

SCHEME OF RESERVATION & DELEGATION

1. **SCHEDULE OF MATTERS RESERVED TO THE MID ESSEX CLINICAL COMMISSIONING GROUP AND SCHEME OF DELEGATION**
- 1.1. The arrangements made by the group as set out in this scheme of reservation and delegation of decisions shall have effect as if incorporated in the group's constitution.
- 1.2. The clinical commissioning group remains accountable for all of its functions, including those that it has delegated.

REF	THE CLINICAL COMMISSIONING GROUP BOARD (CCGB)	DECISIONS RESERVED TO THE CLINICAL COMMISSIONING GROUP'S BOARD
	CCGB	The Clinical Commissioning Board may determine any matter, for which it has delegated or statutory authority, it wishes in full session within its statutory powers.
	CCGB	<p><i>Regulations and Control</i></p> <ol style="list-style-type: none"> 1. Approve the Standing Orders (SOs), a schedule of matters reserved to the Board and Scheme of Delegation and Standing Financial Instructions for the regulation of the CCG proceedings and business. 2. Suspend the Standing Orders. 3. Vary or amend the Standing Orders. 4. Approve a Scheme of Delegation of powers from the Board to the Clinical Commissioning Committee and other committees. 5. Require and receive the declaration of Board 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. 6. Require and receive the declaration of officers' interests that may conflict with those of the CCG – and to receive the declarations of Executive Team and CCGB members' interests. 7. Approve arrangements for dealing with complaints. 8. Adopt the organisation structures, processes and procedures to facilitate the discharge of business by the CCG and to agree modifications thereto, except where these functions have been delegated to the STP Joint Committee. 9. Receive reports from committees including those that CCG's are required, by the Secretary of State or other regulation, to establish and to action appropriately. 10. Confirm the recommendations of the Board's committees where the committees do not have executive powers. 11. Receive and approve terms of reference and reporting arrangements of all committees and sub-committees that are established by the Board. 12. Authorise use of the CCG seal. 13. Discipline members of the Board, Executive Team or employees who are in breach of statutory requirements or Standing Orders 14. Approve any urgent decisions taken by the Board Chairman and the Accountable Officer for ratification by the Board. 15. Delegate powers to selected members of the Board, as agreed at a Board meeting, in order to take decisions on behalf of the Board, when the need to take a particular course of action by a certain time is not possible due to the meeting schedule of the Board and no other reasonable alternative is possible.

REF	THE CLINICAL COMMISSIONING GROUP BOARD (CCGB)	DECISIONS RESERVED TO THE CLINICAL COMMISSIONING GROUP'S BOARD
	CCGB	<p>Appointments/ Dismissal</p> <ol style="list-style-type: none"> 1. Appoint and dismiss members of the Clinical Commissioning Committee. 2. Appoint the Deputy and Vice Chairmen of the Board following the expressions of interest. 3. Appoint and dismiss other committees (and individual members) that are directly accountable to the Board. 4. Appoint, appraise, discipline and dismiss officer members (subject to SO 2.2). 5. Confirm appointment of members of any committee of the Board as representatives on outside bodies.
	CCGB	<p>Strategy, Operating Plans and Budgets</p> <ol style="list-style-type: none"> 1. Approve the strategic aims and objectives of the CCG. The Board will develop the Organisational priorities, the Strategic and the Operating plans, except where these functions have been delegated to the STP Joint Committee. 2. Approve plans in respect of the application of available financial resources to support the agreed Operating Plan. The Board will develop the financial plans which will be subject to the approval of the Board, except where these functions have been delegated to the STP Joint Committee. 3. Approve proposals for ensuring quality and developing clinical governance in services provided by the CCG or the constituent practices, having regard to any guidance issued by the Secretary of State, except where these functions have been delegated to the STP Joint Committee. 4. Approve (with any necessary appropriate modification) the annual commissioning strategy or plans that have been developed, except where these functions have been delegated to the STP Joint Committee. 5. Approve annually (with any necessary appropriate modifications) the Operating Plan except where these functions have been delegated to the STP Joint Committee. 6. Approve the CCG's policies and procedures for the management of risk, 7. Approve budgets which have been developed by the Clinical Commissioning Committee. 8. Approve annually CCG proposed organisational development proposals made by the Executive 9. Ratify Primary Care Commissioning Committee's proposals for primary care development, proposed GMS Local Development Schemes and proposed new or changes in existing GMS infrastructure reimbursement payments to GP practices subject to any independent review of conflicts of interest that may be agreed by the CCGB 10. Approve the Clinical Commissioning Committee's proposals on individual contracts or services (other than NHS contracts) of a capital or revenue nature amounting to, or likely to amount to, over £500k, per annum (or over £750k total if contract exceeds 12 months), except where these functions have been delegated to the STP Joint Committee. 11. Approve the Audit Committee's proposals in individual cases for the write off of losses or making of special

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		<p>payments above the limits of delegation to the Accountable Officer and Chief Finance Officer (for losses and special payments). Losses up to Chief Finance Officer/Accountable Officer limits approved by those individuals shall be reported to the Audit Committee.</p> <p>12. Approve individual compensation payments above £50k where the proposed payments are above the delegated limits or outside the delegated powers of the delegated officers or decision making panel. All payments should be reviewed and noted by the Audit Committee but approved by the Clinical Commissioning Committee and Board as appropriate</p> <p>Approve proposals for action on litigation against or on behalf of the CCG.</p>
	CCGB	<p>Policy Determination</p> <p>1. Ratify Clinical Commissioning Group management policies including personnel policies incorporating the arrangements for the appointment, removal and remuneration of staff.</p>
	CCGB	<p>Audit</p> <p>1. Approve the appointment (and where necessary dismissal) of External Auditor and advise the Audit Commission on the appointment (and where necessary change/removal) of External Auditor and receive reports of the Audit Committee meetings and take appropriate action.</p> <p>2. Receive the annual management letter received from the External Auditor and agreement of the Clinical Commissioning Committee and the CCG Board's proposed action, taking account of the advice, where appropriate, of the Audit Committee.</p> <p>3. Receive annual reports from the Internal Auditor and LCFS and agree action on recommendations where appropriate of the Audit Committee.</p>
	CCGB	<p>Annual Report and Accounts</p> <p>1. Receipt and approval of the CCG's Annual Report and Annual Accounts where approval has not been delegated to the Audit Committee</p>
	CCGB	<p>Monitoring</p> <p>1. Receipt of such reports as the Board sees fit from the Clinical Commissioning Committee and other formal committees and sub-committees of the Board in respect of their exercise of powers delegated.</p>

