



County Durham
Clinical Commissioning Group

GOVERNANCE HANDBOOK

2020

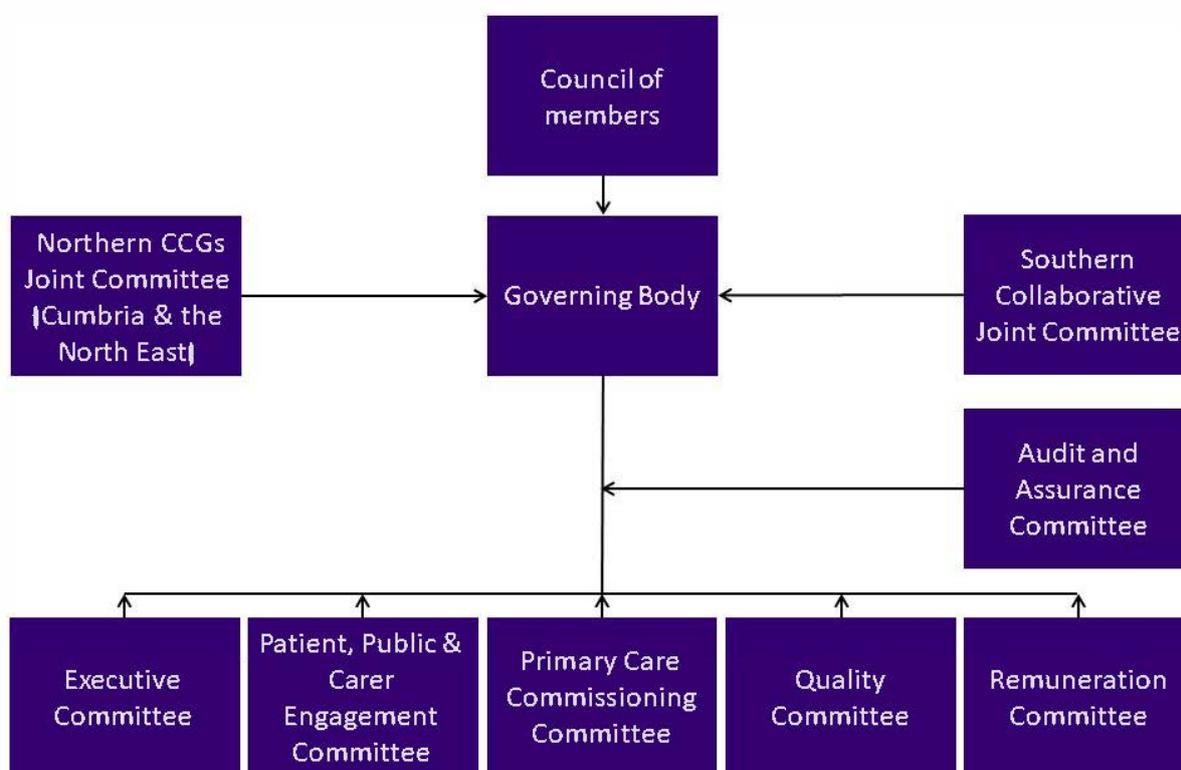
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1. Introduction and Purpose

- 1.1 This handbook provides supplementary information to the CCG's Constitution in relation to decision making powers and non-statutory committee terms of reference. It does not include operational groups or those that are temporary assignments such as task and finish groups.
- 1.2 The handbook will be updated on an annual basis.

2. The Governance Structure



2.1 The Council of Members

The Council of Members comprises a senior clinical representative from each of our member practices that make up the membership and ensures that the Group's activities retain a clear clinical focus with member engagement.

2.2 The Governing Body

The main function of the Governing Body is to ensure that the CCG has made appropriate arrangements for ensuring that it exercises its functions

effectively, efficiently and economically. Where appropriate, matters are delegated to a Committee or individual and this is outlined within the CCG's Scheme of Reservation and Delegation. The Governing Body also receives formal updates, by way of receiving the minutes of each of its Committees to enable it to consider the work and effectiveness of the respective Committee and to receive assurance relating to delivery of their terms of reference.

2.3 Committees

The following table briefly describes the roles of each of the formal Committees reporting to the Governing Body, both statutory and non-statutory.

