

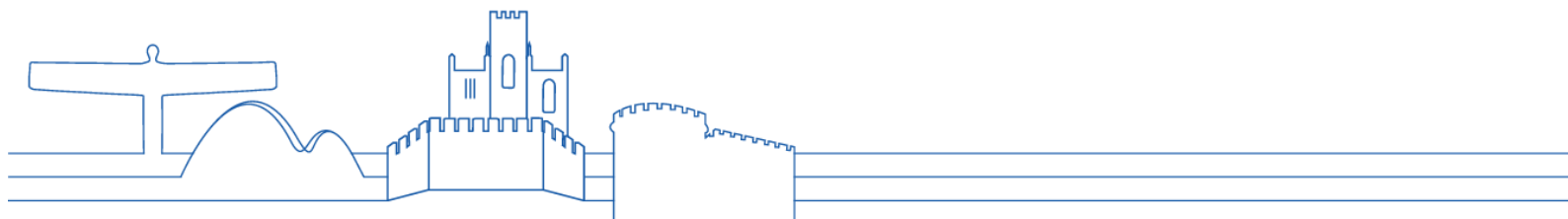


**North East &
North Cumbria**

North East and North Cumbria Integrated Care Board

GOVERNANCE HANDBOOK

Issue 7-0
Approved TBC



Introduction

Who are we?

The North East and North Cumbria Integrated Care Board (NE & NC ICB) is a statutory health body established to arrange for the provision of health services within the North East and North Cumbria.

What is the Governance Handbook?

The NE & NC ICB must publish its constitution. The constitution sets out the duties of the ICB, the makeup of its board and the overarching rules by which it operates. The constitution is available here <https://northeastnorthcumbria.nhs.uk/about-us/corporate-information/governance/>

The governance handbook is supplementary to the constitution and sets out how the ICB makes its decisions. This is captured in several documents which make up this handbook.

Scheme of Reservation & Delegation

This document sets out those decisions reserved to the ICB board and those decisions which are delegated to others. Delegations may be made to individuals, committees, or other organisations.

Functions & Decisions Map

This map sets out those functions and decisions taken by the ICB centrally or by the ICB at place. There are 14 places in the NE&NC ICB, and these are listed in the ICB constitution, available here <https://northeastnorthcumbria.nhs.uk/about-us/corporate-information/governance/>

Committee Terms of Reference

The ICB has established five committees of the board. Each of these has a terms of reference which sets out their remit and the decisions that each committee may make.

Financial Documents

The ICB has three key financial documents which set out the rules for making decisions, who decisions are delegated to, and the financial limits applicable to ICB staff.

Standards of Business Conduct Policy/Conflicts of interest policy and procedures

The ICB must maintain registers of the interests of members of the ICB Board, members of its committees or sub-committees, and its employees. These registers are included in this governance handbook.

Members of the board, committees, sub committees, and all staff must comply with the ICB's Standards of Business Conduct Policy/Conflicts of interest policy. This is also included in this governance handbook.

How you can inform decision making

Communities and People Involvement and Engagement Strategy for the North East and North Cumbria

No decision will be made about **substantial** changes to health and care services that people receive without talking and listening to people receiving those services or who may do in the future, about it first. It is important that people have their say to shape and improve local services.

The ICB's Communities and People Involvement and Engagement Strategy sets out how the ICB will engage and involve people and is available here

<https://northeastnorthcumbria.nhs.uk/get-involved/>

Healthwatch

There is a local Healthwatch in every area of England which acts as the independent champion for people who use health and care services. Healthwatch find out what people like about services, and what could be improved, and share these views with those with the authority to make change happen.

Healthwatch also help people find the information they need about services in their area, and we help make sure their views shape the support they need. Healthwatch will be an important critical friend to the ICB.

ICB Board Meetings

ICB board meetings are held in public. The ICB will hold its board meetings throughout the North East & North Cumbria and all members of the public are welcome to attend. The dates of the board meetings, agendas and papers are posted on the ICB's website here [Meetings and agendas | North East and North Cumbria \(northeastnorthcumbria.nhs.uk\)](https://northeastnorthcumbria.nhs.uk)

Version Control

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 & 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 & 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 & 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 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</p>	31 January 2023

Issue Number	Changes to the Governance Handbook	Date of Board Approval
	<p>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> <p><u>Executive Committee version Terms of Reference now v2-0</u></p>	

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	<p>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 & 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 or Vice Chair.</p>	
	<p><u>Finance, Performance & 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"> • Combine Part 1 and 2 of the meeting agenda and the Chair will manage any conflicts of interest in the normal way • Appropriate amendments to the membership • Removal of "To recommend SFIs and financial delegations and limits to the Board for approval" as this is the remit of the Audit Committee • 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 • 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'. 	
	<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"> • 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) 	

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	<ul style="list-style-type: none"> • To recommend the Scheme of Reservation & Delegation to the Board for approval (previously this was the responsibility of the Chief Executive). • Approving the appointment of Internal Auditors, retrospectively from 1 July 2022. <p>Amended reference to the NHS Standards for Commissioners, Fraud, Bribery and Corruption to Government Functional Standard 013 Counter Fraud: NHSCFA requirements.</p> <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"> • Healthier and Fairer Advisory Group (sub-committee) • Individual Funding Requests Panel North (sub-committee) • Individual Funding Requests Panel South (sub-committee) <p>Updated list of eligible providers of primary medical services v2-0 (supplied by NHSE 26/10/2022)</p>	
Issue 5	<p>As for issue 4 but with the following changes:</p> <p><u>Scheme of Reservation & Delegation updated to v3-0 as follows:</u></p> <ul style="list-style-type: none"> • Revised delegation to parent committees to approve their sub-committee terms of reference • ICB Statutory duties copied from Constitution for completeness • Added delegations relating to primary care services • Appendix 1 - updated list of Committees, Sub Committees and Joint Committees • Appendix 2 - Primary Care Services Appendix 2 replaced to include Pharmacy, Optometry and Dentistry • Appendix 3 - Delegation Summaries added to the SORD • Appendix 4 - Remuneration Guidance added to the SORD <p><u>Functions and Decisions Map (Appendix 2)</u></p> <p>Minor updates to ensure consistency with the SORD.</p> <p><u>Executive Committee Terms of Reference</u></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>	28 March 2023

