

## Appendix 1: Governance Handbook - version control history

Issue Number	Changes to the Governance Handbook	Date of Board Approval
Issue 1	All documents in the Governance Handbook v1-0	1 July 2022
Issue 2	<p>As for Issue 1 but with the following changes:</p> <p>Executive Committee Terms of Reference updated to v1.1 which shows a change in quoracy to allow nominated deputies.</p>	27 September 2022
Issue 3	<p>As for Issue 2 but with the following changes:</p> <p>Amendment to Scheme of Reservation &amp; Delegation updated to v1-1 to include arrangements for the approval of individual funding requests in accordance with the ICB policy (approved retrospectively from 1/7/2022) and arrangements for the approval of Value Based Commissioning Policy.</p> <p>Approval of Healthier and Fairer Advisory Group (sub-committee) Terms of Reference.</p>	29 November 2022
Issue 4	<p>As for Issue 3 but with the following material changes:</p> <p><u>Scheme of Reservation &amp; Delegation updated to v2-0 as follows:</u></p> <p>Audit Committee to recommend changes to the Scheme of Reservation and Delegation to Board for approval instead of the Chief Executive.</p> <p>Audit Committee to recommend changes to the SFIs, Financial Delegations and Financial Limits to the Board for approval, instead of the Finance, Performance &amp; Investment Committee.</p> <p>Clarification of approval limits as approved by Board on 29 November 2022.</p> <p>Deleted the determination of governance arrangements at Place, as all committees or sub committees must be approved by Board.</p> <p>Control of the staff establishment (tier 1- tier 3) added.</p> <p>Approve the appointment of internal auditors, changed from Board to Audit Committee.</p> <p>Approval of standard operating procedures (SOPs) changed from Executive Committee to the relevant executive director for than function.</p> <p>Footnote 1 replaced by table 1 which provides updated guidance.</p> <p>Individual Funding Request Panels (sub-committee) as approved</p>	31 January 2023

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	<p>by Board in September 22) and Healthier and Fairer Advisory Group (sub-committee) as approved by Board in November 2022) added to list of sub committees at Appendix 1; and Job title of the Executive Director of Place Based Delivery, changed to Executive Area Director.</p>	
	<p><u>Material amendments to the Standing Financial Instructions, January 2023 v2-0 (based on Version 1.3 template published by NHS England):</u></p> <p>Paragraph 4.1.4, bullet point removed as this is effectively covered in the following two bullet points.</p> <p>Paragraph 10.1.4 (losses and special payments) updated to reflect latest guidance.</p>	
	<p><u>Key amendments to the Financial Delegations, (now version 2-0):</u></p> <p>Paragraph 1.1 and 1.2 have been updated to allow an ICB Director of Finance to approve capital schemes of up to £250,000, consistent with delegated revenue expenditure limits.</p> <p>Paragraph 2.1 has been added to clarify the limits above which competitive quotations are required and relevant procurement thresholds. This is in line with the current agreed position, the addition is simply to make the position clearer in the document.</p> <p>Paragraph 2.6 – previously the signing of contracts was reserved to Executive Directors which was impractical and out of sync with delegated financial limits. The proposed amendment will allow other individuals to sign contracts in line with delegated limits and allow other ICB Directors to sign contracts up to £1m that have been appropriately approved.</p> <p>Paragraph 6.1 – previously the engagement of solicitors was reserved to Executive Directors. The proposed amendment confirms this will now be approved in accordance with the legal services Standing Operating Procedure to be maintained by the Executive Director of Corporate Governance, Communications, and Involvement, and in line with delegated financial limits.</p> <p>Paragraph 13 has been added to confirm arrangements for approval of any non-audit services from the external auditors, including compliance with relevant National Audit Office guidance.</p> <p>Job title of the Executive Director of Place Based Delivery, changed to Executive Area Director where referenced.</p>	
	<p><u>Amendments to the Financial Limits (updated to v2-0) as follows:</u></p> <p>Delegated limits for admin budgets such that expenditure up to £4,999,999 would be approved by Executive Committee rather than Finance, Performance and Investment Committee.</p> <p>Job title of the Executive Director of Place Based Delivery, changed to Executive Area Director.</p>	