Committee	Role
<p>Audit and Assurance Committee</p>	<p>The Audit and Assurance Committee supports the Governing Body in its main function of ensuring the CCG has made appropriate arrangements to ensure functions are exercised effectively, efficiently and economically and that all relevant principles of good governance are adhered to.</p> <p>In line with the requirements of the NHS Audit Committee Handbook and NHS Codes of Conduct and Accountability, the Committee provides the CCG with an independent and objective review of systems of internal control, risk and governance processes and arrangements, and compliance with laws, guidance, and regulations governing the NHS. The Committee is a non-executive Committee of the Governing Body and has no executive powers. Its work aligns with that of the Quality Committee to seek assurance that robust clinical quality systems are in place.</p> <p>The Committee is Chaired by a Lay Member.</p> <p>The Committee's Terms of Reference are included in the Constitution.</p>
<p>Remuneration Committee</p>	<p>A statutory Committee, the Remuneration Committee is established to advise/recommend to the Governing Body the appropriate remuneration and terms of service for employees and members of the Governing Body (with the exception of Lay Members and the Secondary Care Specialist, whose remuneration will be established by a Panel comprising the Chair/Chief Officer or Chief Operating Officer/Chief Finance Officer).</p>

	<p>It also reviews and advises on business cases for early retirement or redundancy.</p> <p>The Committee is Chaired by a Lay Member.</p> <p>The Committee's Terms of Reference are included in the Constitution.</p>
Primary Care Commissioning Committee	<p>The Committee has a primary purpose of commissioning primary medical services for the people of County Durham CCG. The role of the Committee is to carry out the functions relating to the commissioning of primary medical services under Section 13Z of the NHS Act, except those relating to individual GP performance management, which have been reserved to NHS England. The Committee is Chaired by a Lay Member.</p> <p>Its Terms of Reference are included in the Constitution.</p>
Quality Committee	<p>The role of the Quality Committee is to examine and make recommendations with regard to the quality standards of commissioned services, pathway developments and quality indicators of new services. It supports the delivery of the CCG's statutory duties to reduce inequalities in the health of the local population and to ensure equity of health and access to services. It also ensures that innovative ways of working are considered and tested by using safe and measured approaches. It approves and ratifies any necessary quality related documents prior to submission to the Governing Body.</p> <p>This is not a statutory committee. The Terms of Reference are included within this Handbook.</p>
Executive Committee	<p>The Executive Committee is a Committee of the Governing Body that operates as a forum for discussion, decision and assurance of the operational management of the CCG in support of the Governing Body and its committees in:</p> <ul style="list-style-type: none"> • ensuring the continued development of the CCG; • overseeing and accounting for delivery of the CCG's strategic objectives and their supporting plans; • supporting the development of effective collaboration across the local health economy, and • managing and monitoring clinical quality, financial performance and activity. <p>This is not a statutory committee. The Terms of</p>

	Reference are included within this Handbook.
Patient, Public and Carer Engagement Committee (PPCE)	<p>The PPCE Committee provides assurance to the CCG's Governing Body in relation to patient, public and carer engagement. The Committee is responsible for developing the communications and engagement strategy of the CCG, reviewing, challenging and evaluating CCG engagement processes and providing a two way communication channel between the CCG and patients, public and carers.</p> <p>This is not a statutory committee. The Terms of Reference are included within this Handbook.</p>
Funding Panel	The Funding Panel, which is a collaboration between CCGs and is accountable to the CCG's Governing Body, considers all Individual Funding Requests and decides whether or not to support individual requests on the basis of the information provided by a patient's clinician to the Committee. Requests are assessed for access to treatment within the commissioning authority of the CCG.
Northern CCG Joint Committee	<p>The CCG is a member of the Cumbria and the North East CCG Joint Committee. Membership also includes:</p> <p>NHS North Yorkshire CCG, NHS Newcastle Gateshead CCG, NHS North Cumbria CCG, NHS Northumberland CCG, NHS North Tyneside CCG, NHS South Tyneside CCG, NHS Sunderland CCG, and NHS Tees Valley CCG.</p> <p>The role of this Committee is to make decisions on subjects recommended to it by the Northern CCG Forum which develops an annual work plan for the Joint Committee to be approved by each of the CCGs as part of the annual review of the Terms of Reference. These will be confined to issues that pertain to all CCG areas in Cumbria and the North East.</p>
Joint Committee of the Southern Collaborative of CCGs	<p>The CCG is a member of this Joint Committee, membership also includes:</p> <p>NHS Tees Valley CCG NHS North Yorkshire CCG</p> <p>The role of the Joint Committee is to make decisions normally delegated to the Governing Bodies where those</p>

