

Functions, Duties and Scheme of Reservation and Delegation

1. Functions and General Duties of the CCG

1.1 The functions that the group is responsible for exercising are largely set out in the 2006 Act, as amended by the 2012 Act. An outline of these appears in the Department of Health's *Functions of clinical commissioning groups: a working document*. They relate to:

- commissioning certain health services (where the NHS Commissioning Board is not under a duty to do so) that meet the reasonable needs of:
 - all people registered with member GP practices, and
 - people who are usually resident within the area and are not registered with a member of any clinical commissioning group;
- commissioning emergency care for anyone present in the group's area;
- paying its employees' remuneration, fees and allowances in accordance with the determinations made by its governing body and determining any other terms and conditions of service of the group's employees;
- determining the remuneration and travelling or other allowances of members of its governing body.

1.2 Specifically, in discharging its functions the CCG will:

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- a) act¹, when exercising its functions to commission health services, consistently with the discharge by the Secretary of State and the NHS Commissioning Board of their duty to promote a comprehensive health service² and with the objectives and requirements placed on the NHS Commissioning Board through *the mandate*³ published by the Secretary of State before the start of each financial year;
- b) meet the public sector equality duty⁴;
- c) work in partnership with its local authority[ies] to develop joint strategic needs assessments⁵ and joint health and wellbeing strategies⁶;
- d) make arrangements to secure public involvement in the planning, development and consideration of proposals for changes and decisions affecting the operation of commissioning arrangements⁷;
- e) Promote awareness of, and act with a view to securing that health services are provided in a way that promotes awareness of, and have regard to the NHS Constitution⁸;
- f) act effectively, efficiently and economically⁹;
- g) act with a view to securing continuous improvement to the quality of services¹⁰ ;

¹ See section 3(1F) of the 2006 Act, inserted by section 13 of the 2012 Act

² See section 1 of the 2006 Act, as amended by section 1 of the 2012 Act

³ See section 13A of the 2006 Act, inserted by section 23 of the 2012 Act

⁴ See section 149 of the Equality Act 2010, as amended by paragraphs 184 and 186 of Schedule 5 of the 2012 Act

⁵ See section 116 of the Local Government and Public Involvement in Health Act 2007, as amended by section 192 of the 2012 Act

⁶ See section 116A of the Local Government and Public Involvement in Health Act 2007, as inserted by section 191 of the 2012 Act

⁷ See section 14Z2 of the 2006 Act, inserted by section 26 of the 2012 Act

⁸ See section 14P of the 2006 Act, inserted by section 26 of the 2012 Act and section 2 of the Health Act 2009 (as amended by 2012 Act)

⁹ See section 14Q of the 2006 Act, inserted by section 26 of the 2012 Act

¹⁰ See section 14R of the 2006 Act, inserted by section 26 of the 2012 Act

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- h) assist and support the NHS Commissioning Board in relation to the Board's duty to improve the quality of primary medical services¹¹;
- i) have regard to the need to reduce inequalities¹²;
- j) Promote the involvement of patients, their carers and representatives in decisions about their healthcare¹³;
- k) act with a view to enabling patients to make choices¹⁴;
- l) Obtain appropriate advice¹⁵ from persons who, taken together, have a broad range of professional expertise in healthcare and public health;
- m) Promote innovation¹⁶;
- n) Promote research and the use of research¹⁷;
- o) have regard to the need to promote education and training¹⁸ for persons who are employed, or who are considering becoming employed, in an activity which involves or is connected with the provision of services as part of the health service in England so as to assist the Secretary of State for Health in the discharge of his related duty¹⁹;
- p) act with a view to promoting integration of *both* health services with other health services *and* health services

¹¹ See section 14S of the 2006 Act, inserted by section 26 of the 2012 Act

¹² See section 14T of the 2006 Act, inserted by section 26 of the 2012 Act

¹³ See section 14U of the 2006 Act, inserted by section 26 of the 2012 Act

¹⁴ See section 14V of the 2006 Act, inserted by section 26 of the 2012 Act

¹⁵ See section 14W of the 2006 Act, inserted by section 26 of the 2012 Act

¹⁶ See section 14X of the 2006 Act, inserted by section 26 of the 2012 Act

¹⁷ See section 14Y of the 2006 Act, inserted by section 26 of the 2012 Act

¹⁸ See section 14Z of the 2006 Act, inserted by section 26 of the 2012 Act

¹⁹ See section 1F(1) of the 2006 Act, inserted by section 7 of the 2012 Act

with health-related and social care services where the group considers that this would improve the quality of services or reduce inequalities²⁰.

