

Appendix 5.

Scheme of Reservations and Delegation

SECTION 5 - SCHEME OF RESERVATION AND DELEGATION

REF	THE CCG BOARD	DECISIONS RESERVED TO THE CLINICAL COMMISSIONING GROUP'S BOARD
	CCG BOARD	The Clinical Commissioning Board, may determine any matter, for which it has delegated or statutory authority, it wishes in full session within its statutory powers.
	CCG BOARD	<p><i>Regulations and Control</i></p> <ol style="list-style-type: none"> 1. Approve the Standing Orders (SOs), a schedule of matters reserved to the Board and Scheme of Delegation and Standing Financial Instructions for the regulation of the CCG proceedings and business. 2. Suspend the Standing Orders. 3. Vary or amend the Standing Orders. 4. Approve a Scheme of Delegation of powers from the Board to the Operational Executive Committee and other committees. 5. Require and receive the declaration of Board members' interests which may conflict with those of the CCG and, taking account of any waiver which the Secretary of State for Health may have made in any case, determining the extent to which that member may remain involved with the matter under consideration. 6. Require and receive the declaration of officers' interests that may conflict with those of the CCG – and to receive the declaration of Executive Committee and CCG Board members' interests which may conflict with those Committees. 7. Approve arrangements for dealing with complaints. 8. Adopt the organisation structures, processes and procedures to facilitate the discharge of business by the CCG and to agree modifications thereto. 9. Receive reports from committees including those that CCG's are required, by the Secretary of State or other regulation, to establish and to action appropriately. 10. Confirm the recommendations of the Board's committees where the committees do not have executive powers. 11. Receive and approve terms of reference and reporting arrangements of all committees and sub-committees that are established by the Board. 12. Authorise use of the CCG seal. 13. Discipline members of the Board, Operational Executive Committee or employees who are in breach of statutory requirements or Standing Orders 14. Approve any urgent decisions taken by the Board Chairman and the Accountable Officer for ratification by

REF	THE CCG BOARD	DECISIONS RESERVED TO THE CLINICAL COMMISSIONING GROUP'S BOARD
		<p>the Board.</p> <p>15. Delegate powers to selected members of the Board, as agreed at a Board meeting, in order to take decisions on behalf of the Board, when the need to take a particular course of action by a certain time is not possible due to the meeting schedule of the Board and no other reasonable alternative is possible.</p>
	CCG BOARD	<p>Appointments/ Dismissal</p> <ol style="list-style-type: none"> 1. Appoint and dismiss members of the Operational Executive Committee. 2. Appoint the Vice Chairman of the Board by vote of the Board . 3. Appoint and dismiss other committees (and individual members) that are directly accountable to the Board. 4. Appoint, appraise, discipline and dismiss officer members (subject to SO 2.2). 5. Confirm appointment of members of any committee of the Board as representatives on outside bodies. 6. Appoint appraise, discipline and dismiss the Secretary (if the appointment of a Secretary is required under Standing Orders).
	CCG BOARD	<p>Strategy, Operating Plans and Budgets</p> <ol style="list-style-type: none"> 1. Approve the strategic aims and objectives of the CCG. The Board will develop the Organisational priorities, the Strategic and the Operating plans. 2. Approve plans in respect of the application of available financial resources to support the agreed Operating Plan. The Board will develop the financial plans which will be subject to the approval of the Board 3. Approve proposals for ensuring quality and developing clinical governance in services provided by the CCG or the constituent practices, having regard to any guidance issued by the Secretary of State. The Board is responsible for quality and clinical governance within their functions. 4. Approve (with any necessary appropriate modification) the annual commissioning strategy or plans that have been developed. 5. Approve annually (with any necessary appropriate modifications) the Operating Plan. 6. Approve the CCG's policies and procedures for the management of risk. 7. Approve budgets which have been developed by the Operational Executive Committee. 8. Approve annually CCG proposed organisational development proposals made by the Executive 9. Ratify Operational Executive Committee's proposals for primary care development, proposed GMS Local Development Schemes and proposed new or changes in existing GMS infrastructure reimbursement payments to GP practices. 10. Approve the opening of bank accounts. 11. Approve the Operational Executive Committee's proposals on individual contracts or services (other than NHS contracts) of a capital or revenue nature amounting to, or likely to amount to, over £3,000,000, per annum (or over £4,500,000 total if contract exceeds 12 months). 12. Approve the Audit Committee's proposals in individual cases for the write off of losses or making of special

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		<p>payments above the limits of delegation to the Accountable Officer and Chief Finance Officer (for losses and special payments). Losses up to Chief Finance Officer/Accountable Officer limits approved by those individuals but all to be reported to the Audit Committee</p> <p>13. Approve individual compensation payments above £25,000 where the proposed payments are above the delegated limits or outside the delegated powers of the delegated officers or decision making panel. Payments up to £25,000 should be reviewed and noted by the Audit Committee.</p> <p>14. Approve proposals for action on litigation against or on behalf of the CCG. The Board is responsible for their own areas although all proposals are to be approved at the Board</p>
	CCG BOARD	<p>Policy Determination</p> <p>1. Ratify CCG Board management policies including personnel policies incorporating the arrangements for the appointment, removal and remuneration of staff.</p>
	CCG BOARD	<p>Audit</p> <p>1. Approve the appointment (and where necessary dismissal) of External Auditors and advise the Audit Commission on the appointment (and where necessary change/removal) of External Auditors and receive reports of the Audit Committee meetings and take appropriate action.</p> <p>2. Receive the annual management letter received from the External Auditors and agreement of the CCG Executive Committee and the CCG Board's proposed action, taking account of the advice, where appropriate, of the Audit Committee.</p> <p>3. Receive the annual report from the Internal Auditor and agree action on recommendations where appropriate of the Audit Committee.</p>
	CCG BOARD	<p>Annual Report and Accounts</p> <p>1. Receipt and of the CCG's Annual Report and Annual Accounts</p>
	CCG BOARD	<p>Monitoring</p> <p>1. Receipt of such reports as the Board sees fit from the Operational Executive Committee in respect of its exercise of powers delegated.</p>