	decisions must be made together to ensure a consistent and efficient approach to the commissioning of services that meet the needs of the populations we serve.
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The Terms of Reference for the CCG's Committees, both statutory and non-statutory, can be viewed on the CCG's website:

<https://countydurhamccg.nhs.uk/documents/constitution/>

3. TERMS OF REFERENCE REVIEW LOG (Part of the Governance Handbook)

Audit and Assurance Committee

Version and date	Lead	Amendments	Approval Route	Review Date
V1 1/4/20	J Keane	Developed as part of the Constitution	GB – 7/4/20 - approved AAC – 23/4/20 (info) GB – 30/6/20 (info as part of suite)	March 2021

Council of Members

Version	Author	Amendments	Approval Route	Review Date
V1	A Million	First draft	GB 30/6/20 (approval on behalf of CoM)	March 2021

Executive Committee

Version	Lead	Amendments/ comments	Approval Route	Review Date
V1 1/4/20	A Million	New version	EC – 14/4/20 – changes EC – 12/5/20- approved GB – 30/6/20 (ratified)	March 2021
V2 13/7/20	A Million	Temporary amendments made relating to the secondment of the Director of Nursing and Quality	EC – 28/7/20 GB – 22/9/20 (information)	March 2021

		Amendment made to Quoracy for meetings of non-conflicted members		
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Quality Committee

Version	Lead	Amendments	Approval Route	Review Date
V1 1/4/20	A Million	New version – submitted to EC 28/4/20	QC – 4/2/20 approved EC – 28/4/20 approved GB – 30/6/20 (ratified)	March 2021
V2 13 July 20,	A Million	Temporary amendments made relating to the secondment of the Director of Nursing and Quality. Further amendments made in relation to reference to the sub-committees of Quality Committee and the amendment to the membership from GP Clinical Lead to Executive GP.	EC – 28/7/20 GB – 22/9/20 (for information)	March 2021

Primary Care Commissioning Committee

Version	Author	Amendments	Approval Route	Review Date
V1 1/4/20	J Keane	Part of the Constitution	GB – 7/4/20 (approved) PCCC – 21/4/20 (info) GB – 30/6/20 (ratified)	March 2021

			13/7/20 – temporary amendments made in relation to secondment of Director of Nursing and Quality.	
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Remuneration Committee

Version	Author	Amendments	Approval Route	Review Date
V1 1/4/20	J Keane	Part of the Constitution	GB - 7/4/20 (approved) GB – 30/6/20 (Info as part of suite)	March 2021

Patient, Public and Carer Engagement Committee

Version	Author	Amendments	Approval Route	Review Date
1			PPCE t14/6/20 (approved) GB – 30/6/20 (ratified)	

4. Standards of Business Conduct and Declarations of Interest Policy

- 4.1 This Policy includes the arrangements the CCG has made for the management of conflicts of interest. The policy sets out our Standards of Business Conduct, the approach to identifying, managing and recording conflicts of interest that may arise during the course of the CCG fulfilling its duties, and the management of gifts, hospitality and sponsorship. The policy can be viewed here: <https://countydurhamccg.nhs.uk/documents/policies/>

The CCG has a number of other relevant policies and procedures that each member of staff is required to follow:

<https://countydurhamccg.nhs.uk/documents/policies/>

5. Scheme of Reservation and Delegation (SoRD)

- 5.1. The National Health Service Act 2006 (as amended by the 2012 Act) provides the CCG with powers to delegate its functions and those of the Governing Body to certain bodies (such as committees) and certain persons. The CCG has decided that certain decisions may only be exercised in formal session. These decisions and also those delegated are contained in the CCG's scheme of reservation and delegation (see **Appendix 1**).
- 5.2. The Scheme of Reservation and Delegation has been drawn up to ensure the delegated functions regulate the proceedings of the CCG and can fulfil its obligations, as set out largely in the 2006 Act, as amended by the 2012 Act and related Regulations.
- 5.3. Failure to comply with the scheme of reservation and delegation may be regarded as a disciplinary matter that could result in dismissal.