2 Functions of the CCG's Governing Body

2.1 The governing body has the following functions conferred on it by sections 14L(2) and (3) of the 2006 Act, inserted by section 25 the 2012 Act, together with any other functions connected with its main functions as may be specified in regulations and in the constitution²¹. The governing body has responsibility for:

- a) ensuring that the group has appropriate arrangements in place to exercise its functions *effectively, efficiently and economically* and in accordance with the groups *principles of good governance*²² (its main function);
- b) determining the remuneration, fees and other allowances payable to employees or other persons providing services to the group and the allowances payable under any pension scheme it may establish under paragraph 11(4) of Schedule 1A of the 2006 Act, inserted by Schedule 2 of the 2012 Act;
- c) approving any functions of the group that are specified in regulations²³.

3 Schedule of Matters Reserved to the Clinical Commissioning Group and Scheme of Delegation

²⁰ See section 14Z1 of the 2006 Act, inserted by section 26 of the 2012 Act

²¹ See section 14L(3)(c) of the 2006 Act, as inserted by section 25 of the 2012 Act

²² See section 4.4 on Principles of Good Governance above

²³ See section 14L(5) of the 2006 Act, inserted by section 25 of the 2012 Act

- 3.1 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.
- 3.2 The CCG remains accountable for all of its functions, including those that it has delegated.

Policy Area	Decision	Reserved to the Membership (and enacted through their representatives at general meetings of member practices)	Reserved or delegated to Governing Body	Delegated to a Committee or Sub-Committee	Delegated to Accountable Officer	Delegated to Chief Finance Officer	Delegated to others
REGULATION AND CONTROL	Determine the arrangements by which the members of the group approve those decisions that are reserved for the membership.	✓					
REGULATION AND CONTROL	Consideration and approval of applications to the NHS Commissioning Board on any matter concerning changes to the group’s constitution, including terms of reference for the group’s governing body, its committees, membership of committees, the overarching scheme of reservation and delegated powers, arrangements for taking urgent decisions, standing orders and	✓					

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	prime financial policies.						
REGULATION AND CONTROL	Approve Constitution	✓					
REGULATION AND CONTROL	Exercise or delegation of those functions of the clinical commissioning 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				✓		
REGULATION AND CONTROL	Prepare for review by the Governing Body the group's overarching scheme of reservation and delegation, which sets out those decisions of the group <u>reserved</u> to the membership and those <u>delegated</u> to the <ul style="list-style-type: none"> • group's Governing Body • committees and sub-committees of the group, or • its members or employees 				✓		

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	<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"> • governing body's committees and sub-committees, • members of the governing body, • an individual who is member of the group but not the governing body or a specified person <p>for inclusion in the group's constitution.</p>						
REGULATION AND CONTROL	Approval of the group's overarching scheme of reservation and delegation.		✓				
REGULATION AND CONTROL	Prepare the group's operational scheme of delegation, which sets out those key operational decisions delegated to individual employees of the clinical commissioning				✓		

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	group, not for inclusion in the group's constitution.						
REGULATION AND CONTROL	Approval of the group's operational scheme of delegation that underpins the group's 'overarching scheme of reservation and delegation' as set out in its constitution.		✓				
REGULATION AND CONTROL	Prepare detailed financial policies that underpin the clinical commissioning group's prime financial policies.					✓	
REGULATION AND CONTROL	Approve prime financial policies (within Constitution)	✓					
REGULATION AND CONTROL	Approve detailed financial policies.			✓ Audit and Risk Committee			
REGULATION AND CONTROL	Approval of policies not specified elsewhere in this scheme of delegation			✓ Quality and Safety Committee and Executive Committee			