DECISIONS DELEGATED BY THE BOARD TO, AND RESERVED BY, THE AUDIT COMMITTEE

	AUDIT COMMITTEE	The CCG delegates all audit committee responsibilities to the Audit Committee.
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		<p>For the Board functions the Audit Committee will:</p> <ol style="list-style-type: none"> 1. Advise the Board on internal and external audit services; 2. Review the establishment and maintenance of an effective system of integrated governance, risk management and internal control across the whole of the CCG's activities (both clinical and non-clinical), that supports the achievement of the CCG's objectives; 3. Monitor compliance with Standing Orders and Standing Financial Instructions; 4. Review schedules of losses and compensations and make recommendations to the Board; 5. Approve the CCG's Annual Report and Annual Accounts prior to submission to the Board. 6. Approve the opening or closing of any bank account.
	<p>REMUNERATION AND TERMS OF SERVICE COMMITTEE</p>	<p>The CCG delegates all Remuneration and Terms of Service responsibilities to the Remuneration and Terms of Service Committee</p> <ul style="list-style-type: none"> • Decide on appropriate remuneration and terms of service for the Accountable Officer, GP representatives and other senior employees including: <ul style="list-style-type: none"> ○ all aspects of salary (including any performance-related elements/bonuses) ○ provisions for other benefits, including pensions and cars; ○ arrangements for termination of employment and other contractual terms; • Decide on any proposed remuneration for individual Board Members for specific work in addition to their corporate Executive role, so as to ensure that the individual is fairly rewarded for their individual contribution to the Board while having proper regard to the CCG's circumstances and performance, and to the requirements of fair and open tendering or recruitment policies; • Make recommendations to the Board on the remuneration and terms of service of senior employees to ensure they are fairly rewarded for their individual contribution to the Board- having proper regard to the Board circumstances and performance and to the provisions of any national arrangements for such staff; • Oversee the proper calculation and scrutiny of termination payments, taking account of such national guidance as is appropriate, advise on and oversee appropriate contractual arrangements for such staff • For the purpose of performance evaluation and remuneration decisions, the Committee will see and approve the Accountable Officers objectives and note the objectives of the leadership team. • With specific input from the Accountable Officer and the Board Chair, monitor performance, review and set the remuneration of the posts that fall within the remit of the Committee. (The Accountable Officer will not be present during the discussions on his/her own remuneration and performance (see appendix 1 for annual review for Accountable Officer)). • Report in writing to the Board the basis for its recommendations. • The Committee shall be conducted in accordance with the provisions of Standing Orders, Standing Financial Instructions and Scheme of Delegation as set out in the Corporate Governance Manual.

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DECISIONS DELEGATED BY THE BOARD TO, AND RESERVED BY, THE OPERATIONAL EXECUTIVE COMMITTEE

REF		DECISIONS DELEGATED BY THE BOARD TO, AND RESERVED BY, THE OPERATIONAL EXECUTIVE COMMITTEE
CGM 4.8.13	OPERATIONAL EXECUTIVE COMMITTEE	<p>Regulation and Control</p> <ol style="list-style-type: none"> 1. Approve a scheme of delegation of powers from the Operational Executive Committee to sub-committees, Operational Executive Committee members and employees. 2. Require and receive the declaration of any Operational Executive Committee member's interests which may conflict with those of the CCG and taking account of any waiver which the SofS may have made in any case, and after consultation with the Chief Officer, determining the extent to which that member may participate in the consideration of a matter in which he/she has an interest. 3. Provide assurance on quality and clinical governance for the relevant functions having regard to any guidance by the Secretary of State, and including preparation of proposals to develop and monitor clinical standards in the CCG and its constituent practices. 4. Ratify or otherwise instances of failure to comply with Standing Orders brought to the Accountable Officer's attention in accordance with SO 5.6. Such failures to be reported to the Cluster Board in formal session.
	OPERATIONAL EXECUTIVE COMMITTEE	<p>Strategy, Plans and Budgets – for the Operational Executive functions:</p> <ol style="list-style-type: none"> 5. Advise the Board on the strategic aims and objectives of the CCG. 6. Review annually draft plans in respect of the application of available financial resources to support the Operating Plan and to further relevant and agreed elements of the Operating Plan for approval by the Cluster Board. 7. Prepare and review annually the draft CCG's annual commissioning strategy or plan for approval by the Board. 8. Prepare proposals (having regard to any guidance by the Secretary of State) for CCG or practice incentive Monitor and review schemes. 9. Develop the CCG's policies and procedures for the management of risk.

REF		DECISIONS DELEGATED BY THE BOARD TO, AND RESERVED BY, THE OPERATIONAL EXECUTIVE COMMITTEE
	OPERATIONAL EXECUTIVE COMMITTEE	<p>Direct Operational Decisions for the Operational Executive functions:</p> <p>10. Approve the introduction or discontinuance of any significant activity or operation. An activity or operation shall be regarded as non-significant if it has a gross annual income or expenditure (that is before any set off) less than £500,000.</p> <p>11. Approve individual tendered contracts (other than NHS contracts) or new services of a revenue nature amounting to, or likely to amount to over £500,000 per annum (£750,000 in total if exceeds a 12 month period) but less than £3,000,000 per annum (or £4,500,000 if contract extends over 12 months).</p> <p>15. Consider and make recommendations to the Board on action on litigation against or on behalf of the CCG.</p>
	OPERATIONAL EXECUTIVE COMMITTEE	<p>Financial and Performance Reporting Arrangements for the CCG Executive functions:</p> <p>16. Continuous appraisal of the affairs of the CCG by means of the provision to the Board as they may require from directors, committees, and officers of the CCG as set out in management policy statements. All monitoring returns required by the Department of Health shall be reported, at least in summary, to the Operational Executive Committee.</p> <p>17. Receive and approve a schedule of NHS contracts signed in accordance with arrangements agreed with the Accountable Officer.</p> <p>18. Together with the CCG Board, the Operational Executive Committee will jointly prepare, consider and endorse the CCG's draft Annual Report (including the annual accounts) for approval by the Board.</p> <p>19. Oversee and make recommendations to the Board on any Project Initiation Documents and associated business cases that require board approval in accordance with scheme of delegation</p>
	FINANCE AND PERFORMANCE COMMITTEE	<p>The Finance and Performance Committee will provide an assurance and scrutiny role on behalf of the CCG Board of all aspects of the CCGs financial performance and strategy, commissioning and contracting activities including QIPP delivery, and performance with the exception of quality indicator. It will:-</p> <ul style="list-style-type: none"> • Monitor and scrutinise all aspects of the CCGs financial performance, to receive and comment on monthly financial forecasts, monthly analysis of financial risk and agree and make recommendations to the Board on financial plans for the next financial year(s)