6. Standing Financial Instructions (SFIs)

- 6.1. The SFIs are issued for the Regulation of the conduct of the CCG members and officers in relation to all financial matters with which they are concerned. The SFIs detail the financial responsibilities, policies and procedures adopted by the CCG. They are designed to ensure that the CCG's financial transactions are carried out in accordance with the law and with Government policy in order to achieve probity, accuracy, economy, efficiency and effectiveness. They should be used in conjunction with the Schedule of

Decisions Reserved to the Governing Body and the Scheme of Delegation adopted by the CCG.

- 6.2. The SFIs identify the financial responsibilities which apply to everyone working for the CCG and its constituent organisations including Trading Units. They do not provide detailed procedural advice and should be read in conjunction with any detailed departmental and financial procedure notes. All financial procedures must be approved by the Chief Finance Officer (CFO).

7. Key Roles

7.1 Caldicott Guardian

Every NHS organisation is required to have a Caldicott Guardian; this was mandated for the NHS by an official Health Service Circular in 1999. The mandate covers all organisations that have access to patient records. Clinical Commissioning Groups deal with minimal patient / personal data, the three main categories being:

- complaints,
- enquiries from Member of Parliament, letters / correspondence,
- staff files / data

The Caldicott Guardian is responsible for protecting the confidentiality of people's health and care information, making sure it is used properly and enabling appropriate information sharing. They have a strategic role, which involves representing and championing issues related to information sharing at Governing Body or executive level.

The Caldicott Guardian for County Durham Durham CCG is:
Dr Ian Davidson, Medical Director
Telephone: 0191 389 8594
E-mail: iandavidson2@nhs.net

7.2 Conflict of Interest Guardian

As part of the CCG's arrangement to manage conflicts of interest, a Conflict of Interest Guardian has been appointed. John Whitehouse, Lay Member for Governance and Audit, can be contacted by email via john.whitehouse@nhs.net.

The Conflict of Interest Guardian will:

- act as the main point of contact for GP practice staff, members of the public and healthcare professionals who have any concerns relating to conflicts of interest,

- be a safe point of contact for employees or workers of the CCG to raise concerns in relation to conflicts of interest,
 - provide independent advice and judgement where there is any doubt about how to apply the conflicts of interest policies and principles in an individual situation,
 - provide advice on minimising the risks of conflicts of interest.
- John is supported in his role by Amanda Million, Corporate Governance Officer, who can also be contacted by email via amanda.million1@nhs.net or by telephone on 0191 3898592 with any queries relating to conflicts of interest.

7.3 Freedom to Speak Up Guardian

In accordance with the CCG's Raising Concerns (whistleblowing) Policy Andrew Atkin, Governing Body Lay Member is the Freedom to Speak Up (FTSU) Guardian for County Durham CCG. The Freedom to Speak Up Guardian works alongside the CCG Executive Team and Governing Body to support the CCG in becoming a more open and transparent place to work, where all staff are actively encouraged and enabled to speak up safely.

Essentially the role is to ensure that a culture of speaking up is instilled throughout the CCG and that effective processes are in place to support staff. As a nationally defined role, the Freedom to Speak Up Guardian will focus on the key area of supporting individuals to raise concerns that are in the interest of patients or the public. However, in addition to this, the FTSU Guardian role within NHS County Durham CCG also encompasses supporting staff to raise concerns with regard to dignity at work (such as bullying and harassment). Andrew is therefore be able to advise CCG colleagues on the right policies and processes for individuals to be aware of if they wish to raise a dignity at work concern. Andrew can be contacted in the following ways:

Andrew Atkin, Governing Body Lay Member
 Telephone: 0191 389 8600
 Email: andrew.atkin1@nhs.net

[More information on the role of FTSU Guardian and how to speak up.](#)

Raising and responding to concerns film: Health Education England have produced a number of [films and supporting information to support individuals who wish to "Speak up"](#).

