public Appointments, and are based on the principles of merit, fairness and openness. The Chair is responsible for ensuring that the NICE Board has a balance of skills appropriate to directing NICE's business and sits on the appointment panels for the appointment of non-executives.
	The duties, role and responsibilities, terms of office and remuneration of the Chair should be set out clearly and formally defined in writing. Terms and conditions must be in line with Cabinet Office guidance and with any statutory requirements. The responsibilities of the Chair will normally include: <ul style="list-style-type: none"> representing the public body in discussions with Ministers; advising the sponsoring Department and Ministers about board appointments and the performance of individual non-executive board members; ensuring that non-executive board members have a proper knowledge and understanding of their corporate role and responsibilities. The Chair should ensure that new members undergo a proper induction process and is normally responsible for undertaking an annual assessment of non-executive board members' 	Yes	The Chair receives an appointment letter from the Secretary of State setting out the terms and conditions of appointment, which are in line with Cabinet Office guidance and statutory requirements. The Chair's responsibilities are set out in the Framework Document and the Board Operating Framework. The Chair is responsible to the Secretary of State for the overall strategic direction of HSE within the policy framework set by the Secretary of State. The Chair ensures that policies and actions support the responsible Minister's and other Ministers' (on whose behalf NICE is acting or who are advised by NICE) wider strategic policies and that the NICE Board's affairs are conducted with probity.

	<p>performance;</p> <ul style="list-style-type: none"> • ensuring that the board, in reaching decisions, takes proper account of guidance provided by the sponsoring department or Ministers; • ensuring that the board carries out its business efficiently and effectively; • representing the views of the board to the general public; • developing an effective working relationship with the Chief Executive and other senior staff. 		
	<p>The roles of Chair and Chief Executive should be held by different individuals.</p>	<p>Yes</p>	<p>The roles of Chair and Chief Executive are held by different individuals.</p>

Role of Non-Executive Board Members		Met (Yes/No)	Detail
Principle	<i>As part of their role, non-executive board members provide independent and constructive challenge.</i>		
Supporting Provisions	There should be a majority of non-executive members on the board.	Yes	NICE's Board members are majority non-executive and independent of management with clear rules and procedures in place for managing conflicts of interest. A Register of Interests for Board members and senior staff is maintained.
	There should be a formal, rigorous and transparent process for the appointment of non-executive members of the board. This should be compliant with the Code of Practice issued by the Commissioner for Public Appointments.	Yes	The process for appointing members to the NICE Board, including the Chair, is delivered by the Sponsorship within DH on behalf of the Secretary of State and is formalised rigorous and transparent. Appointments comply with the Code of Practice issued by the Commissioner for Public Appointments, and are based on the principles of merit, fairness and openness.
	<p>The duties, role and responsibilities, terms of office and remuneration of non-executive board members should be set out clearly and formally defined in writing. Terms and conditions must be in line with Cabinet Office guidance and with any statutory requirements. The corporate responsibilities of non-executive board members (including the Chair) will normally include:</p> <ul style="list-style-type: none"> • establishing the strategic direction of the public body (within a policy and resources framework agreed with Ministers); • overseeing the development and implementation of strategies, plans and priorities; • overseeing the development and review of key performance targets, including financial targets; • ensuring that the public body complies with all statutory 	Yes	<p>Board members receive an appointment letter from the Secretary of State setting out their terms and conditions of appointment. The Board's responsibilities are set out in the Framework Document, the Board Operating Framework and reflected in its Terms of Reference which are in line with Cabinet Office guidance. Its primary purpose is to</p> <ul style="list-style-type: none"> • provide strategic clarity • approve a business plan that takes forward the implementation of its strategy • formulate advice to Ministers on specific policies and policy proposals • monitor the performance and effectiveness of NICE • support the Accounting Officer in his obligation as set out in Managing Public Money for the proper conduct of

