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| North East and North Cumbria Integrated Care Board |
| GOVERNANCE HANDBOOK  Issue 5-0  Approved 28 March 2023 |
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**Introduction**

**Who are we?**

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

**What is the Governance Handbook?**

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

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

Scheme of Reservation & Delegation

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

Functions & Decisions Map

This map sets out those functions and decisions taken by the ICB centrally or by the ICB at place. There are 13 places in the NE&NC ICB, and these are listed in the ICB constitution, available here <https://northeastnorthcumbria.nhs.uk/about-us/corporate-information/governance/>

## Committee Terms of Reference

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

Financial Documents

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

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

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

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

**How you can inform decision making**

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

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

The ICB's Communities and People Involvement and Engagement Strategy sets out how the ICB will engage and involve people and is available here <https://northeastnorthcumbria.nhs.uk/get-involved/>

### Healthwatch

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

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

ICB Board Meetings

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

**Version Control**

| **Issue Number** | **Changes to the Governance Handbook** | **Date of Board Approval** |
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| Issue 1 | All documents in the Governance Handbook v1-0 | 1 July 2022 |
| Issue 2 | As for Issue 1 but with the following changes:  Executive Committee Terms of Reference updated to v1.1 which shows a change in quoracy to allow nominated deputies | 27 September 2022 |
| Issue 3 | As for Issue 2 but with the following changes:  Amendment to Scheme of Reservation & Delegation updated to v1-1 to include arrangements for the approval of individual funding requests in accordance with the ICB policy (approved retrospectively from 1/7/2022) and arrangements for the approval of Value Based Commissioning Policy.  Approval of Healthier and Fairer Advisory Group (sub committee) Terms of Reference. | 29 November 2022 |
| Issue 4 | As for Issue 3 but with the following material changes:  Scheme of Reservation & Delegation updated to v2-0 as follows:  Audit Committee to recommend changes to the Scheme of Reservation and Delegation to Board for approval instead of the Chief Executive;  Audit Committee to recommend changes to the SFIs, Financial Delegations and Financial Limits to the Board for approval, instead of the Finance, Performance & Investment Committee;  Clarification of approval limits as approved by Board on 29 November 2022;  Deleted the determination of governance arrangements at Place, as all committees or sub committees must be approved by Board;  Control of the staff establishment (tier 1- tier 3) added;  Approve the appointment of internal auditors, changed from Board to Audit Committee;  Approval of standard operating procedures (SOPs) changed from Executive Committee to the relevant executive director for than function;  Footnote 1 replaced by table 1 which provides updated guidance;    Individual Funding Request Panels (sub committee) as approved by Board in September 22) and Healthier and Fairer Advisory Group (sub committee) as approved by Board in November 2022) added to list of sub committees at Appendix 1; and  Job title of the Executive Director of Place Based Delivery, changed to Executive Area Director. | 31January 2023 |
| Material amendments to the Standing Financial Instructions, January 2023 v2-0 (based on Version 1.3 template published by NHS England):  Paragraph 4.1.4, bullet point removed as this is effectively covered in the following two bullet points  Paragraph 10.1.4 (losses and special payments) updated to reflect latest guidance. |
| Key amendments to the Financial Delegations, (now version 2-0:  Paragraph 1.1 and 1.2 have been updated to allow an ICB Director of Finance to approve capital schemes of up to £250,000, consistent with delegated revenue expenditure limits.  Paragraph 2.1 has been added to clarify the limits above which competitive quotations are required and relevant procurement thresholds. This is in line with the current agreed position, the addition is simply to make the position clearer in the document  Paragraph 2.6 – previously the signing of contracts was reserved to Executive Directors which was impractical and out of sync with delegated financial limits. The proposed amendment will allow other individuals to sign contracts in line with delegated limits and allow other ICB Directors to sign contracts up to £1m that have been appropriately approved.  Paragraph 6.1 – previously the engagement of solicitors was reserved to Executive Directors. The proposed amendment confirms this will now be approved in accordance with the legal services Standing Operating Procedure to be maintained by the Executive Director of Corporate Governance, Communications and Involvement, and in line with delegated financial limits.  Paragraph 13 has been added to confirm arrangements for approval of any non-audit services from the external auditors, including compliance with relevant National Audit Office guidance  Job title of the Executive Director of Place Based Delivery, changed to Executive Area Director where referenced. |