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REGULATION AND CONTROL	Approve arrangements for managing exceptional funding requests.			✓			
REGULATION AND CONTROL	Approve exceptional funding requests (within financial delegated limits).			✓ Individual members appointed to make decisions on behalf of the CCG via joint Individual Funding Request Panel (i.e. Governing Body Lay Members and the Chief Finance Officer)			
REGULATION AND CONTROL	Set out who can execute a document by signature / use of the seal	✓ In approving standing orders			✓ To authorise specific senior managers to execute a document by signature /use of the seal		

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PRACTICE MEMBER REPRESENTATIVES	Approve the arrangements for <ul style="list-style-type: none"> identifying practice members to represent practices in matters concerning the work of the group; and appointing clinical leaders to represent the group's membership on the group's governing body, for example through election (if desired). 	✓					
PRACTICE MEMBER REPRESENTATIVES	Approve the appointment of governing body members		✓				
PRACTICE MEMBER REPRESENTATIVES	Approve the process for recruiting and removing non-elected members to the governing body (subject to any regulatory requirements) and succession planning.			✓ Remuneration Committee			
PRACTICE MEMBER	Approve arrangements for identifying the group's	✓					

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REPRESENTATIVES	proposed accountable officer.						
STRATEGY AND PLANNING	Agree the vision, values and overall strategic direction of the group.		✓ Having regard to the views of Members of the CCG				
STRATEGY AND PLANNING	Approval of the group's operating structure.		✓				
STRATEGY AND PLANNING	Approval of the group's commissioning plan.		✓ Having regard to the views of Members of the CCG				
STRATEGY AND PLANNING	Approval of the group's corporate budgets that meet the financial duties as set out in section 5.3 of the main body of the constitution.		✓				
STRATEGY AND PLANNING	Approval of variations to the approved budget where variation would		✓				

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	have a significant impact on the overall approved levels of income and expenditure or the group's ability to achieve its agreed strategic aims.						
ANNUAL REPORTS AND ACCOUNTS	Approval of the group's annual report and annual accounts.		✓				
ANNUAL REPORTS AND ACCOUNTS	Approval of the arrangements for discharging the group's statutory financial duties.	✓ In approving Constitution					
HUMAN RESOURCES	Approve the arrangements for determining the terms and conditions, remuneration and travelling or other allowances for governing body members, including pensions and gratuities.	✓ In approving terms of reference of Remuneration Committee					
HUMAN RESOURCES	Approve the terms and conditions, remuneration and travelling or other allowances for governing body members, including pensions and gratuities.			✓ Remuneration Committee			

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HUMAN RESOURCES	Approve terms and conditions of employment for all employees of the group including, pensions, remuneration, fees and travelling or other allowances payable to employees and to other persons providing services to the group.			✓ Remuneration Committee			
HUMAN RESOURCES	Approve any other terms and conditions of services for the group's employees.			✓ Remuneration Committee			
HUMAN RESOURCES	Determine the terms and conditions of employment for all employees of the group.			✓ Remuneration Committee			
HUMAN RESOURCES	Determine pensions, remuneration, fees and allowances payable to employees and to other persons providing services to the group.			✓ Remuneration Committee			
HUMAN RESOURCES	Recommend pensions, remuneration, fees and			✓ Remuneration			

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	allowances payable to employees and to other persons providing services to the group.			Committee			
HUMAN RESOURCES	Approve disciplinary arrangements for employees, including the accountable officer (where he/she is an employee or member of the clinical commissioning group) and for other persons working on behalf of the group.		✓				
HUMAN RESOURCES	Review disciplinary arrangements where the accountable officer is an employee or member of another clinical commissioning group		✓				
HUMAN RESOURCES	Approval of the arrangements for discharging the group's statutory duties as an employer.	✓ In approving Constitution					
HUMAN	Approve human						

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RESOURCES	resources policies for employees and for other persons working on behalf of the group			✓ Executive Committee			
QUALITY AND SAFETY	Approve arrangements, including supporting policies, to minimise clinical risk, maximise patient safety and to secure continuous improvement in quality and patient outcomes.		✓	✓ Oversight and Scrutiny to Quality and Safety Committee			
QUALITY AND SAFETY	Approve arrangements for supporting the NHS Commissioning Board in discharging its responsibilities in relation to securing continuous improvement in the quality of general medical services.		✓	✓ Oversight and Scrutiny to Quality and Safety Committee			
QUALITY AND SAFETY	Approval of clinical, quality and safety strategies and policies			✓ Quality and Safety Committee			
OPERATIONAL AND RISK MANAGEMENT	Prepare and recommend an operational scheme of delegation that sets out who has responsibility for				✓		