	<p>and administrative requirements on the use of public funds;</p> <ul style="list-style-type: none"> ensuring that the board operates within the limits of its statutory authority and any delegated authority agreed with the sponsoring department; ensuring that high standards of corporate governance are observed at all times. This should include ensuring that the public body operates in an open, accountable and responsive way; representing the board at meetings and events as required. 		<p>business and maintenance of appropriate standards</p>
	<p>All non-executive Board members must be properly independent of management.</p>	<p>Yes</p>	<p>All non-executive Board members are properly independent of management.</p>
	<p>All non-executive board members must allocate sufficient time to the board to discharge their responsibilities effectively. Details of board attendance should be published (with an accompanying narrative as appropriate).</p>	<p>Yes</p>	<p>The minimum time commitment of Board members is agreed with DH and the NICE Chair. Attendance is formally recorded for all Board and Committee meetings and published on the NICE website and in the NICE Annual Report and Accounts.</p>
	<p>There should be a proper induction process for new board members. This should be led by the Chair. There should be regular reviews by the Chair of individual members' training and development needs.</p>	<p>Yes</p>	<p>Appropriate induction arrangements for new board members are provided by NICEE, and led by the Chair. The Chair also keeps individual members' training and development needs under review.</p>

PRINCIPLES OF GOOD CORPORATE GOVERNANCE

Effective Financial Management

Effective Financial Management		Met (Yes/No)	Detail
Principle	<i>The public body has taken appropriate steps to ensure that effective systems of financial management and internal control are in place.</i>		
Supporting Provisions	The body must publish on a timely basis an objective, balanced and understandable annual report. The report must comply with HM Treasury guidance.	Yes	An Annual Report and Accounts is published which is objective, balanced, understandable and compliant with HM Treasury guidance.
	The public body must have taken steps to ensure that effective systems of risk management are established as part of the systems of internal control.	Yes	NICE has a corporate risk register which is regularly reviewed by the Board, Audit Committee and SMT, as well as at quarterly Departmental Sponsorship meetings.
	The public body must have taken steps to ensure that an effective internal audit function is established as part of the systems of internal control. This should operate to Government Internal Audit Standards and in accordance with Cabinet Office guidance.	Yes	NICE has established an effective internal audit function, procured from DH Internal Audit Shared Service, which operates to Government Internal Audit Standards and in accordance with Cabinet Office guidance.
	There must be appropriate financial delegations in place. These should be understood by the sponsoring department, by board members, by the senior management team and by relevant staff across the public body. Effective systems should be in place to ensure compliance with these delegations. These should be regularly reviewed.	Yes	NICE has a comprehensive scheme of Financial Delegations which are set out in the Framework Document and understood by DH, the Board and SMT. The scheme of delegation is reviewed annually.
	There must be effective anti-fraud and anti-corruption measures in place.	Yes	There are well publicised internal procedures in place for preventing, detecting and reporting fraudulent activities
	There must be clear rules in place governing the claiming of expenses. These should be published. Effective systems	Yes	NICE has a travel and subsistence policy supported by detailed guidance with advice available if required. Compliance is monitored and information on Board members' and senior staff

	should be in place to ensure compliance with these rules. The public body should proactively publish information on expenses claimed by board members and senior staff.		expenses is published on the NICE website.
	The annual report should include a statement on the effectiveness of the body's systems of internal control.	Yes	NICE's Annual Report and Accounts includes a Governance Statement which states the effectiveness of NICE's system of internal control.
	The board should establish an audit (or audit and risk) committee with responsibility for the independent review of the systems of internal control and of the external audit process.	Yes	NICE's Board has established an Audit Committee which meets four times a year and keeps under independent review NICE's system of internal control and external audit process. It advises the Board and the Accounting Officer on matters of financial accountability, risk, control and governance.
	The body should have taken steps to ensure that an objective and professional relationship is maintained with the external auditors.	Yes	NICE ensures it has an objective and professional relationship with the National Audit Office (NAO) who are the external auditors.