7.4 Senior Information Risk Owner (SIRO)

The Senior Information Risk Owner (SIRO) takes overall ownership of County Durham CCG's information governance and acts as champion for information risk on the Governing Body.

The SIRO understands how the strategic business goals of the CCG and how other NHS Organisations' business goals may be impacted by information risks and how those risks may be managed.

The SIRO implements and leads the NHS Information Governance (IG) risk assessment and management processes within the CCG and advises the Executive Committee on the effectiveness of information risk management across the CCG.

The SIRO for NHS County Durham CCG is:

Nicola Bailey, Chief Officer
Telephone: 0191 371 3222
E-mail: Nicola.bailey5@nhs.net

7.5 **Data Protection Officer (DPO)**

As a public authority the CCG must appoint a Data Protection Officer (DPO). The DPO is an essential role in facilitating 'accountability' and the CCG's ability to demonstrate compliance with the data protection legislation.

The DPO for NHS County Durham CCG is Liane Cotterill, who can be contacted at via email at NECSU.IG@nhs.net

8. Policies

The CCG has in place a suite of Corporate, Information Governance and Human Resources policies, which are published on the CCG's website:

<https://countydurhamccg.nhs.uk/documents/policies/>

9. SCHEME OF DELEGATION – NHS COUNTY DURHAM CCG

As described in the Constitution, the Council of Members has delegated all duties and responsibilities to the Governing Body unless they are specifically identified within this Scheme as being reserved to the Membership/Council of Members.

Policy Area	Decision	Reserved to the Membership/ Council of Members	Reserved or delegated to the Governing Body	Delegated to a Committee	Accountable Officer	Other
1 REGULATION AND CONTROL	General Enabling Provision The Council of Members may determine any matter, for which it has delegated or statutory authority, it wishes in full session within its statutory powers.	✓				
2 REGULATION AND CONTROL	Constitution Approve material changes to the Constitution and Standing Orders. Approve any changes to the Scheme of Reservation and Delegation that impact upon matters reserved to the Membership.	✓	Immaterial changes and changes not impacting upon matters reserved to the Membership may be made by the AO with the Governing Body.			
3 REGULATION AND CONTROL	Annual Reports and Accounts Receipt of the CCG's Annual Report and Annual Accounts	✓				

Policy Area	Decision	Reserved to the Membership/ Council of Members	Reserved or delegated to the Governing Body	Delegated to a Committee	Accountable Officer	Other
4 REGULATION AND CONTROL	Approval of Annual Report & Accounts		✓			On recommendation of the Audit & Assurance Committee
5 REGULATION AND CONTROL	<p>The Governing Body has six key functions for which it is held accountable by NHS England 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 the high standards of integrated governance and personal behaviour are maintained in the conduct of the business of the whole organisation; 3. To appoint, appraise and remunerate senior executives; 4. To approve the strategic direction of the 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; 5. To oversee the delivery of planned results by monitoring performance against objectives and ensuring corrective action is taken when necessary; 		✓			

Policy Area	Decision	Reserved to the Membership/ Council of Members	Reserved or delegated to the Governing Body	Delegated to a Committee	Accountable Officer	Other
	6. To ensure that there is an effective dialogue between the organisation and the local community on its plans and performance and that these are responsive to the community's needs.					
6 REGULATION AND CONTROL	<p>Prepare and approve the Group's overarching Scheme of Reservation and Delegation, which sets out those decisions of the Group reserved to the membership and those delegated to the:</p> <ul style="list-style-type: none"> - Group's Governing Body - Committees and sub-committees of the Group, or - Its members or employees <p>And sets out those decisions of the Governing Body reserved to the Governing Body and those delegated to the:</p> <ul style="list-style-type: none"> - Governing Body's committees and sub-committees; - Members of the Governing Body; - An individual who is a member of the Group but not the Governing Body or a specified person for inclusion in the Groups' constitution. 		✓			