DECISIONS DELEGATED BY THE CCG AND RESERVED BY OTHER COMMITTEES OF THE CCG

REF	COMMITTEE	DECISIONS DELEGATED BY THE CCG AND RESERVED BY OTHER COMMITTEES OF THE CCG
	<p>STP JOINT COMMITTEE</p>	<p>The principal function of the Joint Committee is to enable the CCGs to - where appropriate - act collectively in the planning, securing and monitoring of services to meet the needs of the population of Mid and South Essex, as well as represent the STP footprint for services commissioned over a larger area.</p> <p>The functions of the Joint Committee will include:</p> <ul style="list-style-type: none"> • Decisions on relevant STP wide service configurations • Leadership of relevant public consultations on significant service changes that affect the whole STP area ▪ <u>Agreement of the STP local health and care strategy</u> • Agreement of STP wide service restriction policies • Agreement of relevant STP wide outcomes, frameworks and pathways • Management of delegated STP funds ▪ <u>Receiving and providing reports on the delivery of the STP local health and care strategy</u> <p>The Joint Committee will also have delegated responsibility for commissioning of a range of services on behalf of the CCGs, including:</p> <ul style="list-style-type: none"> • Acute services (NHS and independent sector) commissioning and contracting • <u>Integrated Urgent Care Services (including NHS 111)/OOH</u> commissioning and contracting • Ambulance services commissioning and contracting • <u>Patient Transport Services commissioning and contracting</u> • Learning Disability <u>services decision making</u> (within the existing pan-Essex arrangements) • Mental Health services contracting <u>and commissioning of Acute Mental Health service</u> • Community services contracting <p>For all contracts arising from the commissioning functions outlined above, the Joint Committee will ensure there are appropriate arrangements in place to:</p> <ul style="list-style-type: none"> • Develop the commissioning strategy for the areas delegated, including where relevant setting commissioning intentions and the desired outcomes for the STP population • Establish and manage contracts for the areas/services delegated • Manage the delegated Commissioning Contracts, including in respect of quality standards, observance of service specifications, and monitoring of activity and finance, so as to obtain best performance, quality and value from the Services by assessing quality and outcomes (including clinical

		<p>effectiveness, patient experience and patient safety);</p> <ul style="list-style-type: none"> • Manage variations to the Commissioning Contracts or Services in accordance with national policy, service user needs and clinical developments • Manage procurement of services in line with commissioning decisions and manage risk associated with such procurements • Ensure delivery of relevant savings programmes associated with the areas delegated
	JOINT PRIMARY CARE COMMISSION- ING COMMITTEE	<p>The role of the Joint Committee shall be to carry out the functions relating to the commissioning of primary medical services in mid Essex under section 83 of the NHS Act except those relating to individual GP performance management, which have been reserved to NHS England.</p> <p>This includes the following activities:</p> <ul style="list-style-type: none"> • GMS, PMS and APMS contracts (including the design of PMS and APMS contracts, monitoring of contracts, list closures, taking contractual action such as issuing branch/remedial notices, and removing a contract); • Newly designed enhanced services (“Local Enhanced Services” and “Directed Enhanced Services”); including the shift to locality based commissioned outcomes • Design of local incentive schemes as an alternative to the Quality Outcomes Framework (QOF); • Decision making on whether to establish new GP practices in an area; • Approving practice mergers; • Making decisions on ‘discretionary’ payment (e.g., returner/retainer schemes). • Primary Care Strategic development and implementation including provision of sustainable primary care and the delivery of individual NHSE and CCG Transformation Programmes. • Primary Care Estates and Premises development • Primary Care Workforce Development, (Training, Recruitment and Retention) • Considering future contracting arrangements for integrated primary and community services.

DECISIONS DELEGATED BY THE CCG BOARD AND RESERVED BY OTHER COMMITTEES

REF	COMMITTEE	DECISIONS DELEGATED BY THE BOARD TO, AND RESERVED BY, OTHER COMMITTEES OF THE CCG
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REF	COMMITTEE	DECISIONS DELEGATED BY THE BOARD TO, AND RESERVED BY, OTHER COMMITTEES OF THE CCG
Const. 6.7.3 SFI 2	AUDIT COMMITTEE	<p>The CCGB delegates all audit committee responsibilities to the Audit Committee.</p> <p>The Audit Committee will:</p> <ol style="list-style-type: none"> 1. <u>Approve audit appointments on behalf of the CCG Board</u> 2. <u>Advise the CCG Board on internal and external audit services and undertake annual review of their effectiveness</u> 3. <u>Review and approve the internal and external audit strategies, operational plans and detailed programme of work</u> 4. <u>Consider the major findings of internal audit and external audit and management's response</u> 5. <u>Monitor the progress of the internal and external audit work programmes and receive progress reports and the final Head of Internal Audit Opinion, the Annual Results Report ISA (UK & Ireland) 260 and any other formal auditor reporting and agree the CCG response on behalf of the CCG Board</u> 6. <u>Review the effectiveness of the Internal Audit function annually and ensure it meets the Public Sector Internal Audit Standards 2013.</u> 7. <u>Ensure that the CCG has adequate arrangements in place for counter fraud and security that meet NHS Protect's standards and review the outcomes of work in these areas</u> 8. <u>Review and monitor the external auditors' independence and objectivity and the effectiveness of the audit process.</u> 9. <u>Review establishment and maintenance of effective system of integrated governance, risk management, and internal control that supports the CCG's objectives (arrangements for patient safety are the responsibility of the Quality and Governance Committee)</u> 10. <u>Review all risk and control related disclosure statements (including the annual Governance Statement and approve the annual Governance Statement on behalf of the CCG Board</u> 11. <u>Approve minor amendments on behalf of the Board or endorse new and/or significant amendments for approval by the Board of policies and procedures for all work related to internal control, counter fraud and corruption, emergency planning and business continuity, and compliance with relevant regulatory, legal and code of conduct requirements.</u> 12. <u>Review the CCG's Scheme of Delegation and SFIs on an annual basis</u> 13. <u>Review the findings of other significant assurance functions, both internal and external to the organisation, and consider the implications to the governance of the organisation.</u> 14. <u>Review the work of other committees within the organisation, whose work can provide relevant assurance to the Committee's own scope of work. In particular, the Committee will monitor and review the arrangements for managing clinical risk.</u> 15. <u>Review schedules of losses and compensations and make recommendations to the CCG Board</u> 16. <u>Approve the statutory accounts and Annual Reports and all other related statutory reporting and approve the documents on behalf of the CCG Board</u>

