

<b>NHS North Cumbria CCG Full Council of Members</b>	<b>Agenda Item</b>
<b>8 February 2017</b>	<b>7</b>

**NHS North Cumbria CCG Authorisation to Committees**

<b>Purpose of the Report</b>							
The purpose of this report is to update Members on the changes to the CCG’s Scheme of Delegation which will ensure that NHS North Cumbria Clinical Commissioning Group has appropriate arrangements in place to exercise its functions effectively, efficiently and economically and in accordance with clearly established principles of good governance.							
<b>Outcome Required:</b>	Approve		Ratify		For Discussion		For Information
							<b>X</b>
<b>Assurance Framework Reference:</b>							
<b>4, Leadership</b> - The CCG needs to develop and implement robust governance and management arrangements to operate in a safe and sound manner.							

<b>Recommendation(s):</b>
The Full Council of Members is asked to note the changes to the CCG’s Scheme of Delegation.

<b>Executive Summary:</b>
<b>Key Issues:</b>
Members will recall that in April 2016 the Full Council of Members approved that, with the exception of items 1.1 to 1.5 (see Appendix 1 attached for details) of the CCGs Scheme of Delegation, all functions would be delegated to the Governing Body. When the Scheme of Delegation was reviewed in light of the Boundary Change the Governing Body reserved to itself the authority for approval, i.e. there was no delegated authority to any of its committees, with the exception of the approval of NHS England delegated functions on primary care matters which are delegated to the Primary Care Committee. At its meeting on 3 August 2017 the Governing Body requested that a review of the CCG’s Scheme of Delegation be undertaken to ensure that the most effective and speedy decision making processes were in put in place.

This review was completed and presented to the Governing Body in December 2017 and whilst it retains overall responsibility for any decisions taken by a committee, the following items were approved to be delegated to the said committees:

Scheme of Delegation Ref:	Reserved or Delegated Matter	Committee to be delegated to
1.11	Review of suspension of standing orders (Please note this only applies where the Governing Body suspends standing orders and is a requirement within the CCG's Constitution)	Audit Committee
2.3	Develop NHS North Cumbria CCG commissioning plan and standards	Executive Committee
2.6	Prepare and review commissioning budgets and plans prior to approval	Finance & Performance Committee
2.14	Approve clinical based policies (with the exception of Safeguarding Policies – see Ref No: 5.5)	Executive Committee
2.15	Approve corporate policies	Finance & Performance
2.16	To oversee service and pathway redesign where this takes place across the north of the County	Executive Committee
2.17	To provide clinical and organisational scrutiny of all other commissioning decisions based on data, analysis and evidence	Executive Committee
2.18	To lead the development of a north of the County vision and strategy for the commissioning of all hospital based care, community and mental health services	Executive Committee
2.19	To encourage patient choice whilst ensuring that clinical governance and quality standards are met	Executive Committee
2.20	To tackle health inequalities across the north of Cumbria assessing the extent to which inequalities are being reduced and quality and outcomes are improving	Executive Committee
2.21	To ensure alignment and co-ordination across practices to ensure multi professional engagement	Executive Committee
2.22	To drive engagement with patients and communities in the north of the County to improve decision making and the quality of care and patient experience	Executive Committee
2.23	To promote integration of health services that would improve the quality of services or reduce inequalities	Executive Committee
2.24	To promote innovation and research	Executive Committee
3.1	Approval of the CCG's annual report and annual accounts	Audit Committee

3.3	Respond to the annual management letter received from the external auditor on behalf of the CCG	Audit Committee
3.4	Receive an annual report from the Internal Auditor and agree action(s) on recommendation(s)	Audit Committee
4.7	Approve human resources policies for discharging the CCG's statutory duties as an employer	Finance & Performance Committee
5.5	Approve the CCG's arrangements for safeguarding (Children's and Adults) (Including approval of safeguarding policies)	Outcomes & Quality Assurance Committee
7.1	Approval of the CCG's counter fraud and security management arrangements	Audit Committee
8.4	Approve CCG business cases for primary care investment schemes where the amount remains within the budget set for primary care investment schemes by the Governing Body. Where a scheme would cause a variance to that budget, approval must be sought from the Governing Body.	Primary Care Committee
8.5	Approve CCG business cases for investment schemes where the amount remains within the budget set for investment schemes by the Governing Body. Where a scheme would cause a variance to that budget, approval must be sought from the Governing Body.  These schemes must be considered and recommended for approval by the Executive Committee.	Finance & Performance Committee