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	operational decisions within the group.						
OPERATIONAL AND RISK MANAGEMENT	Approve an operational scheme of delegation that sets out who has responsibility for operational decisions within the group.		✓				
OPERATIONAL AND RISK MANAGEMENT	Approve the group's counter fraud and security management arrangements.			✓ Audit and Risk Committee			
OPERATIONAL AND RISK MANAGEMENT	Approval of the group's risk management arrangements.		✓ Through approval of risk management strategy and underpinning policies	✓ Determination, oversight and scrutiny by the Audit and Risk Committee			
OPERATIONAL AND RISK MANAGEMENT	Approve arrangements for risk sharing and or risk pooling with other organisations (for example arrangements for pooled funds with other clinical commissioning groups or		✓				

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	pooled budget arrangements under section 75 of the NHS Act 2006).						
OPERATIONAL AND RISK MANAGEMENT	Approval of a comprehensive system of internal control, including budgetary control, that underpin the effective, efficient and economic operation of the group.			✓ Audit and Risk Committee			
OPERATIONAL AND RISK MANAGEMENT	Approve arrangements for action on litigation against or on behalf of the clinical commissioning group.		✓				
OPERATIONAL AND RISK MANAGEMENT	Approve the group's arrangements for business continuity and emergency planning.		✓ Approval of business continuity plan	✓ Executive Committee			
OPERATIONAL AND RISK MANAGEMENT	Approve the group's arrangements for handling complaints.		✓ Approval of complaints policy	✓ Executive Committee			
INFORMATION GOVERNANCE	Approval of the arrangements for			✓			

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	information governance, ensuring appropriate and safekeeping and confidentiality of records and for the storage, management and transfer of information and data.			Executive Committee			
TENDERING AND CONTRACTING	Approval of the group's contracts for any commissioning support.		✓				
TENDERING AND CONTRACTING	Approval of the group's contracts for corporate support (for example finance provision).		✓				
PARTNERSHIP WORKING	Approve decisions that individual members or employees of the group participating in joint arrangements on behalf of the group can make. Such delegated decisions must be disclosed in this scheme of reservation and delegation and are set out in the sections below.		✓				
PARTNERSHIP	Decisions in accordance			✓			

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WORKING	with the ToR of the ONE Partnership Forum including approval of HR policies			Executive Committee			
PARTNERSHIP WORKING	Decisions on high cost cancer drugs in line with ToR of the North East Cancer Drugs Approval Group and in line with the financial scheme of delegation			✓ North East Cancer Drugs Approval Group			✓ Medical Director
PARTNERSHIP WORKING	Approve decisions delegated to joint committees established under section 75 of the 2006 Act.	✓		✓ ATB Commissioning Group Health and Wellbeing Board			
COMMISSIONING AND CONTRACTING FOR CLINICAL SERVICES	Approval of the arrangements for discharging the group'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	✓	✓ Exercise of the functions discharged on behalf of the membership where named in the Constitution	✓ Exercise of the functions discharged on behalf of the Governing Body, by the committee where named in Constitution	✓ Exercise of the functions discharged on behalf of the Governing Body by the Accountable Officer and the specific lead officer (as		

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Policy Area	Decision	Reserved to the Membership (and enacted through their representatives at general meetings of member practices)	Reserved or delegated to Governing Body	Delegated to a Committee or Sub-Committee	Delegated to Accountable Officer	Delegated to Chief Finance Officer	Delegated to others
	quality of services, obtaining appropriate advice and public engagement and consultation.				delegated by the Accountable Officer), to oversee its discharge in line with the Accountable Officer's operational scheme of delegation		
COMMISSIONING AND CONTRACTING FOR CLINICAL SERVICES	Approve arrangements for co-ordinating the commissioning of services with other groups and or with the local authority(ies), where appropriate	✓					
COMMISSIONING AND CONTRACTING FOR CLINICAL SERVICES	Decisions to be taken in the delivery of the CCG's overall management, to support the CCG to work efficiently, effectively and economically, ensuring effective clinical engagement and promoting the involvement of all member practices in the work of the CCG in			✓ Executive Committee/ CICP Joint Acute Commissioning Committee			