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	<p><u>Executive Committee version Terms of Reference now v2-0</u> Job titles of some members changed to reflect their new titles. (Membership remains unchanged).</p> <p>Removed reference to approving standard operating procedures which is now delegated to the relevant executive director.</p> <p>Added to responsibilities of committee: Develop and implementation of Primary Care Strategy</p>	
	<p><u>Quality &amp; Safety Committee Terms of Reference now version 2-0</u> Job title of Executive Director of Strategy and System Oversight changed to Chief of Strategy and Operations. (Membership remains unchanged).</p> <p>Vice chair deleted from this statement: The Committee will be chaired by an Independent Non-Executive Member of the Board. The Chair cannot also be the Audit Committee Chair <del>or Vice Chair</del>.</p>	
	<p><u>Finance, Performance &amp; Investment Committee Terms of Reference now version 2-0</u></p> <p>The following updates to the committee terms of reference have been made:</p> <ul style="list-style-type: none"> <li>• Combine Part 1 and 2 of the meeting agenda and the Chair will manage any conflicts of interest in the normal way.</li> <li>• Appropriate amendments to the membership</li> <li>• Removal of "To recommend SFIs and financial delegations and limits to the Board for approval" as this is the remit of the Audit Committee</li> <li>• Removal of "To develop a finance staff development strategy to ensure excellence by attracting and retaining the best finance talent" as this responsibility is not one for an individual committee but for the organisation.</li> <li>• Following approval of ICBP006 Commercial sponsorship and joint working with the pharmaceutical industry Policy, inclusion of 'Ratification of pooled budget arrangements relating to commercial sponsorship and joint working with the pharmaceutical industry'.</li> </ul>	
	<p><u>Audit Committee Terms of Reference now version 2-0</u></p> <p>Added to the following to the remit of the Audit Committee:</p> <ul style="list-style-type: none"> <li>• To recommend SFIs, financial delegations* and limits to the Board for approval. *The financial delegations include approval of Non-Audit Services (previously this was the responsibility of the Finance, Performance and Investment Committee)</li> <li>• To recommend the Scheme of Reservation &amp; Delegation to the Board for approval (previously this was the</li> </ul>	

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	<p>responsibility of the Chief Executive).</p> <ul style="list-style-type: none"> <li>• Approving the appointment of Internal Auditors, retrospectively from 1 July 2022.</li> </ul> <p>Amended reference to the NHS Standards for Commissioners, Fraud, Bribery and Corruption to Government Functional Standard 013 Counter Fraud: NHSCFA requirements.</p> <hr/> <p><u>Governance Structure, now v2-0:</u></p> <p>Appendix 1 includes the following approved sub committees:</p> <ul style="list-style-type: none"> <li>• Healthier and Fairer Advisory Group (sub-committee)</li> <li>• Individual Funding Requests Panel North (sub-committee)</li> <li>• Individual Funding Requests Panel South (sub-committee)</li> </ul> <hr/> <p>Updated list of eligible providers of primary medical services v2-0 (supplied by NHSE 26/10/2022)</p>	
<b>Issue 5</b>	<p>As for issue 4 but with the following changes:</p> <p><u>Scheme of Reservation &amp; Delegation updated to v3-0 as follows:</u></p> <ul style="list-style-type: none"> <li>• Revised delegation to parent committees to approve their sub-committee terms of reference.</li> <li>• ICB Statutory duties copied from Constitution for completeness.</li> <li>• Added delegations relating to primary care services.</li> <li>• Appendix 1 - updated list of Committees, Sub Committees and Joint Committees</li> <li>• Appendix 2 - Primary Care Services Appendix 2 replaced to include Pharmacy, Optometry and Dentistry</li> <li>• Appendix 3 - Delegation Summaries added to the SORD.</li> <li>• Appendix 4 - Remuneration Guidance added to the SORD.</li> </ul> <p><b><u>Functions and Decisions Map (Appendix 2)</u></b></p> <p>Minor updates to ensure consistency with the SORD.</p> <p><b><u>Executive Committee Terms of Reference</u></b></p> <p>The following has been added to the responsibilities of the committee: Commissioning services for veterans and families, who form part of the NENC registered populations.</p> <p><b><u>Place Governance Arrangements</u></b></p> <p>Approval to establish ICB place sub committees and approve their terms of reference V1-0.</p> <p><b><u>North East &amp; North Cumbria Integrated Care Partnership (ICP) and Area ICPs</u></b></p>	28 March 2023

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	<p>Approval the North East and North Cumbria Integrated Care Partnership (ICP) terms of reference V1-0.</p> <p><b><u>Establishment of the following Sub Committees and Approval of their terms of reference:</u></b></p> <ul style="list-style-type: none"> <li>• Medicines</li> <li>• Quality and Safety Area x 4</li> <li>• Safeguarding</li> <li>• NENC Antimicrobial Resistance (AMR) and Healthcare Associated Infection (HCAI)</li> <li>• Pharmaceutical Services Regulatory [Sub] Committee</li> <li>• Primary Care Strategy &amp; Delivery</li> <li>• IFR Panel x 2</li> </ul>	
<p><b>Issue 6</b></p>	<p>As for issue 5 but with the following changes:</p> <p><b><u>Material Changes to the Scheme of Reservation and Delegation (SORD)</u></b></p> <ul style="list-style-type: none"> <li>• Page 10 - Parent Committees approve the establishment of subcommittees and their terms of reference (not Board)</li> <li>• Page 13 – inclusion of the ICB's serious violence duties through the Police, Crime, Sentencing and Courts (PCSC) Act 2022. The ICB is a 'specified authority' and responsible for delivering the Duty.</li> <li>• Page 19 – inserted the requirement for the Board to approve the capital plan for the ICB and partner NHS Foundation Trusts across the ICS</li> <li>• Pages 20 and 21 – approval of the ICB's non-programme budgets and approval of variations to non-programme costs – changed to Executive Committee recommending this to Board for approval (previously allocated to Finance, Performance, and Investment Committee)</li> <li>• Page 38 - Appendix 1 - updated list of committees, Subcommittees and Joint committees</li> <li>• Page 40 – Appendix 2 - minor amends to wording: changing 'Primary Medical Services' to 'Primary Care Services' relating to delegations of primary care services.</li> </ul> <p><b><u>Quality and Safety Committee Terms of Reference</u></b></p> <p>Main changes are changes to the membership of the Committee and also clarifying the Committee's responsibility for public and patient involvement.</p> <p><b><u>Finance, Performance and Investment Committee</u></b></p> <p>Minor amends have been made to the Finance, Performance and Investment Committee to reflect the Committee's responsibility to "review and prioritise any relevant investment proposals in line with the ICB Investment Business Case policy."</p>	<p>30 May 2023</p>