REF		DECISIONS DELEGATED BY THE BOARD TO, AND RESERVED BY, THE OPERATIONAL EXECUTIVE COMMITTEE
		<ul style="list-style-type: none"> • Ensure the CCG and its committees operate within budget within the strategic framework set by the Board and operate within the schemes of delegation • Oversee the annual planning cycle and to make recommendations to the Board each contracting year on the CCGs commissioning Intentions • Monitor and scrutinise the implementation and delivery of the CCGs Operational Business Plan and Integrated Plan including the delivery of organisational productivity and efficiency initiatives (QIPP) • Monitor and scrutinise the commissioning activities of the CCG • Monitor the contract management and monitoring of all commissioned services • Monitor and scrutinise the overall performance of the CCG in the achievement of local and national Key Performance Indicators (including Operating Framework) and to agree plans to mitigate underperformance, reporting these to the CCG Board and NCB where required through exception reporting • Undertake the above activities within the context of the overall delivery of the CCGs Integrated Plan and strategy • Ensure the appropriate mechanisms are in place to assure the Board that systems, policies and resources are in place and operating in a way that is effectively focussed on key risks and priorities to drive the delivery of the CCG objectives • Monitor performance of practices delivery of responsibilities relating to financial and performance in accordance with of terms of Memorandum of Agreement • Act as the custodians of engagement and involvement of member practices in accordance with the CCG Constitution • At all times champion the values of the CCG to develop and promote an organisational wide culture which enables the CCG, clinicians, managers and staff to work in partnership and individually • Ensure compliance with the Principles and Rules for Co-operation and Competition, and drawing on specialist advice if necessary. • Receive and note various sub committees namely:- <ul style="list-style-type: none"> i. Provider Performance & Contracting Groups
	QUALITY COMMITTEE	<ol style="list-style-type: none"> 1. To provide the Board with an expert and objective review of all aspects of quality and safety relating to the provision of care and services, with the aim of getting the best clinical outcomes and experience for patients. 2. It will assure the Board that the organisation is aligned to the statutory quality and safety requirements of existing legislation. This includes providing assurance to the Board and the Audit Committee that the

REF		DECISIONS DELEGATED BY THE BOARD TO, AND RESERVED BY, THE OPERATIONAL EXECUTIVE COMMITTEE
		<p>structures, systems and processes are in place and functioning to monitor the quality of care and services.</p> <ol style="list-style-type: none"> 3. To bring to the attention of the Board any issues that may jeopardise the CCG's ability to commission the delivery of excellent quality care and services. 4. To encourage innovation. 5. Authorised by the Board to investigate any activity within its terms of reference. It is authorised to seek any information it requires from any member of staff and all members of staff would be directed to co-operate with any request made by the Committee
	TRANSFORMATION AND DELIVERY COMMITTEE	<ol style="list-style-type: none"> 1. To provide the board with assurance in relation to any assigned or delegated actions and processes relating to the CCG's clinical development initiatives. 2. To provide effective leadership that oversees all aspects of clinical transformation and delivery on behalf of the CCG to ensure that the CCG achieves its key clinical developments and provides high quality services, promoting patient choice. 3. To manage the delivery of the commissioning plan on behalf of the board. 4. To have direct responsibility for ensuring wide engagement of public, patients, clinicians and partners within each of the elements of the commissioning cycle for which they are responsible. 5. To ensure patients and the local community, as well as local government and other partners, are properly involved in the process of deciding priorities.
	TRANSFORMATION AND DELIVERY COMMITTEE	<p>Direct Operational Decisions for the Transformation and Delivery Committee functions:</p> <ol style="list-style-type: none"> 1. Approve the introduction or discontinuance of any significant activity or operation. An activity or operation shall be regarded as non-significant if it has a gross annual income or expenditure (that is before any set off) less than £500,000. 2. Approve individual tendered contracts (other than NHS contracts) or new services of a revenue nature amounting to, or likely to amount to over £500,000 per annum (£750,000 in total if exceeds a 12 month period) but less than £3,000,000 per annum (or £4,500,000 if contract extends over 12 months).

DECISIONS/DUTIES DELEGATED BY THE CLUSTER BOARD TO COMMITTEES

SCHEME OF DELEGATION DERIVED FROM THE ACCOUNTABLE OFFICER MEMORANDUM

REF	DELEGATED TO	DUTIES DELEGATED
10	ACCOUNTABLE OFFICER (AO)	Accountable through the NHS Accountable Officer Memorandum to Parliament for stewardship of CCG resources.
12	AO AND CHIEF FINANCIAL OFFICER (CFO)	Ensure the accounts of the CCG are prepared under principles and in a format directed by the Secretary of State. Accounts must disclose a true and fair view of the CCG's income and expenditure and its state of affairs. Sign the accounts on behalf of the CCG Board.
13	AO	Sign a statement in the accounts outlining responsibilities as the Accountable Officer. Sign a statement in the accounts outlining responsibilities in respect of Internal Control.
15 & 16	AO	Ensure effective management systems that safeguard public funds and assist the CCG Board Chairman to implement requirements of corporate governance including ensuring managers: <ul style="list-style-type: none"> • have a clear view of their objectives and the means to assess achievements in relation to those objectives; • be assigned well defined responsibilities for making best use of resources; • have the information, training and access to the expert advice they need to exercise their responsibilities effectively.
15	CCG BOARD CHAIRMAN	Implement requirements of corporate governance
18	AO	Achieve value for money from the resources available to the CCG and avoid waste and extravagance in the CCG's activities. Follow through the implementation of any recommendations affecting good practice as set out in reports from such bodies as the Audit Commission and the National Audit Office (NAO). Use to best effect the funds available for commissioning healthcare, developing services and promoting