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	securing improvements in commissioning of care and services.						
COMMISSIONING AND CONTRACTING FOR GENERAL PRACTICE SERVICES	Exercise the functions relating to the commissioning of primary medical care services under section 83 of the NHS Act and in accordance to the delegation by NHS England			✓ Primary Care Commissioning Committee			
COMMUNICATIONS	Approving arrangements for handling Freedom of Information requests.			✓ Executive Committee			
COMMUNICATIONS	Determining arrangements for handling Freedom of Information requests.				✓		

4 Financial Scheme of Delegation for the CCG Officers and Functions

4.1 The following are the financial limits up to which officers of the CCG may exercise executive functions:

Administrative Budgets	
Managers (Band 7 to 8a)	Amounts up to £5,000
Senior managers (Band 8b-d)	Amounts up to £25,000
Individual directors	Amounts up to £200,000
Accountable Officer plus the Chief Finance Officer	Amounts up to £500,000
Accountable Officer plus the Chief Finance Officer plus the Chair of the CCG Governing Body	Amounts up to £1,000,000
Executive Committee	Amounts up to £1,999,999
Governing Body	Amounts above £2,000,000
Commissioning Budgets and Functions	
Nominated North East Commissioning Support (NECS) Officers for non-contract activity and individual funding requests	Amounts up to £1,000
Managers (Band 7 to 8a)	Amounts up to £5,000
Senior managers (Band 8b-d)	Amounts up to £25,000
Individual directors/deputy directors	Amounts up to £200,000
Accountable Officer plus the Chief Finance Officer	Amounts up to £1,000,000
Accountable Officer plus the Chief Finance Officer plus the Chair of the CCG Governing Body	Amounts up to £2,000,000
Primary Care Commissioning Committee	Amounts up to £499,999

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Executive Committee	Amounts up to £4,999,999
Central ICP Joint Acute Commissioning Committee	Amounts up to £10,000,000*
Governing Body	Amounts above £5,000,000

**NB: This is a combined limit of County Durham, South Tyneside and Sunderland CCGs and each CCG must be appropriately represented at any meeting of the Committee where a decision is to be made. The quoracy arrangements as set out in the Committee's terms of reference must be met for the above combined limit to apply.*

5. Maximum Authorisation Limits for approving invoices in the Oracle Finance Ledger System

- 5.1 Certain officers within the CCG have the authority to authorise invoices in the Oracle finance system in line with the financial scheme of delegation detailed in the above paper.
- 5.2 In addition the following roles (and therefore officers) have been set up in the Oracle finance system with additional authority to allow the processing and authorising of invoices in the finance ledger system. These exceptions only apply for orders that have been approved in line with the financial scheme of delegation. For the purposes of clarity, the names of the current postholders have been included:

Position	Officer	Invoice /Purchase orders and approved Limits	Rationale
Accountable Officer	Dr N O'Brien	£200,000,000	Requires ability to approve large invoices
Deputy Chief Officer and Chief Finance	D Chandler	£200,000,000	Requires ability to approve large invoices
Director of Nursing, Quality and Safety	A Fox	£200,000,000	Requires ability to approve large invoices

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Director of Contracting and Informatics	S Watson	£200,000,000	Requires ability to approve large invoices
Medical Director	C Bradford	£200,000,000	Requires ability to approve large invoices
Director of People and Primary Care	C Nesbit	£200,000,000	Requires ability to approve large invoices
Associate Director of Finance	T Lake	£200,000,000	Emergency cover for the above officers
Deputy Director of Nursing	D Lagun	£200,000	Emergency cover for Director of Nursing, Quality and Safety to approve packages of care
Senior Commissioning Manager (Mental Health, LD & autism)	L Reiling	£52,000	To approve standard packages of care, invoices/orders
Head of Continuing Healthcare and Complex Care	V McGurk	£79,000	To approve continuing care package invoices/orders
Programme Manager – Continuing Healthcare	L Cooper	£52,000	To approve standard continuing care package, invoices/orders
Continuing Healthcare Clinical Leads	J Keith P Fishburn	£52, 000	To approve standard continuing care package, invoices/orders and provide emergency cover for the Programme Manager – Continuing Healthcare
Head of Contracting and	M Thubron	£50,000	Receives a large number of invoices/orders