PRINCIPLES OF GOOD CORPORATE GOVERNANCE

Communications

Communications	Met (Yes/No)	Detail
Principle	<i>The Public Body is open, transparent, accountable and responsive.</i>	
Supporting Provisions	Yes	NICE works closely with a wide range of partners in the public and private sectors at local, national and international levels.
	Yes	Information on Board members and members of the Senior Management Team are published on the NICE website, with details of how to contact NICE. NICE consults on many aspects of its work.
	Yes	NICE's Board holds up to six open Board meetings per year as it is committed to being open and transparent about what it does.
	Yes	Agendas, papers and minutes of Board meetings (with the exception of necessarily confidential business) are published on the NICE website.
	Yes	Performance data is included in the Chief Executive's report to the Board which is published with other Board papers. NICE's Annual Report and Accounts reviews the annual performance against the Business Plan which is also published on the NICE website.
	Yes	NICE publishes on data.gov details of all Government Procurement Card (GPC) expenditure with a single transaction value of £500 or above and all invoices paid that are over £25,000.
	Yes	In accordance with transparency best practice, public bodies should consider publishing their spend data over £500. By regularly publishing such data and by opening their books for public scrutiny, public bodies can

	demonstrate their commitment to openness and transparency and to making themselves more accountable to the public.		
	The public body should establish effective correspondence handling and complaint procedures. These should make it simple for members of the public to contact the public body and to make complaints. Complaints should be taken seriously. Where appropriate, complaints should be subject to investigation by the Parliamentary Ombudsman. The public body should monitor and report on its performance in handling correspondence.	Yes	NICE has a well-established complaints system which offers recourse to the Chief Executive where issues cannot be resolved locally. Members of the public are also made aware that they can seek to have their complaints taken up by their MP or by the Office of the Parliamentary and Health Service Ombudsman NICE submits performance data on handling of official correspondence to DH on a quarterly basis.
	The public body must comply with the Government's conventions on publicity and advertising. These conventions must be understood by board members, senior managers and all staff in press, communication and marketing teams.	Yes	NICE has fully implemented the spending controls set by Government on various categories of spend including advertising, marketing and communications.
	Appropriate rules and restrictions must be in place limiting the use of marketing and PR consultants.	Yes	NICE has fully implemented the spending controls set by Government on various categories of spend including consultant recruitment.
	The public body should put robust and effective systems in place to ensure that the public body is not, and is not perceived to be, engaging in political lobbying. This includes restrictions on board members and staff attending political conferences in a professional capacity.	Yes	There are appropriate rules and restrictions in place as set out in the Board and Staff Codes of Conduct together with pre-election guidance for staff. NICE is provided with any guidance issued by the Cabinet Office in relation to conduct during local, national, and European elections, or to attendance at party conferences.

PRINCIPLES OF GOOD CORPORATE GOVERNANCE

Conduct and behaviour

Conduct and behaviour		Met (Yes/No)	Detail
Principle	<i>The board and staff of the public body work to the highest personal and professional standards. They promote the values of the public body and of good governance through their conduct and behaviour.</i>		
Supporting Provisions	A Code of Conduct must be in place setting out the standards of personal and professional behaviour expected of all board members. This should follow the Cabinet Office Code. All members should be aware of the Code. The Code should form part of the terms and conditions of appointment.	Yes	NICE has incorporated the Cabinet Office Code of Conduct for Board members into the Board Operating Framework
	The public body has adopted a Code of Conduct for staff. This is based on the Cabinet Office model Code. All staff should be aware of the provisions of the Code. The Code should form part of the terms and conditions of employment.	Yes	Staff Code of Conduct setting out the standards of behaviour expected of all NICE employees has been agreed and published. This code is part of the contractual relationship between NICE and its employee.
	There are clear rules and procedures in place for managing conflicts of interest. There is a publicly available Register of Interests for board members and senior staff. This is regularly updated.	Yes	NICE has clear rules and procedures in place for managing conflicts of interest. Potential Board members are required to declare potential conflicts of interest as part of the appointments process and the terms and conditions of Board members require that the Secretary of State is informed of any new appointments which may impinge on their duties as a member of the NICE. A Register of Interests for Board members and senior staff is maintained and regularly updated.
	There are clear rules and guidelines in place on political activity for board members and staff. There are effective systems in place to ensure compliance with any restrictions.	Yes	Political activity guidance is in place for Board members and staff. Potential Board members are required to declare political activity as part of the appointments process, and the terms and conditions of Board members include rules for the guidance of those engaged in political activities.