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REF	COMMITTEE	DECISIONS DELEGATED BY THE BOARD TO, AND RESERVED BY, OTHER COMMITTEES OF THE CCG
		<p><u>17. Approve the opening or closing of any bank accounts</u></p> <p><u>18. Review systems for financial reporting to the CCG Board including those of budgetary control and forecasting to ensure that reports are complete and accurate</u></p> <p><u>19. Review the effectiveness of arrangements in place for allowing staff to raise, in confidence, concerns about possible improprieties in financial, clinical or safety matters and ensure that any such concerns are investigated proportionately and independently.</u></p> <p><u>4-20. Seek assurance on implementation of Emergency Planning and Business Continuity arrangements.</u></p>
Const. 6.7.3 SFI 11.1	REMUNERATION COMMITTEE	<p>The CCGB delegates all Remuneration responsibilities to the Remuneration <u>and Terms of Service</u> Committee.</p> <p>The Remuneration <u>and Terms of Service</u> Committee will:</p> <ol style="list-style-type: none"> <u>1. .Decide on appropriate remuneration and terms of service for the Accountable Officer and staff not employed on Agenda for Change terms and conditions including:</u> <ul style="list-style-type: none"> <u>o all aspects of salary</u> <u>o provisions for other benefits, including pensions;</u> <u>o arrangements for termination of employment and other contractual terms;</u> <u>2. Decide on any proposed remuneration and terms of service for clinical Governing Body members, Lay Members and other people who provide services to the CCG, taking in to account any national or local guidance as is appropriate, so as to ensure that the individual is fairly rewarded for their individual contribution to the CCG while having proper regard to the Group's circumstances and performance, and to the requirements of fair and open tendering or recruitment policies;</u> <u>3. Advise the CCG Board on the remuneration and terms of service of senior employees, particularly in relation to discretionary payments (ie honorariums), to ensure they are fairly rewarded for their individual contribution to NHS Mid Essex CCG - having proper regard to the NHS/ Mid Essex CCG's circumstances and performance and to the provisions of any national arrangements for such staff;</u> <u>4. Oversee the proper calculation and scrutiny of termination payments, taking account of such national guidance as is appropriate, advise on and oversee appropriate contractual arrangements for such staff</u> <u>5. For the purpose of performance evaluation and remuneration decisions, the Committee will see and approve the Accountable Officers objectives and note the objectives of the Executive Directors.</u> <u>6. With specific input from the Accountable Officer and the NHS Mid Essex CCG Chair, monitor performance, review and set the remuneration of the posts that fall within the remit of the Committee. (The Accountable Officer will not be present during the discussions on his/her own remuneration and performance (see appendix 1 for annual review for Accountable Officer)).</u> <u>7. Report in writing to the CCG Board a summary of its decisions.</u>

REF	COMMITTEE	DECISIONS DELEGATED BY THE BOARD TO, AND RESERVED BY, OTHER COMMITTEES OF THE CCG
	<p>LIVE WELL COMMITTEE</p>	<p>The Committee will provide the main forum for assurance of the delivery of Live Well. It will champion the Live Well vision within the mid Essex health and social care system and oversee and assure the CCG's contribution to the implementation of all aspects of the Live Well health and wellbeing programmes. The Committee will ensure that all clinical, strategic and operational activity commissioned by the CCG supports and aligns with the Live Well strategy.</p> <p>The Live Well Committee is responsible for:</p> <ul style="list-style-type: none"> • Delivering Live Well, without compromising quality, safety and value for money • Developing outcomes to support Live Well transformation • Providing direction and oversight and seeking assurance from the Live Well work streams across the five domains • Ensuring that the five Live Well domains are co-ordinated and work in synergy • Requiring regular updates from the Live Well working groups on delivery and seeking assurance that programmes are on track to achieve ambitions included within the Live Well strategy • Driving Integrated Commissioning and, where relevant, ensuring appropriate governance arrangements are in place to deliver joint commissioning • Ensuring that the opportunities for partnership working are pursued at both a strategic level and through the Live Well workstreams • Reviewing risks to delivery and advising on and facilitating remedial action(s) • Market/Provider development to meet Live Well needs • Contributing to the financial sustainability of the organisations and system • Reviewing, challenging and approving Live Well plans prior to Board endorsement to ensure they are consistent with the Live Well principles and priorities; delivery of the CCG's strategy and objectives; meeting national service targets; the requirements of the Financial Recovery Plan; maintaining quality standards; ensuring strategies, programmes and projects have received appropriate impact assessments (Quality, Equality and Privacy); and delivering realistic and deliverable objectives • Providing clinical ownership, delivery and championing of transformational change, strategic development and direction in line with the principles of the Live Well strategy • Assuring the Board that the content of Service Restriction Policies are safe and clinically effective • Generating new ideas for the strategic delivery of Live Well through research and horizon scanning • Recommending to the Board innovative approaches to the delivery of Live Well goals • Ensuring that the CCG has regard to its duty to reduce health inequalities