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Performance			
Contract Manager / Accountant	C Miller R Crowe	£25,000	Receives a large number of invoices/orders
Involvement and Engagement Lead	L Anderson	£5,000	Requires ability to approve purchase orders and larger invoices
Executive Assistant to Deputy Chief Officer and Chief Finance Officer	J Leadbitter	£3,000	Requires ability to approve purchase orders and invoices
Admin Team Manager	K Jobson	£3,000	Requires ability to approve purchase orders and invoices
Engagement Officer	A Sharmeen	£1,000	Requires ability to approve purchase orders and invoices
Personal assistants to CCG Executives	E Hardy J Thwaites N Riddle	£1,000	Requires ability to approve purchase orders and invoices/ cover for PA to Chief Officer

6. All Together Better Executive Group General Duties, Functions, Key Principles and Scheme of Delegation

6.1 General Duties

- 6.1.1 In February 2018, NHS Sunderland CCG (the CCG) made a decision to secure a multi-specialty community provider (MCP) collaboration business model via an alliance approach, supported initially through a compact for collaboration and subsequently by an alliance executive, with alliance principles being incorporated into each contract commissioned by the CCG.
- 6.1.2 The All Together Better (ATB) Executive Group will be utilised to achieve the outcomes in the CCG's MCP prospectus and focus on person-centred proactive and coordinated care to support the appropriate use of health and care services, improve patient and carer experience and outcomes, ensuring people will live longer with better quality of life.

6.2 Functions

- 6.2.1 The ATB Executive Group has been established as an independent alliance to undertake and be principally responsible for overall integrated delivery, performance, outcomes and system-wide overview of:
- general practice; and
 - mental health, learning disability and autism services;
 - enhanced primary and community care services;
 - intermediate and urgent care services to all in Sunderland "the Services";

N.B. For the avoidance of doubt the principal responsibilities detailed in 2.1 above are not to be construed as replacing the co-commissioning contracting and governance arrangements in place between NHS England, the CCG and General Practice.

6.3 Key Principles

The ATB Executive Group will be expected to adhere to the following principles when undertaking the functions as set out in section 2 above:

- Ability to transfer money
- Being impartial
- Ability to take a system wide view
- Ability to set parameters for the four programmes
- Ability to allocate efficiencies/savings appropriately
- Support failing contracts
- Managing contracts (but not varying or ending them)
- Complying with competition rules

6.4 All Together Better (ATB) Executive Group Scheme of Delegation

Policy Area	Decision	Reserved to Governing Body/ Appropriate Sub Committee*	Delegated to All Together Better Executive Group	Delegated to General Practice Programme Sub Group	Delegated to Enhanced Primary & Community Care Programme Sub Group	Delegated to Intermediate and Urgent Care programme Sub Group	Delegated to Mental Health, LD and Autism Programme Sub Group
REGULATION AND CONTROL	Approve arrangements to ensure the ATB Executive Group properly and fully perform all delegated functions in accordance with the CCG's scheme of reservation and	✓					

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Policy Area	Decision	Reserved to Governing Body/ Appropriate Sub Committee*	Delegated to All Together Better Executive Group	Delegated to General Practice Programme Sub Group	Delegated to Enhanced Primary & Community Care Programme Sub Group	Delegated to Intermediate and Urgent Care programme Sub Group	Delegated to Mental Health, LD and Autism Programme Sub Group
REGULATION AND CONTROL	delegation. Consideration and approval of the ATB Executive Group terms of reference and scheme of delegation (following approval by all ATB partner boards).	✓					
REGULATION AND CONTROL	Make decisions on any matters which fall within the statutory functions of the CCG.	✓					
PRINCIPLE FUNCTIONS	Approve arrangements and be principally responsible for the overall integrated delivery, performance, outcomes and system-wide overview of general practice; mental health and learning disability and autism services; enhanced primary and community care services; intermediate and urgent care services in Sunderland –‘the Services’.	✓ Oversight and assurance	✓				