REF	DELEGATED TO	DUTIES DELEGATED
		health to meet the needs of the local population.
20	CFO	Operational responsibility for effective and sound financial management and information.
20	AO	Primary duty to see that the Chief Financial Officer discharges this function.
21	AO	Ensuring that expenditure by the CCG complies with Parliamentary requirements
22	AO	The Codes of Conduct and Accountability incorporated in the Corporate Governance Framework issued to NHS Boards by the Secretary of State are fundamental in exercising Chief Officer responsibilities for regularity and probity. As a Board member the Accountable Officer has explicitly subscribed to the Codes; the Accountable Officer should promote their observance by all staff.
23	AO and CFO	The Accountable Officer, supported by the Chief Financial Officer, to ensure appropriate advice is given to the CCG Board, the CCG Executive Team on all matters of probity, regularity, prudent and economical administration, efficiency and effectiveness.
24	AO	If the Accountable Officer considers that the CCG Board, the CCG Board Chairman, the CCG Executive Team or the CCG Board is doing something that might infringe probity or regularity; he/she should set this out in writing to the Chair of Audit Committee, and if necessary NHS England and Department of Health.
25	AO	If the CCG Executive Team or the CCG Board is contemplating a course of action that raises an issue not of formal propriety or regularity but affects the Accountable Officer's responsibility for value for money, the Accountable Officer should draw the relevant factors to the attention of the CCG Board, the CCG Executive Team. If the outcome is that the Accountable Officer is overruled it is normally sufficient for the Accountable Officer to ensure that his/her advice and the overruling of it are clearly apparent from the papers. Exceptionally, the Accountable Officer should inform the NHS England and the DH. In such cases, and in those described in paragraph 24, the Accountable Officer should, as a member of the CCG Board, vote against the course of action rather than merely abstain from voting.

SCHEME OF DELEGATION DERIVED FROM THE CODES OF CONDUCT AND ACCOUNTABILITY

REF	DELEGATED TO	AUTHORITIES/DUTIES DELEGATED
1.3.1.7	CCG BOARD	Approve procedure for declaration of hospitality and sponsorship. CCG Executive Team responsible for process in relevant functions
1.3.1.8	CCG BOARD	Ensure proper and widely publicised procedures for voicing complaints, concerns about maladministration, breaches of Code of Conduct, and other ethical concerns. CCG Executive Team responsible for process in relevant functions
1.31.9 & 1.3.2.2	ALL CCG BOARD MEMBERS, CCG EXECUTIVE COMMITTEE MEMBERS, CLINICAL COMMISSIONING BOARD MEMBERS, ALL SUB-COMMITTEE MEMBERS AND MEMBERS OF STAFF	Subscribe to Code of Conduct for NHS Managers. Any breaches of the NHS Managers Code of Conduct will be investigated under the CCG Disciplinary Policy and Procedures by the CCG Executive Team or the CCG Board as appropriate
1.3.2.4	CCG BOARD	CCG Board members share corporate responsibility for all decisions of the CCG Board.
1.3.2.4	CCG BOARD CHAIRMAN AND NON-OFFICER MEMBERS	CCG Board Chairman and non-officer members are responsible for monitoring the executive management of the CCG and are responsible to the SofS for the discharge of those responsibilities.
1.3.2.4	CCG BOARD	<p>The CCG Board has six key functions for which it is held accountable by the Department of Health on behalf of the Secretary of State:</p> <ol style="list-style-type: none"> 1. to ensure effective financial stewardship through value for money, financial control and financial planning and strategy; 2. to ensure that high standards of corporate governance and personal behaviour are maintained in the conduct of the business of the CCG; 3. to appoint, appraise and remunerate senior executives; 4. on the recommendation of the CCG Executive Committee, to ratify the strategic direction of the

REF	DELEGATED TO	AUTHORITIES/DUTIES DELEGATED
		<p>organisation within the overall policies and priorities of the Government and the NHS, define its annual and longer term objectives and agree plans to achieve them;</p> <ol style="list-style-type: none"> 5. to oversee the delivery of planned results by monitoring performance against objectives and ensuring corrective action is taken when necessary; 6. to ensure that the CCG Executive and the CCG Board lead effective dialogues with communities on their plans and performance and that these are responsive to the communities' needs.
1.3.24	CCG BOARD	<p>It is the CCG Board's duty to:</p> <ol style="list-style-type: none"> 1. act within statutory financial and other constraints; 2. establish the CCG Executive Committee and CCG Board 3. be clear what decisions and information are appropriate to the CCG Board and draw up Standing Orders, a Schedule of Decisions Reserved to the CCG Board or CCG Executive Committee and CCG Board and Standing Financial Instructions to reflect these; 4. ensure that management arrangements are in place to enable responsibility to be clearly delegated to senior executives for the main programmes of action and for performance against programmes to be monitored and senior executives held to account; 5. establish performance and quality measures that maintain the effective use of resources and provide value for money; 6. specify its requirements in organising and presenting financial and other information succinctly and efficiently to ensure the CCG Board can fully undertake its responsibilities; 7. establish an Audit Committee and a Remuneration and Terms of Service Committee on the basis of formally agreed terms of reference which set out the membership of the sub-committees, the limit to their powers, and the arrangements for reporting back to the CCG Board.
1.3.2.5	CCG BOARD CHAIRMAN	<p>It is the CCG Board Chairman's role to:</p> <ol style="list-style-type: none"> 1. provide leadership to the CCG Board; 2. enable all CCG Board members to make a full contribution to the CCG Board's affairs and ensure that the CCG Board acts as a team; 3. ensure that key and appropriate issues are discussed by the CCG Board in a timely manner; 4. ensure the CCG Board has adequate support and is provided efficiently with all the necessary data on which to base informed decisions; 5. lead Lay CCG Board members through a formally appointed Remuneration and Terms of Service Committee of the CCG Board on the appointment, appraisal and remuneration of the Accountable Officer and (with the latter) other executive CCG Board members; 6. appoint Lay CCG Board members to an Audit Committee of the CCG Board;.