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	<p><u>Place Governance Arrangements</u></p> <p>Approval to establish ICB place sub committees and approve their terms of reference V1-0.</p> <p><u>North East & North Cumbria Integrated Care Partnership (ICP) and Area ICPs</u></p> <p>Approval the North East and North Cumbria Integrated Care Partnership (ICP) terms of reference V1-0.</p> <p><u>Establishment of the following Sub Committees and Approval of their terms of reference:</u></p> <ul style="list-style-type: none"> • Medicines • Quality and Safety Area x 4 • Safeguarding • NENC Antimicrobial Resistance (AMR) and Healthcare Associated Infection (HCAI) • Pharmaceutical Services Regulatory [Sub] Committee • Primary Care Strategy & Delivery • IFR Panel x 2 	
Issue 6	<p>As for issue 5 but with the following changes:</p> <p><u>Material Changes to the Scheme of Reservation and Delegation (SORD)</u></p> <ul style="list-style-type: none"> • Page 10 - Parent Committees approve the establishment of subcommittees and their terms of reference (not Board) • 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. • Page 19 – inserted the requirement for the Board to approve the capital plan for the ICB and partner NHS Foundation Trusts across the ICS • 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) • Page 38 - Appendix 1 - updated list of committees, Subcommittees and Joint committees • Page 40 – Appendix 2 - minor amends to wording: changing 'Primary Medical Services' to 'Primary Care Services' relating to delegations of primary care services. 	30 May 2023

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	<p><u>Quality and Safety Committee Terms of Reference</u></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><u>Finance, Performance and Investment Committee</u></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><u>Mental Health, Learning Disabilities and Autism sub-committee</u></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:	--/--/--
	<p><u>Material Changes to the Scheme of Reservation and Delegation (SORD) - Appendix 1</u></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><u>Primary Care Services</u></p> <p>Incorporated the delegation of approvals relating to all primary care functions as detailed below.</p> <ul style="list-style-type: none"> • 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) • Page 42 – Appendix 2c (3)- minor amendments to wording: "Primary Care Services – Dentistry". Inclusion of additional text to reference number 5 • 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. • Page 46 - Appendix 2e – "Primary Care Dental Services - Decisions Delegation to an ICB Primary Care Officer or Manager" added. 	

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	<ul style="list-style-type: none"> • Page 47 - Appendix 2f – "Primary Care Pharmaceutical Services – Decision Delegated to and ICB Primary Care Officer or Manager" added. • Page 48 - Appendix 2g – "Primary Care Optometry Services – Decisions Delegation to an ICN Primary Care Officer or Manager" added. 	
	<p><u>Financial Limits – Increase in Financial Delegation Limits for Care Packages</u></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 £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><u>Executive Committee Terms of Reference</u></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><u>Remuneration Committee Terms of Reference</u></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><u>NENC ICB Committee Structure</u></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"> • Human Resources (HR and Organisational Development (OD) Steering Group • Mental Health, Learning Disabilities and Autism • Contracts Group • Place subcommittees x 12 • ICB 2.0 Programme Group 	

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	<ul style="list-style-type: none">• All Ages Continuing Care Strategic Transformation Group• Patient Voice Subcommittee	

Contents

Document Number	Title	Version
1	Scheme of Reservation and Delegation	V5-0
2	Functions and Decision Map	V2-0
3	Financial Delegations	V2-0
4	Financial Limits	V3-0
5	Standing Financial Instructions (SFIs)	V2-0
6	Quality and Safety Committee Terms of Reference	V3-0
7	Remuneration Committee Terms of Reference	V2-0
8	Finance, Performance, and Investment Committee Terms of Reference	V3-0
9	Executive Committee Terms of Reference	V4-0
10	Audit Committee Terms of Reference	V2-0
11	Standards of Business Conduct Policy/Conflicts of interest policy and procedures [linked from Policies web page to Governance Handbook web page]	V2-0
12	Communities and People Involvement and Engagement Strategy for the North East and North Cumbria	V1-0
13	Registers of Interests [latest version shown on the web page]	N/A
14	North East and North Cumbria Integrated Care Partnership (ICP) Terms of Reference	V1-0
15	NENC ICB Committee Structure	V4-0
16	NENC ICB Place Sub-committee Terms of Reference	V1-0
17	List of eligible providers of primary medical services	V2-0
18	NENC Healthier and Fairer Advisory Group (Subcommittee)	V1-0
19	Medicines Sub-committee	V1-0
20	Quality and Safety Area Sub-committee Terms of Reference v1.0	V1-0
21	Safeguarding Sub-committee Terms of Reference	V1-0
22	NENC Antimicrobial Resistance (AMR) and Healthcare Associated Infection (HCAI) Subcommittee Terms of Reference	V1-0
23	Primary Care Strategy and Delivery Sub-committee Terms of Reference	V1-0

Document Number	Title	Version
24	Pharmaceutical Services Regulatory [Sub] Committee Terms of Reference	V1-0
25	Individual Funding Requests (IFR) Panel Terms of Reference	V1-0
26	NENC ICB Remuneration Guidance	V1-0
27	Mental Health, Learning Disabilities and Autism Sub-committee	V1-0