Policy Area	Decision	Reserved to the Membership/ Council of Members	Reserved or delegated to the Governing Body	Delegated to a Committee	Accountable Officer	Other
7 REGULATION AND CONTROL	Exercise or delegation of those functions of the Group which have not been retained as reserved by the Group, delegated to the Governing Body or other committee or sub-committee or (specified) member or employee.				✓	
8 REGULATION AND CONTROL	Vary and approve immaterial changes to the Standing Orders (SOs), Scheme of Reservation & Delegation, Terms of Reference and Prime Financial Policies/SFIs/Financial Limits for the regulation of its proceedings and business.		✓			
9 REGULATION AND CONTROL	Suspend Standing Orders.		✓			Report to subsequently be provided to Audit & Assurance Committee
10 REGULATION AND CONTROL	Require and receive the declaration of Governing Body 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.		✓			

Policy Area	Decision	Reserved to the Membership/ Council of Members	Reserved or delegated to the Governing Body	Delegated to a Committee	Accountable Officer	Other
11 REGULATION AND CONTROL	Adopt the organisation structures, processes and procedure to facilitate the discharge of business by the CCG and to agree modifications thereto.		✓			
12 REGULATION AND CONTROL	Receive reports from committees including those that the CCG is required by the Secretary of State or other regulation to establish and to action appropriately.		✓			
13 REGULATION AND CONTROL	Confirm the recommendations of the CCG's committees where the committees do not have executive powers.		✓			
14 REGULATION AND CONTROL	Establish terms of reference and reporting arrangements of all committees and sub-committees that are established by the Governing Body.		✓			
15 REGULATION AND CONTROL	Discipline members of the Governing Body or employees who are in breach of statutory requirements or SOs.		✓			

Policy Area	Decision	Reserved to the Membership/ Council of Members	Reserved or delegated to the Governing Body	Delegated to a Committee	Accountable Officer	Other
16 REGULATION AND CONTROL	Ratify any urgent decisions taken in accordance with the Standing Orders.		✓			
17 REGULATION AND CONTROL	Set out who can execute a document by signature/use of the seal.		✓			
18 REGULATION AND CONTROL	Approve the appointment (and where necessary dismissal) of External Auditors (taking advice from the Audit Committee in fulfilling its role as Auditor Panel.)		✓			
19 REGULATION AND CONTROL	Receive the annual management letter received from the External Auditor taking account of the advice, where appropriate, of the Audit Committee.		✓			
20 REGULATION AND CONTROL	Receive an annual report from the Internal Auditor (Head of Internal Audit Opinion) and agree action on recommendations where appropriate. This would be reported to the Governing Body via the minutes of the CCG Audit Committee.			Audit and Assurance Committee		

Policy Area	Decision	Reserved to the Membership/ Council of Members	Reserved or delegated to the Governing Body	Delegated to a Committee	Accountable Officer	Other
21 REGULATION AND CONTROL	Approve the Group's counter fraud and security management arrangements.			Audit and Assurance Committee		
22 REGULATION AND CONTROL	Review the establishment and maintenance of an effective system of internal control, including the approach to integrated governance, managing conflicts of interest and risk management.			Audit and Assurance Committee		
23 REGULATION AND CONTROL	Review and recommend for approval by the Governing Body the annual financial statements, annual report and the Annual Governance Statement.			Audit and Assurance Committee		
24 MEMBERSHIP	<p>Practice representation:</p> <p>Approve the arrangements for:</p> <ul style="list-style-type: none"> - Identifying practice members to represent practices in matters concerning the work of the Group, and - Nominating and electing (if required) healthcare professionals to represent the Group's membership on the Group's Governing Body, for example through election. 	✓				

Policy Area	Decision	Reserved to the Membership/ Council of Members	Reserved or delegated to the Governing Body	Delegated to a Committee	Accountable Officer	Other
<p>25</p> <p>REGULATION AND CONTROL</p>	<p>Appointments/Dismissal</p> <ol style="list-style-type: none"> 1. Elect the Chair of the Governing Body (in accordance with the Constitution) 2. Appoint the Deputy Chair of the Governing Body. 3. Appoint and dismiss other committees (and individual members) that are directly accountable to the Governing Body. 4. Confirm appointment of members of any committee of the CCG as representatives on outside bodies. 5. Approval proposals of the Remuneration Committee. 	(1)	2-5 ✓			
<p>26</p> <p>COMMISSIONING AND CONTRACTING FOR CLINICAL SERVICES</p>	<p>Make decisions and approve actions in relation to the commissioning of primary care services operating within the agreed Terms of Reference and Delegation Agreement.</p>			<p>Primary Care Commissioning Committee</p>		

