

## **SCHEDULE 1**

### **SCHEME OF RESERVATION AND DELEGATION**

#### **1 SCHEME OF RESERVATION AND DELEGATION**

- 1.1 The Scheme of Reservation and Delegation ('SORD') sets out those decisions that are reserved for the Member Practices as a whole and those decisions that have been delegated to the Governing Body or other individuals.
- 1.2 The CCG remains accountable for all of its functions including those it has delegated.
- 1.3 The SORD must be adhered to.
- 1.4 Where authority has been delegated to a Governing Body committee the authority is delegated to the committee that oversees the substantive function and/or any successor committee and does not refer to the working title of any individual committee.
- 1.5 Where authority is delegated to the Governing Body the Governing Body may decide to further delegate the authority except where it is reserved to the Governing Body.
- 1.6 Where authority is delegated to the Accountable Officer the Accountable Officer may decide to further delegate the authority.
- 1.7 Where authority is delegated to the Chief Finance Officer the Chief Finance Officer may decide to further delegate the authority.
- 1.8 The Governance Team shall be notified in writing where authority is delegated in accordance with clauses 1.5 to 1.7 above.
- 1.9 The delegations are set out below:

Function	Decision	Reserved to the Membership	Reserved to the Governing Body Only	Delegated to the Governing Body	Delegated to the Chair	Delegated to the Accountable Officer	Delegated to the Chief Finance Officer
Strategy and Planning	Approval of the CCG's vision, values, strategic direction and strategic objectives		✓				
Strategy and Planning	Approval of the CCG's commissioning strategies			✓			
Strategy and Planning	Approval of the CCG's estate strategies			✓			
Strategy and Planning	Approval of the CCG's communications and engagement strategies			✓			
Strategy and Planning	Approval of all other CCG strategies			✓			
Strategy and Planning	Approval of the CCG's commissioning plan			✓			
Budgets	Approval of the CCG's corporate budgets			✓			
Budgets	Approval of variations to the approved budget			✓			

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	where variation would have a significant impact on the overall approved levels of income and expenditure or the CCG's ability to achieve its agreed strategic objectives						
Budgets	Approval of manager's budgets from within the limits set in the Corporate Budgets						✓
Functions	Exercise or delegation of the CCG's functions that have been retained by Member Practices	✓					
Functions	Exercise or delegation of the CCG's functions that have not been retained or reserved to Member Practices			✓			
Functions	Approval of the commissioning of services			✓			

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				Delegated as per the Governing Body committee structure and the CCG's governance framework			
Functions	Approve arrangements for exceptional funding requests			✓			
Functions	Approval of the arrangements for discharging the CCG's statutory financial duties			✓			
Functions	Approval of the arrangement for discharging the CCG's statutory duties as an employer					✓	
Functions	Approval of the arrangements for supporting NHS England in discharging its responsibilities in relation to securing			✓ Delegated as per the Governing Body committee			

Function	Decision	Reserved to the Membership	Reserved to the Governing Body Only	Delegated to the Governing Body	Delegated to the Chair	Delegated to the Accountable Officer	Delegated to the Chief Finance Officer
	continuous improvement in the quality of general medical services			structure and the CCG's governance framework			
Regulation and Control	Approval of the Constitution	✓					
Regulation and Control	Ratification of variations or amendments to the Constitution where this is required due to a change in law and/or statutory guidance on the CCG's governance.		✓				
Regulation and Control	Approval of the Prime Financial Policies	✓					
Regulation and Control	Approval of the Standing Financial Instructions		✓				
Regulation and Control	Approval of the Scheme of Reservation and Delegation		✓				
Regulation and Control	Approval of the CCG's Risk			✓			

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	Management Strategy						
Regulation and Control	Approval of the CCG's Risk Management Policies					✓	
Regulation and Control	Approval of the CCG's Equality and Diversity Strategy			✓ (Delegated to the Patient & Public Engagement and Equalities Committee)			
Regulation and Control	Approval of the CCG's Equality and Diversity Policies other than HR policies			✓ (Delegated to the Patient & Public Engagement and Equalities Committee)			
Regulation and Control	Approval of the annual Workforce Race Equality Standard report			✓ (Delegated to the Patient & Public Engagement and Equalities Committee)			

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Regulation and Control	Approval of corporate governance and information governance policies			✓ Delegated to the Audit Committee			
Regulation and Control	Approval of quality, safety and clinical effectiveness policies			✓ Delegated to the Quality Committee			
Regulation and Control	Approval of finance policies			✓ Delegated to the Finance Committee			
Regulation and Control	Approval of Individual Funding Requests Policies			✓ Delegated to the Individual Funding Requests Panel			
Regulation and Control	Approval of policies for: <ul style="list-style-type: none"> <li>• acute commissioning;</li> <li>• integrated urgent care;</li> </ul>			✓ Delegated as per the Governing Body			

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	<ul style="list-style-type: none"> <li>learning disabilities associated with the Transforming Care Programme; and</li> <li>specialist services not commissioned by NHS England</li> </ul>			committee structure and the CCG's governance framework			
Regulation and Control	Approval of primary care policies under delegated primary care commissioning			✓ Delegated to the Primary Care Commissioning Committee			
Regulation and Control	Approval of all other primary care policies			✓			
Regulation and Control	Approval of all other commissioning policies			✓ Delegated to the Strategy and Commissioning Committee			
Regulation and Control	Approval of the Governing Body		✓				