	There are rules in place for board members and senior staff on the acceptance of appointments or employment after resignation or retirement. These are effectively enforced.	Yes	Senior staff at SCS Pay Band 3 are required to clear with the Business Appointments Panel, in advance, any appointment or employment. SCS staff at Pay Band 2 and below are required to clear this with NICE.
	Board members and senior staff should show leadership by conducting themselves in accordance with the highest standards of personal and professional behaviour and in line with the principles set out in respective Codes of Conduct.	Yes	NICE ensures this through the Board and Staff Codes of Conduct which place emphasis on promoting the highest standards of behaviour.

Annex J - NICE's budgeted staffing numbers for 2014-15

Grade	Health Tech Evaluation				Clinical Practice				Public Health Excellence				Evidence Resources				Health & Social Care			
	Lon	Man	Home	Total	Lon	Man	Home	Total	Lon	Man	Home	Total	Lon	Man	Home	Total	Lon	Man	Home	Total
VSM		1.0		1.0	1.0			1.0	1.0			1.0	1.0			1.0	1.0			1.0
Medical	0.6	1.0	0.5	2.1	0.6	2.6		3.2				0.0		0.8		0.8	1.0	2.7	0.4	4.1
Band 9	1.0	1.5		2.5	1.0	1.0		2.0				0.0		2.0		2.0	1.0	2.0		3.0
Band 8D	4.0	5.0		9.0	2.0	3.0		5.0	4.0	1.0		5.0		2.0		2.0	1.0	2.0	1.0	4.0
Band 8C		3.9		3.9	3.0	2.0		5.0				0.0	2.0	2.0	1.0	5.0	0.5	7.6	6.0	14.1
Band 8B	5.3	8.8	0.8	14.9	2.0	4.8	3.4	10.2	3.0			3.0		3.5	1.0	4.5	1.0	6.0	1.0	8.0
Band 8A	3.0	16.0	1.0	20.0	4.0	14.6	0.4	19.0	10.6	6.0		16.6	2.6	23.4	3.7	29.7	3.4	24.1		27.5
Band 7	10.3	29.6		39.9	6.0	22.0		28.0	1.0	2.0		3.0	4.6	33.8	3.6	42.0	4.0	54.1		58.1
Band 6		1.0		1.0	2.0	2.6		4.6				0.0	2.6	8.0	1.0	11.6		3.0		3.0
Band 5	2.0	6.0		8.0	1.9	4.0		5.9	1.0	3.0		4.0	1.0	2.8		3.8	2.0	15.6		17.6
Band 4	4.0	7.5		11.5	1.0	4.8		5.8				0.0		4.0		4.0		3.3		3.3
Band 3				0.0				0.0				0.0				0.0				0.0
Contractor				0.0				0.0				0.0		10.0		10.0				0.0
Total	30.2	81.3	2.3	113.8	24.5	61.4	3.8	89.6	20.6	12.0	0.0	32.6	13.8	92.3	10.3	116.4	14.9	120.4	8.4	143.7