Policy Area	Decision	Reserved to the Membership/ Council of Members	Reserved or delegated to the Governing Body	Delegated to a Committee	Accountable Officer	Other
27 COMMISSIONING AND CONTRACTING FOR CLINICAL SERVICES	Consider and decide on exceptional funding requests (IFR) on the basis of the information provided.			Funding Panel The Nominated GP member has delegated authority to act on behalf of the CCG in the joint Funding Panel with the Governing Body retaining liability.		
28 COMMISSIONING AND CONTRACTING FOR CLINICAL SERVICES	Consider and decide upon continuing healthcare packages across the collaborative CCG arrangement, as outlined in the Memorandum of Understanding. Must be in line with Financial Limits appended to the Constitution.		In line with financial limits appended to the Constitution			Governing Body Registered Nurse (as per MOU) or Executive Lead for CHC High Cost Case Panel

Policy Area	Decision	Reserved to the Membership/ Council of Members	Reserved or delegated to the Governing Body	Delegated to a Committee	Accountable Officer	Other
						In line with Financial Limits appended to the Constitution
29 COMMISSIONING AND CONTRACTING FOR CLINICAL SERVICES	<p>North East and Cumbria Joint Committee</p> <p>Refer to approved Terms of Reference: (Determine the method and scope of the Option Appraisal; Approval of consultation plan; Approval of outcome from consultation; Approve the decisions about the future service configuration and service change.)</p>			North East and Cumbria Joint Committee		
30 COMMISSIONING AND CONTRACTING FOR CLINICAL	Approve arrangements for co-ordinating the commissioning of services with other groups and or with the local authority(ies), where appropriate			North East and Cumbria Joint Committee		

Policy Area	Decision	Reserved to the Membership/ Council of Members	Reserved or delegated to the Governing Body	Delegated to a Committee	Accountable Officer	Other
SERVICES						
31 COMMISSIONING AND CONTRACTING FOR CLINICAL SERVICES	Make decisions and approve actions in relation to subjects recommended to it by the Northern CCG Forum, operating within the terms of the Joint Committee's Terms of Reference agreed by the Governing Body.			North East and Cumbria Joint Committee		
32 COMMISSIONING AND CONTRACTING FOR CLINICAL SERVICES	Operating within its Terms of Reference (as approved by the Governing Body), make decisions normally delegated to the Governing Bodies where those decisions must be made together to ensure a consistent and efficient approach to the commissioning of services that meet the needs of the populations served by the southern collaborative CCGs. This will include arranging formal public consultation in relation to service reconfiguration.			Joint Committee of Southern Collaborative CCGs		
33 STRATEGY AND	Agree the vision, values, overall strategic direction and objectives of the Group.		✓			

Policy Area	Decision	Reserved to the Membership/ Council of Members	Reserved or delegated to the Governing Body	Delegated to a Committee	Accountable Officer	Other
PLANNING						
34 STRATEGY AND PLANNING	Identify the key strategic risks, evaluate them and ensure adequate responses are in place and are monitored via the Assurance Framework.		✓			
35 STRATEGY AND PLANNING	Approve plans in respect of the application of available financial resources to support the agreed Commissioning Plan.		✓			
36 STRATEGY AND PLANNING	Approve the CCG annual commissioning strategy or plan.		✓			
37 STRATEGY AND PLANNING	Approval of the CCG's corporate budgets that meet its financial duties.		✓			
38 STRATEGY AND PLANNING	Approve variations to the approved budget where variation would have a significant impact on the overall approved levels of income and expenditure or the Group's ability to achieve its strategic aims.		✓			