| Amendments to the Financial Limits (updated to v2-0) as follows:  Delegated limits for admin budgets such that expenditure up to £4,999,999 would be approved by Executive Committee rather than Finance, Performance and Investment Committee.  Job title of the Executive Director of Place Based Delivery, changed to Executive Area Director. |
| Executive Committee version Terms of Reference now v2-0  Job titles of some members changed to reflect their new titles. (Membership remains unchanged).  Removed reference to approving standard operating procedures which is now delegated to the relevant executive director.  Added to responsibilities of committee: Develop and implementation of Primary Care Strategy |
| Quality & Safety Committee Terms of Reference now version 2-0  Job title of Executive Director of Strategy and System Oversight changed to Chief of Strategy and Operations. (Membership remains unchanged).  Vice chair deleted from this statement: The Committee will be chaired by an Independent Non-Executive Member of the Board. The Chair cannot also be the Audit Committee Chair ~~or Vice Chair~~. |
| Finance, Performance & Investment Committee Terms of Reference now version 2-0  The following updates to the committee terms of reference have been made:   * Combine Part 1 and 2 of the meeting agenda and the Chair will manage any conflicts of interest in the normal way * Appropriate amendments to the membership * Removal of "To recommend SFIs and financial delegations and limits to the Board for approval" as this is the remit of the Audit Committee * Removal of "To develop a finance staff development strategy to ensure excellence by attracting and retaining the best finance talent" as this responsibility is not one for an individual committee but for the organisation * Following approval of ICBP006 Commercial sponsorship and joint working with the pharmaceutical industry Policy, inclusion of 'Ratification of pooled budget arrangements relating to commercial sponsorship and joint working with the pharmaceutical industry' |
| Audit Committee Terms of Reference now version 2-0  Added to the following to the remit of the Audit Committee:   * To recommend SFIs, financial delegations\* and limits to the Board for approval. \*The financial delegations include approval of Non-Audit Services (previously this was the responsibility of the Finance, Performance and Investment Committee) * To recommend the Scheme of Reservation & Delegation to the Board for approval (previously this was the responsibility of the Chief Executive). * Approving the appointment of Internal Auditors, retrospectively from 1 July 2022.   Amended reference to the NHS Standards for Commissioners, Fraud, Bribery and Corruption to Government Functional Standard 013 Counter Fraud: NHSCFA requirements. |
| Governance Structure, now v2-0:  Appendix 1 includes the following approved sub committees:   * Healthier and Fairer Advisory Group (sub committee) * Individual Funding Requests Panel North (sub committee) * Individual Funding Requests Panel South (sub committee) |
| Updated list of eligible providers of primary medical services v2-0 (supplied by NHSE 26/10/2022) |
| Issue 5 | As for issue 4 but with the following changes:  Scheme of Reservation & Delegation updated to v3-0 as follows:   * Revised delegation to parent committees to approve their sub committee terms of reference * ICB Statutory duties copied from Constitution for completeness * Added delegations relating to primary care services * Appendix 1 - updated list of Committees, Sub Committees and Joint Committees * Appendix 2 - Primary Care Services Appendix 2 replaced to include Pharmacy, Optometry and Dentistry * Appendix 3 - Delegation Summaries added to the SORD * Appendix 4 - Remuneration Guidance added to the SORD   **Functions and Decisions Map (Appendix 2)**  Minor updates to ensure consistency with the SORD.  **Executive Committee Terms of Reference**  The following has been added to the responsibilities of the committee: Commissioning services for veterans and families, who form part of the NENC registered populations.  **Place Governance Arrangements**  Approval to establish ICB place sub committees and approve their terms of reference V1-0.  **North East & North Cumbria Integrated Care Partnership (ICP) and Area ICPs**  Approval the North East and North Cumbria Integrated Care Partnership (ICP) terms of reference V1-0.  **Establishment of the following Sub Committees and Approval of their terms of reference:**   * Medicines * Quality and Safety Area x 4 * Safeguarding * NENC Antimicrobial Resistance (AMR) and Healthcare Associated Infection (HCAI) * Pharmaceutical Services Regulatory [Sub] Committee * Primary Care Strategy & Delivery * IFR Panel x 2 | 28 March 2023 |
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| 11 | Standards of Business Conduct Policy/Conflicts of interest policy and procedures **[linked from Policies web page to Governance Handbook web page]** | V2-0 |
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| 13 | Registers of Interests  **[latest version shown on the web page]** | N/A |
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