

## **SCHEDULE OF MATTERS RESERVED TO THE CCG AND SCHEME OF DELEGATION**

- i. The arrangements made by the CCG as set out in this scheme of reservation and delegation of decisions shall have effect as if incorporated in the CCG's constitution.
- ii. The CCG remains accountable for all of its functions, including those that it has delegated.

| Policy Area            | Decision   | Reserved to the Membership | Reserved or delegated to Governing Body | Delegated to a Committee or Sub-Committee | Delegated to Accountable Officer | Delegated to Chief Finance and Operating Officer | Delegated to others |
|------------------------|--|----------------------------|---|---|----------------------------------|--|---------------------|
| REGULATION AND CONTROL | Determine the arrangements by which the members of the CCG approve those decisions that are reserved for the membership.   | ✓                          |   |   |                                  |  |                     |
| REGULATION AND CONTROL | Consideration and approval of applications to NHS England on any matter concerning changes to the CCG's constitution, including terms of reference for the CCG's governing body, its committees, membership of committees, the overarching scheme of reservation and delegated powers, arrangements for taking urgent decisions, standing orders and prime financial policies. | ✓                          | ✓                                       |   |                                  |  |                     |
| REGULATION AND CONTROL | Approve Constitution   | ✓                          |   |   |                                  |  |                     |
| REGULATION AND CONTROL | Exercise or delegation of those functions of the CCG which have not been retained as reserved by the CCG, delegated to the governing body or other committee or sub-committee or specified member or employee  |                            |   |   | ✓                                |  |                     |
| REGULATION AND CONTROL | Prepare for review by the  |                            |   |   |                                  |  |                     |

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|----------------|---|----------------------------|---|---|----------------------------------|--|---------------------|
| <b>CONTROL</b> | <p>governing body the CCG's overarching scheme of reservation and delegation, which sets out those decisions of the CCG <u>reserved</u> to the membership and those <u>delegated</u> to the</p> <ul style="list-style-type: none"> <li>• CCG's governing body</li> <li>• committees and sub-committees of the CCG, or</li> <li>• its members or employees</li> </ul> <p>and sets out those decisions of the governing body <u>reserved</u> to the governing body and those <u>delegated</u> to the</p> <ul style="list-style-type: none"> <li>• governing body's committees and sub-committees,</li> <li>• members of the governing body,</li> <li>• an individual who is member of the CCG but not the governing body or a specified person</li> </ul> <p>for inclusion in the CCG's constitution.</p> |                            |   |   | ✓                                |  |                     |

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| REGULATION AND CONTROL | Approval of the CCG's overarching scheme of reservation and delegation.   | ✓                          |   |   |                                  |  |                     |
| REGULATION AND CONTROL | Prepare the CCG's operational scheme of delegation, which sets out those key operational decisions delegated to individual employees of the CCG, not for inclusion in the CCG's constitution. |                            |   |   | ✓                                |  |                     |
| REGULATION AND CONTROL | Approval of the CCG's operational scheme of delegation that underpins the CCG's 'overarching scheme of reservation and delegation' as set out in its constitution.                            |                            | ✓                                       |   |                                  |  |                     |
| REGULATION AND CONTROL | Prepare detailed financial policies that underpin the CCG's prime financial policies.   |                            |   |   |                                  | ✓  |                     |
| REGULATION AND CONTROL | Approve Prime financial policies  |                            | ✓                                       |   |                                  |  |                     |
| REGULATION AND CONTROL | Approve detailed financial policies.  |                            |   | ✓<br>Audit Committee                      |                                  |  |                     |
| REGULATION AND CONTROL | Approval of policies not specified elsewhere in this scheme of delegation   |                            |   | ✓<br>Quality, Safety and Risk             |                                  |  |                     |