DECISIONS DELEGATED BY THE BOARD TO, AND RESERVED BY OTHER COMMITTEES OF THE CCG

REF	COMMITTEE	DECISIONS DELEGATED BY THE BOARD TO, AND RESERVED BY OTHER COMMITTEES OF THE CCG
	<p>FINANCE AND PERFORMANCE COMMITTEE</p>	<p>The Finance and Performance Committee will provide an assurance and scrutiny role on behalf of the CCG Board of all aspects of the CCGs financial performance and strategy, commissioning and contracting activities including QIPP delivery, and performance with the exception of quality indicators . and any functions that have been delegated to the STP Joint Committee. It will:-</p> <ul style="list-style-type: none"> • Provide assurance and advise the Board on the contractual and national standard performance of all CCG commissioned services with the exception of clinical quality indicators. Issues to be reported on an exception basis • Provide the Board with advice and assurance on financial performance • Receive and comment on financial forecasts, analysis of financial risk and financial planning • Oversee and ensure remedial action when activity/performance issues/variances arise either against targets or key assumptions made in drawing up activity/finance plans • Receive best value reports/benchmarking identifying outliers/issues and make recommendations regarding necessary action, if appropriate • Receive and advise on medium term financial and savings planning including the refresh of the Financial Recovery Plan • Ensure that there are appropriate mechanisms in place to assure the Board that systems, policies and people in place are operating in a way that is effective, focused on key risks and driving the delivery of the CCG's objectives. Receive reports from Service Performance and Review Groups (SPRGs) on an exception basis and agree appropriate action Receive activity and finance performance progress against the work plan of SPRGs for contracts with: <ul style="list-style-type: none"> a. Mid Essex Hospitals Services NHS Trust b. Provide c. Colchester Hospital University NHS Foundation Trust d. Ramsay Healthcare • Note by exception or on a cyclical basis performance against contracts with: <ul style="list-style-type: none"> a. North Essex Partnership University NHS Foundation Trust b. East of England Ambulance Service NHS Trust c. ERS Medical d. Primecare (OOH) Contract e. AQP and other contracts • Review and monitor the procurement programme and the contestability plan/process of key programmed procurements.

REF	COMMITTEE	DECISIONS DELEGATED BY THE BOARD TO, AND RESERVED BY OTHER COMMITTEES OF THE CCG
		<ul style="list-style-type: none"> • Consider the procurement route for business cases and recommend appropriate action • Consider and advise on the management of the capital programme
	<p>QUALITY AND GOVERNANCE COMMITTEE</p>	<p>The Quality Committee will have assurance and scrutiny on the quality and safety performance of the commissioning of elective hospital care, rehabilitation, urgent and emergency care (including out of hours services), community health services, services for children and younger persons, maternity services, mental health and learning disability services, except where these functions have been delegated to the STP Joint Committee. This will include statutory duties such as Information Governance Standards and Safeguarding Children and Adults. It will:-</p> <p>The Committee will also scrutinise and receive assurance regarding the CCG's corporate governance arrangements including risk management, emergency planning, business continuity, information governance, equality & diversity and the organisational development strategy. It will:</p> <ul style="list-style-type: none"> • Enable the Board to fulfil its statutory functions in relation to quality, patient safety and corporate governance. • Ensure that the principles upheld in the NHS Constitution are reflected in the Committee's values. • Actively promote the NHS Constitution in its engagement with patients, the public, providers of services and other key stakeholders. • Ensure that its decisions are both taken and seen to be taken without any possibility of the influence of external or private interest. • Provide assurance and advise the CCG Board on the performance of all commissioned services in relation to all quality indicators. This includes patient safety (including Healthcare Care Acquired Infections), patient experience and effectiveness of outcomes. • Ensure continuous quality improvement and better outcomes are delivered in accordance with National Guidance, through robust contract monitoring and use of data and information. • Provide assurance on performance and compliance with statutory duties. • Provide scrutiny, assurance and oversight of patient safety and quality standards. • Review and disseminate the learning from internal reports, local or national reviews and enquiries and other data and information that may be relevant for understanding quality and safety within the CCG. • Provide assurance and advise the CCG Board in relation to action plans that are addressing any areas of significant underperformance. • Provide scrutiny, assurance and oversight of serious incidents/incidents. • Provide assurance and to advise the CCG Board on performance and compliance with statutory duties for example for safeguarding children and the Equality Act 2010. • Advise the CCG Board on risk management issues including ensuring that there is a strategy for the

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		<p>continuing identification, evaluation, prioritisation and management of clinical and non-clinical risks and that a register of risks is maintained for the CCG.</p> <ul style="list-style-type: none"> • Review board assurance framework reporting in order to report to the CCG Board. • Take a leadership role in shaping the corporate governance of the CCG. • Seek assurance on implementation of Information Governance arrangements within the CCG to ensure the CCG maintains at least Level 2 compliance with the Information Governance Toolkit. • Seek assurance on key Human Resources indicators, including recruitment and retention, sickness absence and mandatory training.

SCHEME OF DELEGATION DERIVED FROM THE ACCOUNTABLE OFFICER MEMORANDUM

REF	DELEGATED TO	DUTIES DELEGATED
	ACCOUNTABLE OFFICER (AO)	Accountable through the NHS Accountable Officer Memorandum to Parliament for stewardship of CCG resources.
	AO AND CHIEF FINANCIAL OFFICER (CFO)	<p>Ensure the accounts of the CCG are prepared under principles and in a format directed by the Secretary of State. Accounts must disclose a true and fair view of the CCG's income and expenditure and its state of affairs.</p> <p>Sign the accounts on behalf of the CCGB</p>
	AO	<p>Sign a statement in the accounts outlining responsibilities as the Accountable Officer.</p> <p>Sign a statement in the accounts outlining responsibilities in respect of Internal Control.</p>
	AO	<p>Ensure effective management systems that safeguard public funds and assist the CCG Board Chairman to implement requirements of corporate governance including ensuring managers:</p> <ul style="list-style-type: none"> • have a clear view of their objectives and the means to assess achievements in relation to those objectives; • be assigned well defined responsibilities for making best use of resources; • have the information, training and access to the expert advice they need to exercise their responsibilities effectively.