REF	DELEGATED TO	AUTHORITIES/DUTIES DELEGATED
1.3.2.5	AO	<p>The Accountable Officer is accountable to the CCG Board Chairman and Lay CCG Board members of the CCG Board for ensuring that its decisions are implemented, that the CCG works effectively, in accordance with Government policy and public service values and for the maintenance of proper financial stewardship.</p> <p>The Accountable Officer should be allowed full scope, within clearly defined delegated powers, for action in fulfilling the decisions of the CCG Board.</p> <p>The other duties of the Accountable Officer are laid out in the Accountable Officer Memorandum.</p>
1.3.2.6	LAY CCG BOARD MEMBERS	Lay CCG Board members are appointed to bring independent judgement to bear on issues of strategy, performance, key appointments and accountability to the local communities.
1.3.2.8	CCG BOARD CHAIRMAN AND MEMBERS	Declaration of conflict of interests.
1.3.2.9	CCG BOARD	NHS Boards must comply with legislation and guidance issued by the Department of Health on behalf of the Secretary of State, respect agreements entered into by themselves or on their behalf and establish terms and conditions of service that are fair to the staff and represent good value for taxpayers' money.

SCHEME OF DELEGATION FROM STANDING ORDERS

SO REF	DELEGATED TO	AUTHORITIES/DUTIES DELEGATED
1.1	CCG BOARD CHAIRMAN	Final authority in interpretation of Standing Orders
2.4	CCG BOARD	Appointment of CCG Board Vice-Chairman.
3.2	CCG BOARD CHAIRMAN	Calling meetings.
3.8	CCG BOARD CHAIRMAN	Chair all CCG Board meetings and associated responsibilities.
3.11	CCG BOARD CHAIRMAN	Give final ruling in questions of order, relevancy and regularity of meetings.
3.13	CCG BOARD CHAIRMAN	Having a second or casting vote.
3.14	CCG BOARD	Suspension of Standing Orders
3.14	AUDIT COMMITTEE	Audit Committee to review every decision to suspend Standing Orders
3.15	CCG BOARD	Variation or amendment of Standing Orders
4.7	CCG BOARD	The CCG Board shall approve the appointments to each of the committees which it has formally constituted subject to the national accreditation
5.2	CCG BOARD CHAIRMAN & AO	The powers which the CCG Board has retained to itself within these Standing Orders may in emergency be exercised by the CCG Board Chairman and Accountable Officer after having consulted at least two lay members
5.3	CCG BOARD	Formal delegation of powers to the CCG Executive Committee and other committees, sub-committees or joint committees and approval of their constitution and terms of reference. (The Accountable Officer may approve Constitution and terms of reference of sub-committees.)
5.4	AO	The Accountable Officer shall prepare a Scheme of Delegation identifying his/her proposals, which shall be considered and <u>approved by the CCG Board</u> , subject to any amendment agreed during the discussion.

SO REF	DELEGATED TO	AUTHORITIES/DUTIES DELEGATED
5.6	ALL	Disclosure of non-compliance with Standing Orders to the Accountable Officer as soon as possible.
7.1	ALL CCG BOARD, AND CCG EXECUTIVE COMMITTEE	Declare relevant and material interests.
7.2	CFO	Maintain Registers of Interests.
7.1	CHAIRMAN OF A MEETING	Making a declaration on a declared interest.
7.4	ALL STAFF	Comply with national guidance contained in HSG 1993/5 "Standards of Business Conduct for NHS Staff".
7.4	ALL	Disclosure of relationship between self and candidate for staff appointment. (CCG to report the disclosure to the CCG Board/CCG Executive Committee).
8.1/8.3	AO	Keep seal in a safe place and maintain register of sealing.
8.5	AO/ EXECUTIVE DIRECTOR	Approve and sign all documents which will be necessary in legal proceedings.

* Nominated officers and the areas for which they are responsible should be incorporated into the CCG's Scheme of Delegation document.

SCHEME OF DELEGATION FROM MODEL STANDING FINANCIAL INSTRUCTIONS

SFI REF	DELEGATED TO	AUTHORITIES/DUTIES DELEGATED
10.1.3	CFO	Approval of all financial procedures.
10.1.4	CFO	Advice on interpretation or application of SFIs.
10.1.6	ALL MEMBERS OF THE CCG BOARD, THE CCG EXECUTIVE COMMITTEE AND EMPLOYEES	Have a duty to disclose any non-compliance with these Standing Financial Instructions to the Chief Financial Officer as soon as possible.
10.2.4	AO	Responsible as the Accountable Officer to ensure financial targets and obligations are met and have overall responsibility for the System of Internal Control.
10.2.4	AO & CFO	Accountable for financial control but will, as far as possible, delegate their detailed responsibilities
10.2.5	AO	To ensure all CCG Board members, officers and employees, present and future, are notified of and understand Standing Financial Instructions.
10.2.6	CFO	Responsible for: a) Implementing the CCG's financial policies and co-coordinating corrective action; b) Maintaining effective systems of financial control including ensuring detailed financial procedures and systems are prepared and documented; c) Ensuring that sufficient records are maintained to explain CCG transactions and financial positions; d) Providing financial advice to members of the CCG Board and staff; e) Maintaining such accounts, certificates etc. as are required for the CCG to carry out their statutory duties.
10.2.7	ALL MEMBERS OF THE CCG BOARD AND EMPLOYEES	Responsible for security of CCG property, avoiding loss, exercising economy and efficiency in using resources and conforming to Standing Orders, Standing Financial Instructions and financial procedures.
10.2.8	AO	Ensure that any contractor or employees of a contractor who is empowered by the CCG to commit the CCG to expenditure or who is authorised to obtain income are made aware of these instructions and their requirement to comply.
11.1.1	AUDIT COMMITTEE	Provide independent and objective view on internal control and probity.
11.1.2	CHAIRMAN OF AUDIT	Raise the matter at the CCG Board meeting where the Audit Committee considers there is evidence of