Policy Area	Decision	Reserved to Governing Body/ Appropriate Sub Committee*	Delegated to All Together Better Executive Group	Delegated to General Practice Programme Sub Group	Delegated to Enhanced Primary & Community Care Programme Sub Group	Delegated to Intermediate and Urgent Care programme Sub Group	Delegated to Mental Health, LD and Autism Programme Sub Group
	For the avoidance of doubt the principal responsibilities detailed above are not to be construed as replacing the co-commissioning contracting and governance arrangements in place between NHS England, the CCG and General Practice.						
PRINCIPLE FUNCTIONS	Approve arrangements to ensure the ATB Executive Group and its representatives and members act in a manner which is consistent with and in compliance with the Law, applicable guidance, direction, determination, consents, CCG policies and all other relevant policies, the CCG discharging its statutory duties and other functions, in accordance with Good	✓ Oversight and assurance	✓				

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Policy Area	Decision	Reserved to Governing Body/ Appropriate Sub Committee*	Delegated to All Together Better Executive Group	Delegated to General Practice Programme Sub Group	Delegated to Enhanced Primary & Community Care Programme Sub Group	Delegated to Intermediate and Urgent Care programme Sub Group	Delegated to Mental Health, LD and Autism Programme Sub Group
	Industry Practice and NHS requirements						
SYSTEM TRANSFORMATION	Approve decisions (where necessary and required in line with the CCG's statutory responsibilities and accountabilities) that individual CCG employees participating in partnership arrangements on behalf the CCG can make. Such decisions must be in line with the CCG's scheme of reservation and delegation.	✓					
SYSTEM TRANSFORMATION	Approve arrangements to establish , resource and facilitate four programmes within which all providers, potential providers, a CCG representative and interested third parties can appropriately engage, discuss and recommend the best way of delivering, contracting, co-		✓				

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	ordinating, ensuring performance of the healthcare services commissioned by the CCG in respect of each relevant programme						
SYSTEM TRANSFORMATION	Consider and assess recommendations and dissenting views from each programme on an impartial, system wide basis to ensure best care, optimum performance of the Services, and best use of resources, funds and budget before either making decisions in line with the scheme of delegation or making considered recommendations to the CCG.		✓				
SYSTEM TRANSFORMATION	Approve arrangements to undertake comprehensive reviews to establish new methods of working which will enhance and improve the Services, and achieve financial		✓				

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	efficiency.						
SYSTEM TRANSFORMATION	Recommend to the CCG on (without limitation) service models, care pathways and improved ways of working to encourage innovation in the delivery of the Services to the benefit of the CCG, all members of the ATB and service users.		✓				
SYSTEM TRANSFORMATION	Approve and review plans on an ongoing basis to ensure optimum performance of the Services.	✓ Oversight and assurance	✓				
TRANSITION	Approve processes to ensure transition to the ATB model is managed effectively, efficiently and safely and patient/service user safety is never compromised.	✓ Oversight and assurance	✓				
TRANSITION	Approve arrangements to provide assurance that risks are understood and managed (including		✓				

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	provider sustainability) effectively.						
FINANCE	Approve the CCG's financial scheme of delegation, setting appropriate committee and ATB Executive Group limits.	✓					
FINANCE	Approve arrangements to monitor financial performance to ensure the Services are delivered within the CCG's overall annual and recurrent budget agreed with the CCG	✓	✓				
PERFORMANCE	Approve new/ improved ways of working, monitor and provide overall management to ensure that the Services are delivered to standards and other requirements detailed in CCG commissioning contracts with all relevant providers.	✓ Oversight and assurance	✓				
OPERATIONS	Approve processes to monitor performance of the Services against each commissioning	✓ Oversight and assurance	✓				

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	contracts' requirements. Save in respect of General Practice which will be subject to existing co-commissioning arrangements by, amongst others NHS England and the CCG.						
OPERATIONS	Approve arrangements to ensure CCG policies and procedures relating to the Services are complied with.	✓ Oversight and assurance	✓				
OPERATIONS (ENGAGEMENT)	Approve arrangements to ensure comprehensive patient, service user, stakeholder, staff, public and wider community engagement to ensure they are fully aware engaged and involved with the provision of the Services.	✓ Oversight and assurance	✓				
OPERATIONS	Approve arrangements to manage all	✓	✓				