Policy Area	Decision	Reserved to the Membership/ Council of Members	Reserved or delegated to the Governing Body	Delegated to a Committee	Accountable Officer	Other
39 STRATEGY AND PLANNING	Approve the CCG's Organisational Development Strategy.		✓			
40 OPERATIONAL	Approval of a comprehensive system of internal control, including budgetary control that underpins the effective, efficient and economic operation of the CCG.			Executive Committee		
41 OPERATIONAL	Approve the CCG's banking arrangements				✓	
42 OPERATIONAL	Approve proposals in individual cases for the write off of losses or making of special payments above the limits of delegation of the AO and Chief Finance Officer.			Report to Audit and Assurance Committee		✓ in line with financial limits paper
43 OPERATIONAL	Approve arrangements for action on litigation against or on behalf of the CCG.			Executive Committee		
44 OPERATIONAL	Approve proposals for practice incentive schemes, having regard to guidance by the Secretary of State, whilst taking into account the provisions within the Constitution in relation to conflicts of interest and decision making.			Executive Committee		

Policy Area	Decision	Reserved to the Membership/ Council of Members	Reserved or delegated to the Governing Body	Delegated to a Committee	Accountable Officer	Other
45 OPERATIONAL	Approve management policies (including: corporate policies, human resources policies, information governance policies, complaints policy, safeguarding and quality policies and health and safety policies).				<p style="text-align: center;">✓</p> <p style="text-align: center;">With ratification via Executive Committee</p> <p style="text-align: center;">HR Policies to be recommended via HR Partnership Forum.</p>	
46 OPERATIONAL	Oversight of the Group's arrangements for, and responses to, business continuity and emergency planning.			Executive Committee		
47 OPERATIONAL	Monitor the management of risks to the CCG.			Executive Committee		
48 OPERATIONAL	Monitoring the arrangements for information governance.			Audit and Assurance Committee and Executive Committee		Senior Information Risk Owner and Caldicott Guardian

Policy Area	Decision	Reserved to the Membership/ Council of Members	Reserved or delegated to the Governing Body	Delegated to a Committee	Accountable Officer	Other
						for specific duties in line with the established role.
49 OPERATIONAL	Approve arrangements for risk sharing and/or risk pooling with other organisations (eg. Pooled funds with other CCGs or pooled budget arrangements under S75)		✓			
50 TENDERING AND CONTRACTING	Approval of the CCG's contracts for commissioning support services.		✓			
51 TENDERING AND CONTRACTING	Approval of procurement strategies and recommended bidder reports in line with delegated limits.			Executive Committee		
52 HUMAN RESOURCES	a. Make recommendations to the Governing Body on determinations about pay and remuneration (including pensions and gratuities) for senior employees of the clinical commissioning group and people who		Decision reserved to GB ✓	a.Recommended by Remuneration Committee. b. Recommended by Panel		

Policy Area	Decision	Reserved to the Membership/ Council of Members	Reserved or delegated to the Governing Body	Delegated to a Committee	Accountable Officer	Other
	<p>provide services to the clinical commissioning group and allowances under any pension scheme it might establish as an alternative to the NHS pension scheme.</p> <p>b. Make recommendations to the Governing Body on determinations about pay and remuneration for Lay Members and Secondary Care Doctor.</p>			established by the Governing Body		
53 HUMAN RESOURCES	Reviewing the performance of the Accountable Officer					CCG Chair, reporting into the Remuneration Committee
54 HUMAN RESOURCES	Considering the severance payments of the Accountable Officer or employees, seeking HM Treasury approval as appropriate in accordance with the guidance 'Managing Public Money'.		Decision reserved to GB ✓	Recommended by Remuneration Committee		
55 QUALITY AND PATIENT SAFETY	Ensure arrangements are in place to minimise clinical risk (including safeguarding vulnerable adults and children), maximise patient safety and to secure continuous improvement in quality and patient			Quality Committee and Executive Committee		

Policy Area	Decision	Reserved to the Membership/ Council of Members	Reserved or delegated to the Governing Body	Delegated to a Committee	Accountable Officer	Other
	outcomes.					
56 QUALITY AND PATIENT SAFETY	Approve arrangements for supporting NHSE and in discharging its responsibilities in relation to securing continuous improvement in the quality of general medical practice.				✓ Function discharged by the Accountable Officer and the specific lead officer delegated by the AO	
57 Accountable Officer Memorandum	Ensure compliance with all elements of the Accountable Officer Memorandum.				✓	

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