REF	DELEGATED TO	DUTIES DELEGATED
	CCG BOARD CHAIRMAN	Implement requirements of corporate governance
	AO	Achieve value for money from the resources available to the CCG and avoid waste and extravagance in the CCG's activities. Follow through the implementation of any recommendations affecting good practice as set out in reports from such bodies as the Audit Commission and the National Audit Office (NAO). Use to best effect the funds available for commissioning healthcare, developing services and promoting health to meet the needs of the local population.
	CFO	Operational responsibility for effective and sound financial management and information.
	AO	Primary duty to see that the Chief Financial Officer discharges this function.
	AO	Ensuring that expenditure by the CCG complies with Parliamentary requirements
	AO	The Codes of Conduct and Accountability incorporated in the Corporate Governance Framework issued to NHS Boards by the Secretary of State are fundamental in exercising AO responsibilities for regularity and probity. As a Board member the Accountable Officer has explicitly subscribed to the Codes; the Accountable Officer should promote their observance by all staff.
	AO and CFO	The Accountable Officer supported by the Chief Financial Officer, to ensure appropriate advice is given to the CCGB, the Clinical Commissioning Committee on all matters of probity, regularity, prudent and economical administration, efficiency and effectiveness.
	AO	If the Accountable Officer considers that the CCGB, the CCG Board Chairman, the Clinical Commissioning Committee or the CCG Board is doing something that might infringe probity or regularity; he/she should set this out in writing to the Chair of Audit Committee, and if necessary the NCB and Department of Health.
	AO	If the Clinical Commissioning Committee or the CCG Board is contemplating a course of action that raises an issue not of formal propriety or regularity but affects the Accountable Officer's responsibility for value for money, the Accountable Officer should draw the relevant factors to the attention of the CCG Board and the Clinical Commissioning Committee. If the outcome is that the Accountable Officer is overruled it is normally sufficient for the Accountable Officer to ensure that his/her advice and the overruling of it are clearly apparent from the papers. Exceptionally, the Accountable Officer should inform the National Commissioning Board and the DH. In such cases, and in those described in paragraph 24, the Accountable Officer should, as a member of the CCG Board, vote against the course of action rather than merely abstain from voting.

SCHEME OF DELEGATION DERIVED FROM THE CODES OF CONDUCT AND ACCOUNTABILITY

REF	DELEGATED TO	AUTHORITIES/DUTIES DELEGATED
	CCGB	Approve procedure for declaration of hospitality and sponsorship. CCG Executive Team responsible for process in relevant functions
	CCGB	Ensure proper and widely publicised procedures for voicing complaints, concerns about maladministration, breaches of Code of Conduct, and other ethical concerns. Clinical Commissioning Committee is responsible for process in relevant functions
	ALL CCGB MEMBERS, CCG EXECUTIVE TEAM MEMBERS, CLINICAL COMMISSIONING BOARD MEMBERS, ALL COMMITTEE AND SUB-COMMITTEE MEMBERS AND MEMBERS OF STAFF	Subscribe to Code of Conduct for NHS Managers. Any breaches of the NHS Managers Code of Conduct will be investigated under the CCG Disciplinary Policy and Procedures by the CCG Executive Team or the CCG Board as appropriate
	CCGB	CCGB members share corporate responsibility for all decisions of the CCG Board.
	CCGB CHAIRMAN AND NON-OFFICER MEMBERS	CCGB Chairman and non-officer members are responsible for monitoring the executive management of the CCG and are responsible to the Secretary of State for the discharge of those responsibilities.
	CCGB	<p>The CCGB has six key functions for which it is held accountable by the Department of Health 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;

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		<ol style="list-style-type: none"> 2. to ensure that high standards of corporate governance and personal behaviour are maintained in the conduct of the business of the CCG; 3. to appoint, appraise and remunerate senior executives; 4. on the recommendation of the Clinical Commissioning Committee, to ratify 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; 6. to ensure that the CCG Executive and the CCG Board lead effective dialogues with communities on their plans and performance and that these are responsive to the communities' needs.
1.3.2.4	CCGB	<p>It is the CCGB's duty to:</p> <ol style="list-style-type: none"> 1. act within statutory financial and other constraints; 2. establish the Clinical Commissioning Committee and CCGB 3. be clear what decisions and information are appropriate to the CCGB and to draw up Standing Orders, a Schedule of Decisions Reserved to the CCGB or Clinical Commissioning Committee and Standing Financial Instructions to reflect these; 4. ensure that management arrangements are in place to enable responsibility to be clearly delegated to senior executives for the main programmes of action and for performance against programmes to be monitored and senior executives held to account; 5. establish performance and quality measures that maintain the effective use of resources and provide value for money; 6. specify its requirements in organising and presenting financial and other information succinctly and efficiently to ensure the CCGB can fully undertake its responsibilities; 7. establish an Audit Committee and a Remuneration Committee on the basis of formally agreed terms of reference which set out the membership of the sub-committees, the limit to their powers, and the arrangements for reporting back to the CCGB..
1.3.2.5	CCGB CHAIRMAN	<p>It is the CCGB Chairman's role to:</p> <ol style="list-style-type: none"> 1. provide leadership to the CCGB; 2. enable all CCGB members to make a full contribution to the CCGB's affairs and ensure that the CCGB acts as a team; 3. ensure that key and appropriate issues are discussed by the CCGB in a timely manner; 4. ensure the CCG Board has adequate support and is provided efficiently with all the necessary data on which to base informed decisions;

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		5. lead Lay CCGB members through a formally appointed Remuneration Committee of the CCGB on the appointment, appraisal and remuneration of the Accountable Officer and (with the latter) other executive CCGB members; 6. appoint Lay CCG Board members to an Audit Committee of the CCGB;
	AO	The Accountable Officer is accountable to the CCGB Chairman and Lay CCGB members of the CCGB for ensuring that its decisions are implemented, that the CCG works effectively, in accordance with Government policy and public service values and for the maintenance of proper financial stewardship. The Accountable Officer should be allowed full scope, within clearly defined delegated powers, for action in fulfilling the decisions of the CCGB.
	LAY CCGB MEMBERS AND ELECTED GOVERNANCE BOARD GP	Lay CCGB members are appointed to bring independent judgement to bear on issues of strategy, performance, key appointments and accountability to the local communities.
	CCGB CHAIRMAN AND MEMBERS	Declaration of conflict of interests.
	CCGB	NHS Boards must comply with legislation and guidance issued by the Department of Health on behalf of the Secretary of State, respect agreements entered into by themselves or on their behalf and establish terms and conditions of service that are fair to the staff and represent good value for taxpayers' money.

SCHEME OF DELEGATION FROM STANDING ORDERS

SO REF	DELEGATED TO	AUTHORITIES/DUTIES DELEGATED
3.5.1	CCGB CHAIRMAN	Final authority in interpretation of Standing Orders
	CCGB	Appointment of CCGB Deputy and Vice-Chairmen.
	CCGB CHAIRMAN	Calling meetings.
	CCGB CHAIRMAN	Chair all CCGB meetings and associated responsibilities.