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	committee structure						
Regulation and Control	Approval of all policies not referenced in this Scheme of Reservation and Delegation			✓ Delegated as per the Governing Body committee structure and the CCG's governance framework			
Regulation and Control	Approval of Governing Body committee and sub-committee Terms of Reference			✓			
Regulation and Control	Approval of membership meeting Terms of Reference		✓				
Regulation and Control	Approval of the CCG's counter fraud and security management arrangements			✓ Delegated to the Audit Committee			
Regulation and Control	Approval of the CCG's annual			✓			

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	Information Governance Toolkit submission			Delegated to the SIRO			
Regulation and Control	Approval of a comprehensive system of internal control, including budgetary control, that underpins the effective, efficient and economic operation of the CCG			✓ Delegated to the Audit Committee			
Regulation and Control	Approval of the CCGs annual audit plan			✓ Delegated to the Audit Committee			
Risk Sharing	Approval of the CCG's arrangements for risk sharing and or risk pooling with other organisations			✓ Delegated to the Finance Committee			
Human Resources	Approval of all HR policies					✓	
Human Resources	Approval of staff recruitment					✓	

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	processes and policies						
Human Resources	Approval of the CCG's staff and operational structures					✓	
Human Resources	Approval of the recruitment of staff and clinical leads from within establishment					✓	
Human Resources	Approval of the recruitment of staff and clinical leads outside of the establishment					✓	
Human Resources	Approval of the arrangements for recruiting interim staff members					✓	
Human Resources	Approval of terms and conditions of employment for staff and expenses					✓	
Human Resources	Approval of appraisal and disciplinary arrangements for the Accountable Officer				✓		

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Human Resources	Approval of the remuneration and pensions of Governing Body members and clinical leads			✓ Delegated to the Remuneration Committee			
Human Resources	Approval of the appointment of Governing Body members		✓				
Human Resources	Approve the process for appointing non-elected Governing Body members		✓				
Human Resources	Approve the election process for elected Governing Body members	✓					
Human Resources	Approve the arrangements for identifying and appointing the Accountable Officer and Chief Finance Officer		✓				
Human Resources	Approve the arrangements for Governing Body			✓			

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	succession planning						
Annual Report And Accounts	Approval of the CCG's Annual Report and accounts			✓ Delegated to the Audit Committee			
Operations	Approval of the CCG's arrangements for business continuity and emergency planning					✓	
Operations	Approval of legal claims and expense policies					✓	
Operations	Approval of legal action including but not limited to litigation and settlement of claims						✓
Operations	Approval of Compromise Agreements, COT3 Agreements and other types of agreements for termination or loss of office or					✓ Accountable Officer and Chief Finance Officer must	✓ Accountable Officer and Chief Finance Officer must

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	employment (NHS England agreement must also be sought)-outside of contract under £20,000					agree together	agree together
Operations	Approval of Compromise Agreements, COT3 Agreements and other types of agreements for termination or loss of office or employment (NHS England agreement must also be sought)-outside of contract for £20,000 and above			✓ Delegated to the Remuneration Committee			
Operations	Approval of the CCG's arrangements for managing complaints					✓	
Operations	Approval of the CCG's arrangements for dealing with media enquiries					✓	

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Operations	Approval of the arrangements for commissioning support services					✓	
Operations	Approval of the arrangements for corporate support services					✓	
Operations	Approval of the operational arrangements to support partnership, joint and/or delegated commissioning arrangements with other organisations					✓	
Operations	Approval of the operational arrangements to support Sustainability and Transformation Partnerships and/or Integrated Care Systems/Networks					✓	
Operations	Approval of the operational arrangements for handling and					✓	

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	signing of Freedom Of Information requests						
Operations	Approval of all other operational arrangements					✓	
Practice Representatives	Approval of the arrangements for identifying practice members to represent their GP practices in matters concerning the work of the CCG	✓					
Joint and/or Delegated Commissioning	Approval of the arrangements for joint and/or delegated commissioning with other Clinical Commissioning Groups for the exercise of the CCG's commissioning functions			✓			
Joint and/or Delegated Commissioning	Approval of the arrangements for joint and/or			✓			



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	delegated commissioning with other Clinical Commissioning Groups for the exercise of the other Clinical Commissioning Group or Groups' commissioning functions						
Joint and/or Delegated Commissioning	Approval of the arrangements for joint and/or delegated commissioning with NHS England for the exercise of the CCG's commissioning functions			✓			
Joint and/or Delegated Commissioning	Approval of the arrangements for joint and/or delegated commissioning with NHS England for the exercise of NHS England's commissioning functions			✓			

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Joint and/or Delegated Commissioning	Approval of the arrangements for joint and/or delegated commissioning with any other NHS organisation for the exercise of the CCG's commissioning functions			✓			
Joint and/or Delegated Commissioning	Approval of the arrangements for joint and/or delegated commissioning with any other NHS organisation for the exercise of the other NHS organisation's/ organisations' commissioning functions			✓			
Joint and/or Delegated Commissioning	Approval of the arrangements for joint and/or delegated commissioning with Local Authorities and/or			✓			

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	Combined Authorities for the exercise of the CCG's commissioning functions						
Joint and/or Delegated Commissioning	Approval of the arrangements for joint and/or delegated commissioning with Local Authorities and/or Combined Authorities for the exercise of the Local Authority's/ Authorities' and/or Combined Authority's/ Authorities' commissioning functions			✓			
Joint and/or Delegated Commissioning	Approve delegation to joint committees established under Section 75 of the National Health Services Act 2006			✓			

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Partnership Working	Approval of the arrangements for partnership working with other organisations that do not require formal delegated or joint commissioning					✓	
Partnership Working	Oversight and approval of the arrangement for Integrated Care Systems and Integrated Care Partnerships			✓			
Better Care Fund	Approval of the arrangements for the Better Care Fund			✓			