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	resources delegated or appointed to the ATB Executive Group in the optimum and most efficient and effective way to ensure all principle functions are achieved.	Oversight and assurance					
OPERATIONS	Determine arrangements to ensure the collaboration and constructive working of all providers in accordance with the Compact for Collaboration and Alliance Principles contained in each provider's commissioning contract with the CCG.	✓ Oversight and assurance	✓				
OPERATIONS	Resolve disputes between providers as appropriate and escalate to the CCG where appropriate.	✓ Oversight and assurance	✓				
OPERATIONS	Approve working arrangements to enable providers to work more closely together to		✓				

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	ensure greater standardisation of approach, IT and systems in the delivery of the Services.						
OPERATIONS (QUALITY AND SAFETY)	Approve arrangements to comprehensively monitor the quality and safety of all of the Services and to ensure that the Services meet all contractual and other requirements in respect of quality and safety.	✓ Oversight and assurance	✓				
MONITORING	Approve arrangements to comprehensively and regularly monitor all the Services to ensure that the MCP Prospectus outcomes and all of the Principle Functions are achieved.	✓ Oversight and scrutiny	✓				
MONITORING	Ensure processes are in place to collect and provide all necessary information to the CCG, and one another, to ensure accurate and timely reports are submitted it the	✓ Oversight and assurance	✓				

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	Department of Health and Social Care, NHS Improvement, NHS England and other relevant bodies as required [including Integrated Care Partnership and Health and Wellbeing Boards].						
LEADERSHIP	Approve arrangements to ensure the interests of all providers, potential providers [and relevant third parties] are represented.		✓				
CLINICAL LEADERSHIP	Approve arrangements to ensure strong clinical and operational leadership is provided for all the Services.	✓ Oversight and assurance	✓				
MEMBERSHIP	Consider proposals to admit new members, representatives and other third parties and act fairly and transparently in agreeing new members in accordance with Alliance Principles and the process and procedures agreed by	✓ Oversight	✓				

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	the members acting fairly, reasonably, proportionately and in a timely manner.						

*N.B. This reflects the CCG’s current scheme of reservation and delegation only. This will need to be mapped against each provider organisation board to ensure alignment and consistency and a similar scheme developed and approved by for each provider organisation as part of the ABT.

6.5 ATB Executive Group Financial Scheme of Delegation

- 6.1 The purpose of the ATB Executive Group financial scheme of delegation is to enable the transfer of resources between contracts where this improves efficiency within the system without requiring CCG approval in every instance and to an agreed level as specified within this financial scheme of delegation.
- 6.2 The ATB Executive Group will need to ensure that any monetary transfers comply with procurement law and regulations and do not trigger a procurement exercise, in that any monetary transfer cannot be more than 50% of the value of the whole provider contract with the CCG.
- 6.3 The ATB Executive Group is not permitted to approve expenditure above the approved budget as set by the CCG’s Governing Body.
- 6.4 The ATB Executive Group will be responsible for ensuring any budget virements between areas or programmes are in relation to a transfer of provision responsibility and agreed by all parties concerned. There needs to be a clear rationale and written record of the agreement for any transfer.
- 6.5 The ATB Executive Group remains a constituent part of the CCG’s statutory financial accounts and must comply with the

CCG’s Financial Management Arrangements (FMAs) and statutory financial duties.

- 6.6 Within the ATB Scheme of Delegation, the ATB Director of Finance role is to be fulfilled by the CCG’s Deputy Chief Officer and Chief Finance Officer or the Deputy Chief Finance Officer.
- 6.7 In addition, the ATB Director of Finance must be present and in agreement on any expenditure commitments made under this Scheme of Delegation.
- 6.8 The following are the financial limits up to which the ATB Executive Group, supporting groups and managing director may exercise the CCG’s commissioning function on its behalf:

Commissioning Budgets and Functions	
ATB Programme Group	Amounts up to £50,000
ATB Executive Group (ATB Director of Finance must be present)	Amounts up to £500,000

Administrative Budgets	
ATB Managing Director	Amounts up to £200,000

**N.B Further limits may need to be added when clarified in line with Governing Body/Board financial schemes of delegation.*