SO REF	DELEGATED TO	AUTHORITIES/DUTIES DELEGATED
3.5.1	CCGB CHAIRMAN	Give final ruling in questions of order, relevancy and regularity of meetings.
3.7.1	CCGB CHAIRMAN	Having a second or casting vote.
3.9	CCGB	Suspension of Standing Orders
3.9.3	AUDIT COMMITTEE	Audit Committee to review every decision to suspend Standing Orders
	CCGB	Variation or amendment of Standing Orders
	CCGB	The CCGB shall approve the appointments to each of the committees which it has formally constituted subject to the national accreditation
	CCGB CHAIRMAN & AO	The powers which the CCGB has retained to itself within these Standing Orders may in emergency be exercised by the CCGB Chairman and Accountable Officer after having consulted at least two non-officer members.
	CCGB	Formal delegation of powers to the Clinical Commissioning Committee and other committees, sub-committees or joint committees and approval of their constitution and terms of reference. (The Accountable Officer may approve Constitution and terms of reference of sub-committees.)
	AO	The Accountable Officer shall prepare a Scheme of Delegation identifying his/her proposals, which shall be considered and <u>approved by the CCGB</u> , subject to any amendment agreed during the discussion.
	ALL	Disclosure of non-compliance with Standing Orders to the Accountable Officer as soon as possible.
	ALL CCGB, AND CCG EXECUTIVE TEAM	Declare relevant and material interests.
	AO	Maintain Registers of Interests.
	CHAIRMAN OF A MEETING	Making a declaration on a declared interest.
	ALL STAFF	Comply with national guidance contained in HSG 1993/5 "Standards of Business Conduct for NHS Staff".
	ALL	Disclosure of relationship between self and candidate for staff appointment. (CCG to report the disclosure to the CCGB/Clinical Commissioning Committee).

SO REF	DELEGATED TO	AUTHORITIES/DUTIES DELEGATED
6.2	AO	Keep seal in a safe place and maintain register of sealing.
6.6	AO/ EXECUTIVE DIRECTOR	Approve and sign all documents which will be necessary in legal proceedings.

* Nominated officers and the areas for which they are responsible should be incorporated into the CCG's Scheme of Delegation document.

SCHEME OF DELEGATION FROM MODEL STANDING FINANCIAL INSTRUCTIONS

SFI REF	DELEGATED TO	AUTHORITIES/DUTIES DELEGATED
1.1.3	CFO	Approval of all financial procedures.
1.1.4	CFO	Advice on interpretation or application of SFIs.
1.1.6	ALL MEMBERS OF THE CCGB, THE CLINICAL COMMISSIONING COMMITTEE AND EMPLOYEES	Have a duty to disclose any non-compliance with these Standing Financial Instructions to the Chief Financial Officer as soon as possible.
1.2.4	AO	Responsible as the Accountable Officer to ensure financial targets and obligations are met and have overall responsibility for the System of Internal Control.
1.2.4	AO & CFO	Accountable for financial control but will, as far as possible, delegate their detailed responsibilities
1.2.5	AO	To ensure all CCGB members, officers and employees, present and future, are notified of and understand Standing Financial Instructions.
1.2.6	CFO	Responsible for: a) Implementing the CCG's financial policies and co-coordinating corrective action; b) Maintaining effective systems of financial control including ensuring detailed financial procedures and systems are prepared and documented; c) Ensuring that sufficient records are maintained to explain CCG transactions and financial positions; d) Providing financial advice to members of the CCGB and staff; e) Maintaining such accounts, certificates etc. as are required for the CCG to carry out their statutory duties.
1.2.7	ALL MEMBERS OF THE CCGB AND	Responsible for security of CCG property, avoiding loss, exercising economy and efficiency in using resources and conforming to Standing Orders, Standing Financial Instructions and financial procedures.

SFI REF	DELEGATED TO	AUTHORITIES/DUTIES DELEGATED
	EMPLOYEES	
1.2.8	AO	Ensure that any contractor or employees of a contractor who is empowered by the CCG to commit the CCG to expenditure or who is authorised to obtain income are made aware of these instructions and their requirement to comply.
2.1.1	AUDIT COMMITTEE	Provide independent and objective view on internal control and probity.
2.1.3	CHAIRMAN OF AUDIT COMMITTEE	Raise the matter at the CCGB meeting where the Audit Committee considers there is evidence of ultra vires transactions or improper acts.
2.2.1	CFO	Ensure an adequate internal audit service, for which he/she is accountable, is provided (and involve the Audit Committee in the selection process when/if an internal audit service provider is changed.)
2.2.1	CFO	Decide at what stage to involve police in cases of misappropriation and other irregularities not involving fraud or corruption.
2.3.2;2.3.3 & 2.3.6	HEAD OF INTERNAL AUDIT	Review, appraise and report in accordance with the NHS Internal Audit Manual and best practice.
2.4	AUDIT COMMITTEE	Ensure cost-effective External Audit
2.5	AO & CFO	Monitor and ensure compliance with Secretary of State Directions on fraud and corruption including the appointment of the Local Counter Fraud Specialist.
2.6	AO	Monitor and ensure compliance with Directions issued by the Secretary of State for Health on NHS security management including appointment of the Local Security Management Specialist for the CCG
3.1.1	AO	Has overall responsibility for the activities of the CCG
3.1.4	CFO	Will provide reports to the Secretary of State as required, ensure draw down is for approved expenditure and timely and follows best practice in Cash Management.
3.1.4	CFO	Ensure monitoring systems are in place to enable the CCG not to exceed delegated limits.
4.1.1	CFO	Periodically review assumptions, submit a report to the CCG annually showing total allocations received and their proposed distribution.
4.1.1	CFO	Regularly update the CCG on significant changes to the initial allocations and the uses of such funds
4.2.1	AO	Compile and submit to the CCGB the Operating Plan which takes into account financial targets and forecast limits of available resources. The plan will contain:

SFI REF	DELEGATED TO	AUTHORITIES/DUTIES DELEGATED
		<ul style="list-style-type: none"> • a statement of the significant assumptions on which the plan is based; • details of major changes in workload, delivery of services or resources required to achieve the plan
4.2.2 & 4.2.3	CFO	Submit budgets to the CCGB for approval. Monitor performance against budgets; submit to the CCGB financial estimates and forecasts.
4.2.5	CFO	Ensure adequate training is delivered on an on-going basis to budget holders.
4.3.1	AO	Delegate budget to budget holders.
4.3.2	AO & BUDGET HOLDERS	Must not exceed the budgetary total or virement limits set by the CCGB.
4.4.1	CFO	Devise and maintain systems of budgetary control.
4.4.2	BUDGET HOLDERS	Ensure that: a) no overspend or reduction of income that cannot be met from virement is incurred without prior consent of the CCGB; b) approved budget is not used for anything other than the specified purpose subject to rules of virement; c) no permanent employees are appointed without the approval of the AO other than those provided for within available resources and manpower establishment.
4.4.3	AO	Identify and implement cost improvements and income generation activities in line with the plans.
4.6.1	AO	Submit monitoring returns.
5.1	CFO	Preparation of annual accounts and reports.
6.1	CFO	Managing banking arrangements, including provision of banking services, operation of accounts, preparation of instructions and list of cheque signatories. (Audit Committee approves arrangements.)
7	CFO	Income systems, including system design, prompt banking, review and approval of fees and charges, debt recovery arrangements, design and control of receipts, provision of adequate facilities and systems for employees whose duties include collecting or holding cash.
7.2.3	ALL EMPLOYEES	Duty to inform CFO of money due from transactions which they initiate/deal with.

SFI REF	DELEGATED TO	AUTHORITIES/DUTIES DELEGATED
8.	AO	Tendering and contracting procedure.
8.5.3	AO	Waive formal tendering procedures.
8.5.3	AO	Report waivers of tendering procedures to the Audit Committee.
8.5.5	CFO	Where a supplier is chosen that is not on the approved list the reason shall be recorded in writing to the AO, the Clinical Commissioning Committee or the CCGB.
8.6.2 & 8.6.3	AO	Responsible for the receipt, endorsement and safe custody of tenders received.
8.6.4	AO	Shall maintain registers to show each set of competitive tender invitations despatched.
8.6.5	AO AND CFO	Where one tender is received will assess for value for money and fair price.
8.6.7	AO	No tender shall be accepted which will commit expenditure in excess of that which has been allocated by the CCG and which is not in accordance with these Instructions except with the authorisation of the Accountable Officer.
8.6.9	AO	Will appoint a manager to maintain a list of approved firms.
8.6.9	AO	Shall ensure that appropriate checks are carried out as to the technical and financial capability of those firms that are invited to tender or quote.
8.7.2	AO	The Accountable Officer or his/her nominated officer should evaluate the quotation and select the quote which gives the best value for money.
8.7.4	AO	No quotation shall be accepted which will commit expenditure in excess of that which has been allocated by the CCG and which is not in accordance with these Instructions except with the authorisation of the Accountable Officer.
8.10	AO	The Accountable Officer shall demonstrate that the use of private finance represents value for money and genuinely transfers risk to the private sector.
8.10	CCG BOARD	All PFI/LIFT proposals must be agreed by the CCGB.
8.11	AO	The Accountable Officer shall nominate an officer who shall oversee and manage each contract on behalf of the CCG.
8.12	AO	The Accountable Officer shall nominate officers with delegated authority to enter into contracts of

SFI REF	DELEGATED TO	AUTHORITIES/DUTIES DELEGATED
		employment, regarding staff, agency staff or temporary staff service contracts.
8.14.1	AO	The Accountable Officer shall be responsible for ensuring that best value for money can be demonstrated for all services provided on an in-house basis.
8.14.5	AO	The Accountable Officer shall nominate an officer to oversee and manage each contract on behalf of the CCG
9.1.1	AO	Must ensure the CCG enters into suitable contracts with service providers for the provision of NHS services
9.3	AO	As the Accountable Officer, ensure that regular reports are provided to the CCG Board detailing actual and forecast expenditure against the contract.
10.2.1	AO	As the Accountable Officer, ensure secondary services are commissioned in line with the Integrated and Commissioning Plans and reach the required standards.
10.2.3	AO	As the Accountable Officer, ensure regular reports are provided to the CCG Board detailing actual and forecast expenditure for each contract.
10.2.4	AO	As the Accountable Officer, ensure that all agreements for provision of services with non-NHS providers achieve quality and are cost effective.
10.3.1	CFO	Will maintain a system of control to ensure effective accounting of expenditure against contracts.
10.3.2	CFO	Must account for Non contracted activity in accordance with national guidelines.
11.1.1	CCGB	Establish a Remuneration & Terms of Service Committee.
11.1.2	REMUNERATION COMMITTEE	Advise and make recommendations to the CCG Board on the remuneration and terms of service of the AO, other officer members and senior employees to ensure they are fairly rewarded having proper regard to the CCG's circumstances and any national agreements. Monitor and evaluate the performance of individual senior employees. Advise on and oversee appropriate contractual arrangements for such staff, including proper calculation and scrutiny of termination payments. This section also applies to CCG Board members, other committee members and officers subject to the national accreditation process
11.1.3	REMUNERATION COMMITTEE	Report in writing to the CCG Board its advice and its bases about remuneration and terms of service of directors and senior employees.
11.1.4	CCGB	Approve proposals presented by the AO for setting of remuneration and conditions of service for those employees and officers not covered by the Remuneration and Terms of Service Committee.

SFI REF	DELEGATED TO	AUTHORITIES/DUTIES DELEGATED
11.2.2	AO	Approval of variation to funded establishment of any department.
11.4.1 & 11.4.2	CFO	Payroll: a) specifying timetables for submission of properly authorised payroll notifications; b) final determination of pay and allowances; c) making payments on agreed dates; d) agreeing method of payment; e) issuing instructions (as listed in SFI 10.4.2).
11.4.3	NOMINATED MANAGERS, AS PER SCHEDULE OF AUTHORISED SIGNATORIES	Submit payroll notifications in the required form Submitting termination forms in prescribed form and on time.
11.4.4	CFO	Ensure that the chosen method for payroll processing is supported by appropriate (contracted) terms and conditions, adequate internal controls and audit review procedures and that suitable arrangements are made for the collection of payroll deductions and payment of these to appropriate bodies.
11.5	NOMINATED MANAGER*	Ensure that all employees are issued with a Contract of Employment in a form approved by the CCG Board and which complies with employment legislation; Deal with variations to, or termination of, contracts of employment.
12.1.1	CCGB	The CCG Board will approve the level of non-pay expenditure on an annual basis.
12.1.1 & 12.1.2	AO	Determine, and set out, levels of delegation of non-pay expenditure to budget managers, including a list of managers authorised to place requisitions, the maximum level of each requisition and the system for authorisation above that level.
12.1.3	AO	Set out procedures on the seeking of professional advice regarding the supply of goods and services.
12.2.1	NOMINATED MANAGER	In choosing the item to be supplied (or the service to be performed) shall always obtain the best value for money for the CCG. In so doing, the advice of the CCG's adviser on supply shall be sought.
12.2.2	CFO	Shall be responsible for the prompt payment of accounts and claims.
12.2.3	CFO	a) Advise the CCGB regarding the setting of thresholds above which quotations (competitive or otherwise) or formal tenders must be obtained; and, once approved, the thresholds should be incorporated in standing orders and regularly reviewed; b) Prepare procedural instructions (where not already provided in the Scheme of Delegation or