Grade	B. Planning & Resources				Communications				NICE International				Scientific Advice				Total			Grand
	Lon	Man	Home	Total	Lon	Man	Home	Total	Lon	Man	Home	Total	Lon	Man	Home	Total	Lon	Man	Home	Total
CEO	1.0			1.0				0.0				0.0				0.0	1.0			1.0
VSM	1.0			1.0	1.0			1.0				0.0				0.0	6.0	1.0		7.0
Medical				0.0				0.0				0.0				0.0	2.2	7.1	0.9	10.2
Band 9				0.0				0.0	1.0			1.0		0.5		0.5	4.0	7.0		11.0
Band 8D	0.8			0.8				0.0	1.0			1.0	1.0		1.0	1.0	13.8	13.0	1.0	27.8
Band 8C	2.0	1.0		3.0	3.0	1.0		4.0	1.0			1.0		1.0	1.0	11.5	18.5	7.0	37.0	
Band 8B	1.0	1.0		2.0	1.0		1.0	2.0				0.0	2.0	1.0		3.0	15.3	25.1	7.2	47.6
Band 8A	2.0	1.0		3.0	1.7	5.4	2.8	9.9	1.0			1.0				0.0	28.2	90.5	7.9	126.6
Band 7	3.0	4.0		7.0	7.2	14.0	12.2	33.4	3.0			3.0		1.0	1.0	39.1	160.5	15.8	215.4	
Band 6	0.8	3.0		3.8	5.0	13.8	3.5	22.3	2.0			2.0			0.0	12.4	31.4	4.5	48.3	
Band 5	3.0	7.8		10.8	1.8	4.0		5.8	1.0			1.0		1.5	1.5	13.7	44.7		58.4	
Band 4		3.0	1.0	4.0		1.0		1.0				0.0			0.0	5.0	23.6	1.0	29.6	
Band 3	4.0	4.4		8.4				0.0				0.0			0.0	4.0	4.4		8.4	
Contractor				0.0				0.0				0.0				0.0	4.0	4.4		8.4
Total	18.6	25.2	1.0	44.8	20.7	39.2	19.5	79.4	10.0	0.0	0.0	10.0	3.0	5.0	0.0	8.0	156.2	436.7	45.3	638.2

Annex K – Contracts over £5m

Description	Supplier	Start /End Date	Value £	Notice period	Renegotiation Option
British National Formulary creation, Digital feed and printed copies	RPS PUBLISHING = The Royal Pharmaceutical Society of Great Britain & The BMJ Publishing Group Ltd & The Royal College of Paediatrics and Child Health	01/04/2011-31/03/2021	16,502,000	6 months	The contract allows review in 4th year. This has been invoked and is currently in process. Aim is to further improve value of the contract through price and development of product particularly digitally.
National Collaborating Centre for Social Care	Social Care Institute for Excellence (SCIE)	01/04/2013 – 31/03/2016	5,396,458	3 Months	Annual Business plan and by Variation
National Collaborating Centre for Women's and Children's Health	Royal College of Obstetricians & Gynaecology	01/04/2005 - 31/03/2016	15,565,000	6 Months by 30/09 or none renewal by 31/12 or full year	Annual Business plan and by Variation and being retendered Jan 2016
National Clinical Guideline Centre	Royal College Of Physicians	01/04/2012 - 31/03/2016	16,964,000	6 Months by 30/09 or none renewal by 31/12 or full year	Annual Business plan and by Variation and being retendered Jan 2017
National Collaborating Centre for Mental Health	Royal College Of Psychiatrists	01/04/2005 - 31/03/2016	8,895,000	6 Months by 30/09 or none renewal by 31/12 or full year	Annual Business plan and by Variation and being retendered Jan 2018
National Clinical Guidelines Centre for Acute and Chronic Conditions (Cancer)	Velindre NHS Trust	01/04/2005 - 31/03/2016	13,340,000	6 Months by 30/09 or none renewal by 31/12 or full year	Annual Business plan and by Variation and being retendered Jan 2019