SFI REF	DELEGATED TO	AUTHORITIES/DUTIES DELEGATED
	COMMITTEE	ultra vires transactions or improper acts.
11.1.3 & 11.2.1	CFO	Ensure an adequate internal audit service, for which he/she is accountable, is provided (and involve the Audit Committee in the selection process when/if an internal audit service provider is changed.)
11.2.1	CFO	Decide at what stage to involve police in cases of misappropriation and other irregularities not involving fraud or corruption.
11.3	HEAD OF INTERNAL AUDIT	Review, appraise and report in accordance with the NHS Internal Audit Manual and best practice.
11.4	AUDIT COMMITTEE	Ensure cost-effective External Audit & Internal Audit
11.5	AO & CFO	Monitor and ensure compliance with SofS Directions on fraud and corruption including the appointment of the Local Counter Fraud Specialist.
11.6	AO	Monitor and ensure compliance with Directions issued by the Secretary of State for Health on NHS security management including appointment of the Local Security Management Specialist for the CCG
12.1.1	AO	Has overall responsibility for the activities of the CCG
12.1.4	CFO	Will provide reports to the SofS as required, ensure draw down is for approved expenditure and timely and follows best practice in Cash Management.
12.1.4	CFO	Ensure monitoring systems are in place to enable the CCG not to exceed their limits.
13.1.1	CFO	Periodically review assumptions, submit a report to the CCG annually showing total allocations received and their proposed distribution.
13.1.1	CFO	Regularly update the CCG on significant changes to the initial allocations and the uses of such funds
13.2.1	AO	Compile and submit to the CCG Board the Operating Plan which takes into account financial targets and forecast limits of available resources. The plan will contain: <ul style="list-style-type: none"> • a statement of the significant assumptions on which the plan is based; • details of major changes in workload, delivery of services or resources required to achieve the plan
13.2.2 & 13.2.3	CFO	Submit budgets to the CCG Board for approval. Monitor performance against budgets; submit to the CCG Board financial estimates and forecasts.
13.2.5	CFO	Ensure adequate training is delivered on an ongoing basis to budget holders.

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13.3.1	AO	Delegate budget to budget holders.
13.3.2	AO & BUDGET HOLDERS	Must not exceed the budgetary total or virement limits set by the CCG Board.
13.4.1	CFO	Devise and maintain systems of budgetary control.
13.4.2	BUDGET HOLDERS	Ensure that: a) no overspend or reduction of income that cannot be met from virement is incurred without prior consent of the CCG Board; b) approved budget is not used for anything other than the specified purpose subject to rules of virement; c) no permanent employees are appointed without the approval of the AO other than those provided for within available resources and manpower establishment.
13.4.3	AO	Identify and implement cost improvements and income generation activities in line with the plans
13.6.1	AO	Submit monitoring returns.
14.1	CFO	Preparation of annual accounts and reports.
15.1	CFO	Managing banking arrangements, including provision of banking services, operation of accounts, preparation of instructions and list of cheque signatories. (CCG Board approves arrangements.)
16.	CFO	Income systems, including system design, prompt banking, review and approval of fees and charges, debt recovery arrangements, design and control of receipts, provision of adequate facilities and systems for employees whose duties include collecting or holding cash.
16.2.3	ALL EMPLOYEES	Duty to inform CFO of money due from transactions which they initiate/deal with.
17.	AO	Tendering and contracting procedure.
17.5.3	AO	Waive formal tendering procedures.
17.5.3	AO	Report waivers of tendering procedures to the Audit Committee.
17.5.5	CFO	Where a supplier is chosen that is not on the approved list the reason shall be recorded in writing to the AO, the CCG Executive or the CCG Board
17.6.2	AO	Responsible for the receipt, endorsement and safe custody of tenders received.

SFI REF	DELEGATED TO	AUTHORITIES/DUTIES DELEGATED
17.6.3	AO	Shall maintain registers to show each set of competitive tender invitations despatched.
17.6.4	AO AND CFO	Where one tender is received will assess for value for money and fair price.
17.6.6	AO	No tender shall be accepted which will commit expenditure in excess of that which has been allocated by the CCG and which is not in accordance with these Instructions except with the authorisation of the Accountable Officer.
17.6.8	AO	Will appoint a manager to maintain a list of approved firms.
17.6.8	AO	Shall ensure that appropriate checks are carried out as to the technical and financial capability of those firms that are invited to tender or quote.
17.7.2	AO	The Accountable Officer or his/her nominated officer should evaluate the quotation and select the quote which gives the best value for money.
17.7.4	AO or CFO	No quotation shall be accepted which will commit expenditure in excess of that which has been allocated by the CCG and which is not in accordance with these Instructions except with the authorisation of the Accountable Officer.
17.10	AO	The Accountable Officer shall demonstrate that the use of private finance represents value for money and genuinely transfers risk to the private sector.
17.10	CCG Board	All PFI/LIFT proposals must be agreed by the CCG Board.
17.11	AO	The Accountable Officer shall nominate an officer who shall oversee and manage each contract on behalf of the CCG.
17.12	AO	The Chief Officer shall nominate officers with delegated authority to enter into contracts of employment, regarding staff, agency staff or temporary staff service contracts.
17.15	AO	The Accountable Officer shall be responsible for ensuring that best value for money can be demonstrated for all services provided on an in-house basis.
17.15.5	AO	The Accountable Officer shall nominate an officer to oversee and manage each contract on behalf of the CCG
18.1.1	AO	Must ensure the CCG enters into suitable contracts with service providers for the provision of NHS services
18.3	AO	As the Accountable Officer, ensure that regular reports are provided to the CCG Board detailing actual