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|--|---|-----------------------------------|---|--|--|--|---------------------|
|  |   |                                   |   | Committee  |  |  |                     |
| <b>REGULATION AND CONTROL</b>          | Approve arrangements for managing exceptional funding requests.   |                                   | ✓                                       |  |  |  |                     |
| <b>REGULATION AND CONTROL</b>          | Approve exceptional funding requests (within financial delegated limits).   |                                   |   | ✓<br>Individual members appointed to make decisions on behalf of the CCG |  |  |                     |
| <b>REGULATION AND CONTROL</b>          | Set out who can execute a document by signature / use of the seal   | ✓<br>In approving Standing Orders |   |  | ✓<br>To authorise specific senior managers to execute a document by signature /use of the seal |  |                     |
| <b>PRACTICE MEMBER REPRESENTATIVES</b> | 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> <li>appointing clinical leaders to</li> </ul> | ✓                                 |   |  |  |  |                     |

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|--|---|----------------------------|---|---|----------------------------------|--|---------------------|
|  | represent the CCG's membership on the CCG's governing body, for example through election (if desired).  |                            |   |   |                                  |  |                     |
| <b>PRACTICE MEMBER REPRESENTATIVES</b> | Approve the process for recruiting and removing non-elected members to the governing body (subject to any regulatory requirements) and succession planning. | ✓                          |   |   |                                  |  |                     |
| <b>PRACTICE MEMBER REPRESENTATIVES</b> | Approve the appointment of governing body members   |                            |   | ✓<br>Remuneration Committee               |                                  |  |                     |
| <b>PRACTICE MEMBER REPRESENTATIVES</b> | Approve arrangements for identifying the CCG's proposed accountable officer.  | ✓                          |   |   |                                  |  |                     |
| <b>STRATEGY AND PLANNING</b>           | Agree the vision, values and overall strategic direction of the CCG.  |                            | ✓<br>Having regard to the views of the member practices |   |                                  |  |                     |
| <b>STRATEGY AND PLANNING</b>           | Approval of the CCG's operating   |                            | ✓   |   |                                  |  |                     |

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|------------------------------------|---|---|---|---|----------------------------------|--|---------------------|
|                                    | structure.  |   |   |   |                                  |  |                     |
| <b>STRATEGY AND PLANNING</b>       | Approval of the CCG's commissioning plan.   | ✓                                       | ✓                                       |   |                                  |  |                     |
| <b>STRATEGY AND PLANNING</b>       | Approval of the CCG's corporate budgets that meet the financial duties as set out in section 5.3 of the main body of the constitution. As proposed by the CFO in accordance with the prime financial policies     |   | ✓                                       |   |                                  |  |                     |
| <b>STRATEGY AND PLANNING</b>       | Approval of variations to the approved budget where variation would have a significant impact on the overall approved levels of income and expenditure or the CCG's ability to achieve its agreed strategic aims. |   | ✓                                       |   |                                  |  |                     |
| <b>ANNUAL REPORTS AND ACCOUNTS</b> | Approval of the CCG's annual report and annual accounts.  |   | ✓                                       |   |                                  |  |                     |
| <b>ANNUAL REPORTS AND ACCOUNTS</b> | Approval of the arrangements for discharging the CCG's statutory financial duties.  | ✓<br>In approving Constitution          |   |   |                                  |  |                     |
| <b>HUMAN RESOURCES</b>             | Approve the arrangements for determining the terms and conditions, remuneration and travelling or other allowances for  | ✓<br>In approving Terms of reference of |   |   |                                  |  |                     |

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|                        | governing body members, including pensions and gratuities.  | Remuneration Committee     |   |   |                                  |  |                     |
| <b>HUMAN RESOURCES</b> | Approve the terms and conditions, remuneration and travelling or other allowances for governing body members, including pensions and gratuities.  |                            | ✓                                       |   |                                  |  |                     |
| <b>HUMAN RESOURCES</b> | Approve terms and conditions of employment for all employees of the CCG including, pensions, remuneration, fees and travelling or other allowances payable to employees and to other persons providing services to the CCG. |                            | ✓                                       |   |                                  |  |                     |
| <b>HUMAN RESOURCES</b> | Approve any other terms and conditions of services for the CCG's employees.   |                            | ✓                                       |   |                                  |  |                     |
| <b>HUMAN RESOURCES</b> | Determine the terms and conditions of employment for all employees of the CCG.  |                            | ✓                                       | ✓<br>Remuneration Committee to advise the Governing Body in this regard |                                  |  |                     |
| <b>HUMAN RESOURCES</b> | Determine pensions, remuneration, fees and  |                            |   |   |                                  |  |                     |