In addition to the above the following authorisation limits were approved:

Authorisation limits for orders and invoices are based upon the following rules:

- Accountable Officer - £250,000
- Chief Operating Officer - £250,000
- Chief Finance Officer – Unlimited contracts/all other items £250,000
- Senior Finance staff and Senior Finance Manager – Unlimited (see paragraph below)
- CCIO – IT purchases only £10,000
- AfC Band 9 Directors - £100,000
- AfC Band C & D Officers (excluding Finance Staff) - £10,000
- AfC Band 8A and 8B Officers - £5,000
- AfC Band 7 (Excluding Finance Staff) - £1,000
- AfC band 6 and 5 - £1,000

Contracts, other than those approved as part of the annual budget setting, above £250,000 will have to be approved by two of the following Officers:

- Accountable Officer
- Chief Operating Officer
- Chief Finance Officer

In addition an approval level of £10,000 has been delegated to the General Manager.

The Finance staff have had unlimited access levels set in order to be able to process high value orders/ invoices in relation to the *agreed* contracts held with *NHS* care providers. Contract payments will be managed through the purchase order processes and there will be no separate sign off of invoices for amounts agreed in contracts.

Authorisation limits, based on these rules, will only be allocated to staff where this is appropriate to their role. Therefore not all staff at the banding levels listed above will be allocated these authorisation limits.

The Finance Team will maintain a register of those roles within the organisation that have been allocated authorisation limits and it will be made available upon request.

The Finance Department, led by the Head of Finance & Contracting, will maintain a register of the staff within the appropriate roles and ensure relevant training is provided and undertaken.

Members are further advised that work is being undertaken to produce an additional section for the Scheme of Delegation which will cover all aspects of financial delegated limits for approval and authorisation. This will be considered at the Audit Committee on 28 February 2017 prior to being presented to the April 2018 Governing Body for approval.

**Key Risks:**

If effective governance arrangements were not in place then this could lead to delays in items being approved. It can also lead to confusion if there were not clear delegations in place.

**Implications/Actions for Public and Patient Engagement:**

There are no implications for public and patient engagement.

**Financial Impact on the CCG:**

There are no financial implications to these changes.

Strategic Objective(s) supported by this paper:	Please select (X)
Support quality improvement within existing services including General Practice	
Commission a range of health services appropriate to Cumbria's Needs	
Develop our system leadership role and our effectiveness as a partner	X
Improve our organisation and support our staff to excel	X

<b>Impact assessment:</b> (Including Health, Equality, Diversity and Human Rights)	N/A
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<b>Conflicts of Interest</b> Describe any possible Conflicts of interest associated with this paper, and how they will be managed	<p style="text-align: center;">No conflicts of interest have been identified.</p>
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<b>Date Report Written</b>	24 January 2018

## Appendix 1

Ref No	Reserved or Delegated Matter	Matter Reserved to the Full Council of Members	Matter Reserved to the Governing Body	Matter Delegated To		Responsible for Recommending a course of action	Operational Responsibility
				Governing Body or Committee	Individual Member or Officer		
<b>1. REGULATION AND CONTROL</b>							
1.1	Determine the arrangements by which the members of the CCG approve those decisions that are reserved for the membership	Full Council of Members	N/A	N/A	N/A	N/A	Accountable Officer
1.2	Consider and approve applications to NHS England on any matter concerning changes to the CCG's Constitution (other than minor amendments and non-consequential changes)	Full Council of Members	N/A	N/A	N/A	Governing Body	Accountable Officer
1.3	Approve the arrangements for: <ul style="list-style-type: none"> <li>Identifying practice members to represent practices in matters concerning the work of the CCG; and</li> </ul>	Full Council of Members	N/A	N/A	N/A	Director of Primary Care and Integrated Care Communities	Director of Primary Care and Integrated Care Communities
1.4	Approve the appointment of the Governing Body Members, the process for recruiting and removing non-elected members to the Governing Body (subject to regulatory requirements) and succession planning	Full Council of Members	N/A	N/A	N/A	Governing Body	CCG Chair
1.5	Approve arrangements for identifying the CCG's proposed Accountable Officer	Full Council of Members	N/A	N/A	N/A	Governing Body	CCG Chair