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	<p><b><u>Mental Health, Learning Disabilities and Autism sub-committee</u></b></p> <p>Subject to approval, the Mental Health and Learning Disabilities and Autism (MHLDA) sub-committee is a sub-committee of the Executive Committee and is responsible for providing leadership and direction in relation to the delivery and commissioning of all NHS mental health and learning disability services across the life course, including young people, adults and older adults across North East and North Cumbria.</p>	
Issue 7	As for issue 6 but with the following changes:	25 July 2023
	<p><b><u>Material Changes to the Scheme of Reservation and Delegation (SORD) - Appendix 1</u></b></p> <p>Page 33 - Human Resources Policies – Remove (Approves) from reserved section to ICB Board to Executive Committee (Approves) in the "Delegated to Committee or Sub-Committee" section.</p> <p><b><u>Primary Care Services</u></b>          Incorporated the delegation of approvals relating to all primary care functions as detailed below.</p> <ul style="list-style-type: none"> <li>• Page 39 – Appendix 2 – "Primary Care Services: Allocation of Roles and responsibilities in the ICB" – removal of the four paragraphs of wording for Accountability, delegations, decision making and Senior Responsible Officer (SRO)</li> <li>• Page 42 – Appendix 2c (3)- minor amendments to wording: "Primary Care Services – Dentistry". Inclusion of additional text to reference number 5</li> <li>• Page 43 – Appendix 2c (5) – "Pharmaceutical Services – Delegation to the Pharmaceutical Services regulations [Sub] Committee - PRSC – inclusion of additional wording to reference numbers: 1, 2, 4 and 6 in relation to delegations.</li> <li>• Page 46 - Appendix 2e – "Primary Care Dental Services - Decisions Delegation to an ICB Primary Care Officer or Manager" added.</li> <li>• Page 47 - Appendix 2f – "Primary Care Pharmaceutical Services – Decision Delegated to and ICB Primary Care Officer or Manager" added.</li> <li>• Page 48 - Appendix 2g – "Primary Care Optometry Services – Decisions Delegation to an ICN Primary Care Officer or Manager" added.</li> </ul>	
	<p><b><u>Financial Limits – Increase in Financial Delegation Limits for Care Packages</u></b></p> <p>An increase to the financial delegation limit of agenda for change band 8D Deputy Directors of Nursing/Commissioning Managers responsible for approving all age continuing healthcare packages. The delegated limit is to be increased from £75,000 to</p>	

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	<p>£150,000 to allow continuity of care for patients.</p> <p>This will be reviewed after a period of three months from the date of approval - version 3-0.</p>	
	<p><b><u>Executive Committee Terms of Reference</u></b></p> <p>The terms of reference for Executive Committee have been updated to reflect a change in job title for a member of the Committee. - version 4.0</p>	
	<p><b><u>Remuneration Committee Terms of Reference</u></b></p> <p>The membership of the Committee has been updated to reflect the change in responsibilities within the executive team for responsibility of the workforce function. In addition, two additional regular attendees have been added to provide specialist human resources and governance expertise to the Committee.</p> <p>An additional amendment has also been made to reflect the Committee's responsibility to 'oversee the arrangements regarding performance to include succession planning for the executive team, diversity of the executive and performance of the individual executives and team' - version – 2-0</p>	
	<p><b><u>NENC ICB Committee Structure</u></b></p> <p>The Committee structure has been updated to include the approved additional subcommittees of the Executive Committee and Quality and Safety Committee (version 4.0) as follows:</p> <ul style="list-style-type: none"> <li>• Human Resources (HR and Organisational Development (OD) Steering Group</li> <li>• Mental Health, Learning Disabilities and Autism</li> <li>• Contracts Group</li> <li>• Place subcommittees x 12</li> <li>• ICB 2.0 Programme Group</li> <li>• All Ages Continuing Care Strategic Transformation Group</li> <li>• Patient Voice Subcommittee</li> </ul>	