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|                        | allowances payable to employees and to other persons providing services to the CCG.   |                                | ✓                                       |   |                                  |  |                     |
| <b>HUMAN RESOURCES</b> | Recommend pensions, remuneration, fees and allowances payable to employees and to other persons providing services to the CCG.  |                                |   | ✓<br>Remuneration Committee               |                                  |  |                     |
| <b>HUMAN RESOURCES</b> | Approve disciplinary arrangements for employees, including the accountable officer (where he/she is an employee or member of the CCG) and for other persons working on behalf of the CCG. |                                | ✓                                       |   |                                  |  |                     |
| <b>HUMAN RESOURCES</b> | Review disciplinary arrangements where the accountable officer is an employee or member of another CCG  |                                | ✓                                       |   |                                  |  |                     |
| <b>HUMAN RESOURCES</b> | Approval of the arrangements for discharging the CCG's statutory duties as an employer.   | ✓<br>In approving Constitution |   |   |                                  |  |                     |
| <b>HUMAN RESOURCES</b> | Approve human resources policies for employees and for other persons working on behalf of the CCG   |                                | ✓                                       |   |                                  |  |                     |

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|--|--|----------------------------|---|---|----------------------------------|--|---------------------|
| <b>QUALITY AND SAFETY</b>              | Approve arrangements, including supporting policies, to minimise clinical risk, maximise patient safety and to secure continuous improvement in quality and patient outcomes.  |                            | ✓                                       | ✓<br>Oversight and Scrutiny to Quality, Safety and Risk Committee |                                  |  |                     |
| <b>QUALITY AND SAFETY</b>              | Approve arrangements for supporting NHS England in discharging its responsibilities in relation to securing continuous improvement in the quality of general medical services. |                            | ✓                                       | ✓<br>Oversight and Scrutiny to Quality, Safety and Risk Committee |                                  |  |                     |
| <b>OPERATIONAL AND RISK MANAGEMENT</b> | Prepare and recommend an operational scheme of delegation that sets out who has responsibility for operational decisions within the CCG.                                       |                            |   |   | ✓                                |  |                     |
| <b>OPERATIONAL AND RISK MANAGEMENT</b> | Approve an operational scheme of delegation that sets out who has responsibility for operational decisions within the CCG.   |                            | ✓                                       |   |                                  |  |                     |
| <b>OPERATIONAL AND RISK MANAGEMENT</b> | Approve the appointment of internal auditors, as proposed by the CFO and note the appointment of External Auditors   |                            |   | ✓<br>Audit Committee  |                                  |  |                     |

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| <b>OPERATIONAL AND RISK MANAGEMENT</b> | Approve the CCG's counter fraud and security management arrangements.   |                            |  | ✓<br>Audit Committee  |                                  |  |                     |
| <b>OPERATIONAL AND RISK MANAGEMENT</b> | Approval of the CCG's risk management arrangements.   |                            | ✓<br>Through approval Risk Management Strategy | ✓<br><br>Determination, and Oversight and scrutiny by the Quality, Safety and Risk Committee<br><br>Approval of underpinning Risk Management policies |                                  |  |                     |
| <b>OPERATIONAL AND RISK MANAGEMENT</b> | Approve arrangements for risk sharing and or risk pooling with other organisations (for example arrangements for pooled funds with other Clinical commissioning groups or pooled budget arrangements under section 75 of the NHS Act 2006). |                            | ✓  |   |                                  |  |                     |
| <b>OPERATIONAL AND RISK MANAGEMENT</b> | Approval of a comprehensive system of internal control, including budgetary control that underpins the effective, efficient   |                            | ✓  |   |                                  |  |                     |

