

REPORT CLASSIFICATION	✓	CATEGORY OF PAPER	✓
Official	✓	Proposes specific action	✓
Official: Sensitive Commercial		Provides assurance	
Official: Sensitive Personal		For information only	

BOARD	
25 July 2023	
Report Title:	Updated Governance Handbook (Issue 7)
Purpose of report	
<p>To request approval from the Board on the proposed amendments to documents held and published in the ICB's Governance Handbook, including the Scheme of Reservation and Delegation, financial limits, committee terms of reference and ICB committee structure.</p>	
Key points	
<p>NHS North East and North Cumbria Integrated Care Board (the ICB) is the statutory decision-making body of the North East and North Cumbria Integrated Care System. The ICB is responsible for the commissioning of health services and effective stewardship of NHS spending for all the people living in the North East and North Cumbria (NENC).</p> <p>The ICB's Constitution and supporting documents create the framework for the ICB to delegate decision-making authority, functions, and resources to ensure it meets the diverse needs of our citizens and communities. The Constitution sets out the functions that the ICB will undertake and is supported by the governance handbook.</p> <p>The handbook includes several key documents including a functions and decisions map, scheme of reservation and delegation, financial limits, and committee terms of reference. The documents have previously been approved by the Board with subsequent issues for further amendment from (issue 1) approved on 1 July 2022 to the current (issue 7) to seek approval at by the Board in line with the new changes.</p> <p>As part of a process of ongoing review of the documents within the Governance Handbook, further amendments have been identified to ensure the documents remain fit for purpose. The amended documents are attached with changes highlighted or tracked and summarised below:</p>	

Material Changes to the Scheme of Reservation and Delegation (SORD)

(Appendix 1)

- Page 33 – Human Resource Policies - remove (Approves) from reserved to ICB Board to Executive Committee (Approves) in the Delegated to Committee or Sub-Committee section.

Primary Care Services

On 1 April 2023 the ICB formally accepted the delegation of pharmacy, optometry and dental (POD) services from NHS England. Whilst services transferred on 1 April, the staff transfer did not take place until 1 July 2023. For this interim period, the SoRD was amended to incorporate the delegation of decisions to be made relating to all primary care functions. This also included an interim statement regarding any decisions that were required to be made between 1 April and 30 June 2023, which NHS England Primary Care Managers would ordinarily have delegated authority to make in respect of finance and contract transactions, would seek approval via the relevant sub committees, or if it was an urgent time sensitive decision, written approval received via the Executive Area Director. Now the staff transfer has been completed, the SoRD and supporting statement has been updated to reflect the revised delegation approval and formal ICB decision making process.

- 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.
- 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.

Financial Limits – Increase in Financial Delegation Limits for Care Packages

On 13 June 2023 the Executive Committee received a proposal from the Executive Chief Nurse with regards to increasing 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 current limit is £75,000.

The request is to support the development of a consistent approach to the full process, including documentation and decision making for each area and removed unwarranted variation currently being experienced.

The Executive Committee recommended an increase in the limit to £150,000 with a review date of three months from the date of approval.

The Financial Limits are attached at Appendix 2 for consideration and approval.

Executive Committee Terms of Reference

The terms of reference for Executive Committee were reviewed at the Executive Committee meeting in May 2023. The membership of the Committee was updated to reflect a change in job title for the Executive Director of Improvement and Experience (previously Executive Chief People Officer). The Board is asked to note this change of the revised terms of reference - version 4.0.

Please note this is a minor amendment only to the committee's terms of reference and therefore they have not been included on this occasion.

Remuneration Committee Terms of Reference

The Committee reviewed its terms of reference in May 2023 and some minor amendments have been made to reflect some changes to the workforce portfolio within the executive team and the inclusion of two additional regular attendees to offer human resources and governance expertise.

A further amendment has also been made to reflect the Committees 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'.

The terms of reference are attached at Appendix 3, with the changes highlighted for ease of reference, for consideration and approval.

NENC ICB Committee Structure

The NENC ICB Committee Structure has been updated to include the additional sub-committees of the Executive Committee and Quality and Safety Committee that have now been approved and established. These are included within the revised document (version 4.0) and listed below:

- Human Resources (HR) and Organisational Development (OD) Steering Group
- Mental Health, Learning Disabilities and Autism Sub-committee
- Contracts Group (Sub-committee)
- Place Sub-committees x 12
- ICB 2.0 Programme Group (Sub-committee)
- All Ages Continuing Care Strategic Transformation Group (Sub-committee)
- Patient Voice Sub-committee

The Board is asked to note the changes to the Committee structure as shown in Appendix 4.

Risks and issues

There is a risk the ICB does not have a robust and clear control environment in relation to the effective stewardship and management of public funds and levels of delegation may not support local decision-making.

Assurances

The SORD, and terms of reference have been reviewed to ensure they remain fit for purpose and are in line with statutory guidance.

Recommendation/action required						
<p>The Board is asked to note the proposed changes to the governance documents described above and to approve the updated versions for insertion into the Governance Handbook (issue 7), as follows:</p> <ul style="list-style-type: none"> • Scheme of Reservation and Delegation (Appendix 1) – version 5-0 • Financial Limits (Appendix 2) – version 3-0 • Remuneration Committee Terms of Reference – (Appendix 3) – version 2-0 • NENC ICB Committee Structure – (Appendix 4) – version 4-0 						
Acronyms and abbreviations explained						
<p>SORD - Scheme of Reservation and Delegation NENC – North East and North Cumbria ICB – Integrated Care Board PRSC – Pharmaceutical Regulations Sub-Committee</p>						
Sponsor/approving executive director	Claire Riley, Executive Director of Corporate Governance, Communications, and Involvement					
Date approved by executive director	14 July 2023					
Reviewed by	Deborah Cornell, Director of Corporate Governance and Board Secretary					
Report author	Lynda Hutchinson, ICP Development and Governance Manager					
Link to ICB corporate aims (please tick all that apply)						
CA1: Improve outcomes in population health and healthcare						
CA2: tackle inequalities in outcomes, experience and access						
CA3: Enhance productivity and value for money						✓
CA4: Help the NHS support broader social and economic development						
Relevant legal/statutory issues						
Note any relevant Acts, regulations, national guidelines etc.						
Any potential/actual conflicts of interest associated with the paper? (please tick)	Yes		No	✓	N/A	
If yes, please specify						
Equality analysis completed (please tick)	Yes		No		N/A	✓
If there is an expected impact on patient outcomes and/or experience, has a quality	Yes		No	✓	N/A	

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Official

impact assessment been undertaken? (please tick)						
Key implications						
Are additional resources required?	n/a					
Has there been/does there need to be appropriate clinical involvement?	n/a					
Has there been/does there need to be any patient and public involvement?	n/a					
Has there been/does there need to be partner and/or other stakeholder engagement?	n/a					