SFI REF	DELEGATED TO	AUTHORITIES/DUTIES DELEGATED
		and forecast expenditure against the contract.
19.2.1	AO	As the Accountable Officer, ensure secondary services are commissioned in line with the Operating Plan and reach the required standards.
19.2.3	AO	As the Accountable Officer, ensure regular reports are provided to the CCG Board detailing actual and forecast expenditure for each contract.
19.2.4	AO	As the Accountable Officer, ensure that all agreements for provision of services with non-NHS providers achieve quality and are cost effective.
19.3.1	CFO	Will maintain a system of control to ensure effective accounting of expenditure against contracts.
19.3.2	CFO	Must account for Non contracted activity in accordance with national guidelines.
20.1.1	CCG BOARD	Establish a Remuneration & Terms of Service Committee.
20.1.2	REMUNERATION AND TERMS OF SERVICE COMMITTEE	<p>Advise and make recommendations to the CCG Board on the remuneration and terms of service of the AO, other officer members and senior employees to ensure they are fairly rewarded having proper regard to the CCG's circumstances and any national agreements.</p> <p>Monitor and evaluate the performance of individual senior employees.</p> <p>Advise on and oversee appropriate contractual arrangements for such staff, including proper calculation and scrutiny of termination payments. This section also applies to CCG Board members, other committee members and officers subject to the national accreditation process</p>
20.1.3	REMUNERATION AND TERMS OF SERVICE COMMITTEE	Report in writing to the CCG Board its advice and its bases about remuneration and terms of service of directors and senior employees.
20.1.4	CCG BOARD	Approve proposals presented by the AO for setting of remuneration and conditions of service for those employees and officers not covered by the Remuneration and Terms of Service Committee.
20.2.2	AO	Approval of variation to funded establishment of any department.
20.4.1 and 20.4.2	CFO	<p>Payroll:</p> <ul style="list-style-type: none"> a) specifying timetables for submission of properly authorised payroll notifications; b) final determination of pay and allowances; c) making payments on agreed dates;

SFI REF	DELEGATED TO	AUTHORITIES/DUTIES DELEGATED
		<ul style="list-style-type: none"> d) agreeing method of payment; e) issuing instructions (as listed in SFI 10.4.2).
20.4.3	NOMINATED MANAGERS, AS PER SCHEDULE OF AUTHORISED SIGNATORIES	Submit payroll notifications in the required form Submitting termination forms in prescribed form and on time.
20.4.4	CFO	Ensure that the chosen method for payroll processing is supported by appropriate (contracted) terms and conditions, adequate internal controls and audit review procedures and that suitable arrangements are made for the collection of payroll deductions and payment of these to appropriate bodies.
20.5	NOMINATED MANAGER*	Ensure that all employees are issued with a Contract of Employment in a form approved by the CCG Board and which complies with employment legislation; Deal with variations to, or termination of, contracts of employment.
21.1	CCG BOARD	The CCG Board will approve the level of non-pay expenditure on an annual basis.
21.1	AO	Determine, and set out, levels of delegation of non-pay expenditure to budget managers, including a list of managers authorised to place requisitions, the maximum level of each requisition and the system for authorisation above that level.
21.1.3	AO	Set out procedures on the seeking of professional advice regarding the supply of goods and services.
21.2.1	NOMINATED MANAGER	In choosing the item to be supplied (or the service to be performed) shall always obtain the best value for money for the CCG. In so doing, the advice of the CCG's adviser on supply shall be sought.
21.2.2	CFO	Shall be responsible for the prompt payment of accounts and claims.
21.2.3	CFO	<ul style="list-style-type: none"> a) Advise the CCG Board regarding the setting of thresholds above which quotations (competitive or otherwise) or formal tenders must be obtained; and, once approved, the thresholds should be incorporated in standing orders and regularly reviewed; b) Prepare procedural instructions (where not already provided in the Scheme of Delegation or procedure notes for budget holders) on the obtaining of goods, works and services incorporating the thresholds; c) Be responsible for the prompt payment of all properly authorised accounts and claims; d) Be responsible for designing and maintaining a system of verification, recording and payment of all amounts payable; e) A timetable and system for submission to the CFO of accounts for payment; provision shall be made for the early submission of accounts subject to cash discounts or otherwise requiring early payment;

SFI REF	DELEGATED TO	AUTHORITIES/DUTIES DELEGATED
		f) Instructions to employees regarding the handling and payment of accounts within the Finance Department; g) Be responsible for ensuring that payment for goods and services is only made once the goods and services are received.
21.2.4	APPROPRIATE EXECUTIVE DIRECTOR	Make a written case to support the need for a prepayment.
21.2.4	CFO	Approve proposed prepayment arrangements.
21.2.4	BUDGET HOLDER	Ensure that all items due under a prepayment contract are received (and immediately inform CFO if problems are encountered).
21.2.5	AO	Authorise who may use and be issued with official orders.
21.2.6	MANAGERS AND OFFICERS	Ensure that they comply fully with the guidance and limits specified by the CFO
21.2.7	AO & CFO	Ensure that the arrangements for financial control and financial audit of building and engineering contracts and property transactions comply with the guidance contained within CONCODE and ESTATECODE. The technical audit of these contracts shall be the responsibility of the relevant Director.
21.3	CFO	Lay down procedures for payments to local authorities and voluntary organisations made under the powers of section 256 of the NHS Act 2006.
22	CFO	Ensure that CCG Board members are aware of the Financial Framework and ensure compliance
23.1.1 & 2	AO	Capital investment programme: a) ensure that there is an adequate appraisal and approval process for determining capital expenditure priorities and the effect that each has on plans; b) responsible for the management of capital schemes and for ensuring that they are delivered on time and within cost; c) ensure that capital investment is not undertaken without availability of resources to finance all revenue consequences; d) ensure that a business case is produced for each proposal.
23.1.2	CFO	Certify professionally the costs and revenue consequences detailed in the business case for capital investment.
23.1.3	AO	Issue procedures for management of contracts involving stage payments.
23.1.4	CFO	Assess the requirement for the operation of the construction industry taxation deduction scheme.