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|  | and economic operation of the CCG.   |                            |   |  |   |  |                     |
| <b>OPERATIONAL AND RISK MANAGEMENT</b> | Approve arrangements for action on litigation against or on behalf of the CCG.   |                            | ✓                                       |  |   |  |                     |
| <b>OPERATIONAL AND RISK MANAGEMENT</b> | Approve the CCG's arrangements for business continuity and emergency planning.   |                            | ✓                                       | Approval of Major Incident Plan and Business continuity Plan | ✓<br>(Determination and Oversight and scrutiny by Quality, Safety and Risk Committee) |  |                     |
| <b>OPERATIONAL AND RISK MANAGEMENT</b> | Approve the CCG's arrangements for handling complaints.  |                            | ✓                                       | Approval of Complaints Policy                                | ✓<br>(Determination and Oversight and scrutiny by Quality, Safety and Risk Committee) |  |                     |
| <b>INFORMATION GOVERNANCE</b>          | Approval of the arrangements for Information Governance, ensuring appropriate and safekeeping and confidentiality of records and for the storage, management and transfer of information and data. |                            |   |  | ✓<br>Quality, Safety and Risk Committee<br>✓  |  |                     |

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| <b>TENDERING AND CONTRACTING</b> | Approval of the CCG's contracts for any commissioning support.  |                            | ✓                                       |   |                                  |  |   |
| <b>TENDERING AND CONTRACTING</b> | Approval of the CCG's contracts for corporate support (for example finance provision).  |                            | ✓                                       |   |                                  |  |   |
| <b>PARTNERSHIP WORKING</b>       | Approve decisions that individual members or employees of the CCG participating in joint arrangements on behalf of the CCG can make. Such delegated decisions must be disclosed in this scheme of reservation and delegation. |                            | ✓                                       |   |                                  |  |   |
| <b>PARTNERSHIP WORKING</b>       | Decisions in accordance with the ToR of the ONE Partnership Forum including approval of HR policies   |                            |   |   | ✓                                | ✓  |   |
| <b>PARTNERSHIP WORKING</b>       | Decisions on high cost cancer drugs in line with ToR of the North East Cancer Drugs Approval CCG and in line with the financial scheme of delegation  |                            |   |   |                                  |  | Insert the individuals delegated by the CCG to make decisions at NECDAG |
| <b>PARTNERSHIP WORKING</b>       | Approve decisions delegated to joint committees established   |                            | ✓                                       |   |                                  |  |   |

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|--|--|----------------------------|--|---|---|--|---------------------|
|  | under section 75 of the 2006 Act.  |                            |  |   |   |  |                     |
| <b>COMMISSIONING AND CONTRACTING FOR CLINICAL SERVICES</b> | Approval of the arrangements for discharging the CCG's statutory duties associated with its commissioning functions, including but not limited to promoting the involvement of each patient, patient choice, reducing inequalities, improvement in the quality of services, obtaining appropriate advice and public engagement and consultation. | ✓                          | ✓<br>Exercise of the Functions discharged on behalf of the Membership where named in section 5 of the Constitution |   | ✓<br>Exercise of the Functions discharged on behalf of the governing body by the Accountable Officer and the specific lead officer delegated by the Accountable Officer to oversee its discharge in line with the Accountable Officers operational scheme of delegation |  |                     |
| <b>COMMISSIONING AND CONTRACTING FOR CLINICAL SERVICES</b> | Approve arrangements for co-ordinating the commissioning of services with other CCGs and or with the local authority(ies), where appropriate   | ✓                          |  |   |   |  |                     |
| <b>COMMISSIONING AND CONTRACTING</b>                       | Make decisions and approve actions in relation to subjects recommended to it by the  |                            |  | ✓<br>Northern CCG                         |   |  |                     |

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| <b>FOR CLINICAL SERVICES</b>                               | Northern CCG Forum, operating within the terms of this Constitution and within the agreed Terms of Reference for the committee   |                            |   | Joint Committee                           |                                  |  |                     |
| <b>COMMISSIONING AND CONTRACTING FOR CLINICAL SERVICES</b> | Make decisions and approve actions in relation to the commissioning of primary care services, operating within the terms of this Constitution and within the agreed Terms of Reference for the committee |                            |   | ✓<br>Primary Care Commissioning Committee |                                  |  |                     |
| <b>COMMUNICATIONS</b>                                      | Approving arrangements for handling Freedom of Information requests.   |                            |   | ✓<br>Quality, Safety and Risk Committee   |                                  |  |                     |
| <b>COMMUNICATIONS</b>                                      | Determining arrangements for handling Freedom of Information requests.   |                            |   |   | ✓                                |  |                     |