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23.1.5	CFO	Issue procedures for the regular reporting of expenditure and commitment against authorised capital expenditure.
23.1.6	AO	Issue manager responsible for any capital scheme with authority to commit expenditure, authority to proceed to tender and approval to accept a successful tender. Issue a scheme of delegation for capital investment management.
23.1.7	CFO	Issue procedures governing financial management, including variation to contract, of capital investment projects and valuation for accounting purposes.
23.2.1	CFO	Demonstrate that the use of private finance represents value for money and genuinely transfers significant risk to the private sector.
23.2.1	CCG BOARD	Proposal to use PFI/LIFT must be specifically agreed by the CCG Board.
23.3.1	AO	Maintenance of asset registers (on advice from CFO).
23.3.5	CFO	Approve procedures for reconciling balances on fixed assets accounts in ledgers against balances on fixed asset registers.
23.3.8	CFO	Calculate and pay capital charges in accordance with Department of Health requirements.
23.4.1	AO	Overall responsibility for fixed assets.
23.4.2	CFO	Approval of fixed asset control procedures.
23.4.4	CCG BOARD, EXECUTIVE MEMBERS AND ALL SENIOR STAFF	Responsibility for security of CCG assets including notifying discrepancies to CFO, and reporting losses in accordance with CCG procedures.
24.2	AO	Delegate overall responsibility for control of stores (subject to CFO responsibility for systems of control). Further delegation for day-to-day responsibility subject to such delegation being recorded. (Good practice to append to the scheme of delegation document.)
24.2	CFO	Responsible for systems of control over stores and receipt of goods.
24.2	NOMINATED OFFICERS*	Security arrangements and custody of keys.
24.2	CFO	Set out procedures and systems to regulate the stores.
24.2	CFO	Agree stocktaking arrangements.
24.2	CFO	Approve alternative arrangements where a complete system of stores control is not justified.

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24.2	CFO	Approve system for review of slow moving and obsolete items and for condemnation, disposal and replacement of all unserviceable items.
24.2	NOMINATED MANAGER*	Operate system for slow moving and obsolete stock, and report to CFO evidence of significant overstocking.
24.3.1	AO	Identify persons authorised to requisition and accept goods from NHS Logistics
25.1.1	CFO	Prepare detailed procedures for disposal of assets including condemnations and ensure that these are notified to managers.
25.2.1	CFO	Prepare procedures for recording and accounting for losses, special payments and informing police in cases of suspected arson or theft.
25.2.2	ALL STAFF	Discovery or suspicion of loss of any kind must be reported immediately to either head of department or nominated officer. The head of department / nominated officer should then inform the AO and CFO.
25.2.2	CFO	Where a criminal offence is suspected CFO must inform the police if theft or arson is involved. In cases of fraud and corruption CFO must inform the relevant LCFS and CFSMS Regional Team in line with SofS directions.
25.2.2	CFO	Notify LCFS,CFSMS and External Audit of all frauds.
25.2.3	CFO	Notify CCG Board and External Auditors of losses caused by theft, arson, neglect of duty or gross carelessness (unless trivial).
25.2.4	CCG BOARD	Approve write off of losses (within limits delegated by DH).
25.2.6	CFO	Consider whether any insurance claim can be made.
25.2.7	CFO	Maintain losses and special payments register
26.1	CFO	Responsible for accuracy and security of computerised financial data.
26.1	CFO	Satisfy him/herself that new financial systems and amendments to current financial systems are developed in a controlled manner and thoroughly tested prior to implementation. Where this is undertaken by another organisation assurance of adequacy must be obtained from them prior to implementation.
26.1.3	NOMINATED OFFICER	Publish and maintain a Freedom of Information Scheme. CCG Executive and CCG Board will be responsible for providing responses to Freedom of Information requests that relate to their functions
26.2.1	BUDGET HOLDERS	Send proposals for general computer systems to CFO.

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26.3	CFO	<p>Ensure that contracts with other bodies for the provision of computer services for financial applications clearly define responsibility of all parties for security, privacy, accuracy, completeness and timeliness of data during processing, transmission and storage, and allow for audit review.</p> <p>Seek periodic assurances from the provider that adequate controls are in operation.</p>
26.4	CFO	<p>Ensure that risks to the CCG from use of IT are identified and considered and that business continuity plans are in place.</p>
26.5	CFO	<p>Where computer systems have an impact on corporate financial systems satisfy him/herself that:</p> <ul style="list-style-type: none"> a) systems acquisition, development and maintenance are in line with corporate policies; b) data assembled for processing by financial systems is adequate, accurate, complete and timely, and that a management rail exists; c) CFO and staff have access to such data; d) Such computer audit reviews are being carried out as are considered necessary.
27	CFO	<p>Ensure all staff are made aware of the CCG's policies on the acceptance of gifts and other benefits in kind by staff.</p>
28	AO	<p>Ensure lists of all contractors are maintained up to date and systems are in place to deal with applications, resignations, inspection of premises etc. within contractors' terms of service.</p>
28	CFO	<p>Ensure only contractors included on the CCG lists receive payments; maintain a system of control to ensure prompt and accurate payments and validation of same.</p>
29	AO	<p>Retention of document procedures in accordance with Department of Health guidance.</p>
30	AO	<p>Risk management programme.</p>
30	CCG BOARD	<p>Approve and monitor risk management programmes</p>
30	CCG BOARD	<p>Decide whether the CCG will use the risk pooling schemes administered by the NHS Litigation Authority or self-insure for some or all of the risks (where discretion is allowed). Decisions to self-insure should be reviewed annually.</p>
30	CFO	<p>Where the CCG Board decides to use the risk pooling schemes administered by the NHS Litigation Authority the CFO shall ensure that the arrangements entered into are appropriate and complementary to the risk management programme. The CFO shall ensure that documented procedures cover these arrangements</p> <p>Where the CCG Board decides not to use the risk pooling schemes administered by the NHS Litigation</p>

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		Authority for any one or other of the risks covered by the schemes, the CFO shall ensure that the CCG Board is informed of the nature and extent of the risks that are self insured as a result of this decision. The CFO will draw up formal documented procedures for the management of any claims arising from third parties and payments in respect of losses that will not be reimbursed.
31	CFO	Ensure documented procedures cover management of claims and payments below the deductible.

*Nominated officers and the areas for which they are responsible should be incorporated into the CCG's Detailed Scheme of Delegation