SFI REF	DELEGATED TO	AUTHORITIES/DUTIES DELEGATED
		<p>procedure notes for budget holders) on the obtaining of goods, works and services incorporating the thresholds;</p> <p>c) Be responsible for the prompt payment of all properly authorised accounts and claims;</p> <p>d) Be responsible for designing and maintaining a system of verification, recording and payment of all amounts payable;</p> <p>e) A timetable and system for submission to the CFO of accounts for payment; provision shall be made for the early submission of accounts subject to cash discounts or otherwise requiring early payment;</p> <p>f) Instructions to employees regarding the handling and payment of accounts within the Finance Department;</p> <p>g) Be responsible for ensuring that payment for goods and services is only made once the goods and services are received.</p>
12.2.4	APPROPRIATE EXECUTIVE DIRECTOR	Make a written case to support the need for a prepayment.
12.2.4	CFO	Approve proposed prepayment arrangements.
12.2.4	BUDGET HOLDER	Ensure that all items due under a prepayment contract are received (and immediately inform CFO if problems are encountered).
12.2.5	AO	Authorise who may use and be issued with official orders.
12.2.6	MANAGERS AND OFFICERS	Ensure that they comply fully with the guidance and limits specified by the CFO
12.2.7	AO & CFO	Ensure that the arrangements for financial control and financial audit of building and engineering contracts and property transactions comply with the guidance contained within CONCODE and ESTATECODE. The technical audit of these contracts shall be the responsibility of the CFO,.
12.3	CFO	Lay down procedures for payments to local authorities and voluntary organisations made under the powers of section 256 of the NHS Act 2006.
13	CFO	Ensure that CCGB members are aware of the Financial Framework and ensure compliance
14.1.1 & 14.1.2	AO	<p>Capital investment programme:</p> <p>a) ensure that there is an adequate appraisal and approval process for determining capital expenditure priorities and the effect that each has on plans;</p> <p>b) responsible for the management of capital schemes and for ensuring that they are delivered on time and within cost;</p> <p>c) ensure that capital investment is not undertaken without availability of resources to finance all</p>

SFI REF	DELEGATED TO	AUTHORITIES/DUTIES DELEGATED
		revenue consequences; d) ensure that a business case is produced for each proposal.
14.1.2	CFO	Certify professionally the costs and revenue consequences detailed in the business case for capital investment.
14.1.3	AO	Issue procedures for management of contracts involving stage payments.
14.1.4	CFO	Assess the requirement for the operation of the construction industry taxation deduction scheme
14.1.3	CFO	Issue procedures for the regular reporting of expenditure and commitment against authorised capital expenditure.
14.1.4	AO	Issue manager responsible for any capital scheme with authority to commit expenditure, authority to proceed to tender and approval to accept a successful tender. Issue a scheme of delegation for capital investment management.
14.1.5	CFO	Issue procedures governing financial management, including variation to contract, of capital investment projects and valuation for accounting purposes.
14.2.1	CFO	Demonstrate that the use of private finance represents value for money and genuinely transfers significant risk to the private sector.
14.2.1	CCGB	Proposal to use PFI/LIFT must be specifically agreed by the CC B
14.3.1	AO	Maintenance of asset registers (on advice from CFO).
14.3.5	CFO	Approve procedures for reconciling balances on fixed assets accounts in ledgers against balances on fixed asset registers.
14.3.8	CFO	Calculate and pay capital charges in accordance with Department of Health requirements.
14.4.1	AO	Overall responsibility for fixed assets.
14.4.2	CFO	Approval of fixed asset control procedures.
14.4.4; 14.4.5	CCGB, EXECUTIVE MEMBERS AND ALL STAFF	Responsibility for security of CCG assets including notifying discrepancies to CFO, and reporting losses in accordance with CCG procedures.
15.2	AO	Delegate overall responsibility for control of stores (subject to CFO responsibility for systems of control). Further delegation for day-to-day responsibility subject to such delegation being recorded. (Good practice to append to the scheme of delegation document.)

SFI REF	DELEGATED TO	AUTHORITIES/DUTIES DELEGATED
15.2	CFO	Responsible for systems of control over stores and receipt of goods.
15.2	DESIGNATED PHARMACEUTICAL OFFICER	Responsible for controls of pharmaceutical stocks.
15.2	NOMINATED OFFICERS*	Security arrangements and custody of keys.
15.2.3	CFO	Set out procedures and systems to regulate the stores.
15.2.4	CFO	Agree stocktaking arrangements.
15.2.5	CFO	Approve alternative arrangements where a complete system of stores control is not justified.
15.2.6	CFO	Approve system for review of slow moving and obsolete items and for condemnation, disposal and replacement of all unserviceable items.
15.2.6	NOMINATED MANAGER*	Operate system for slow moving and obsolete stock, and report to CFO evidence of significant overstocking.
15.3.1	AO	Identify persons authorised to requisition and accept goods from NHS purchasing arrangements.
16.1.1	CFO	Prepare detailed procedures for disposal of assets including condemnations and ensure that these are notified to managers.
16.2.1	CFO	Prepare procedures for recording and accounting for losses, special payments and informing police in cases of suspected arson or theft.
16.2.2	ALL STAFF	Discovery or suspicion of loss of any kind must be reported immediately to either head of department or nominated officer. The head of department / nominated officer should then inform the AO and CFO.
16.2.2	CFO	Where a criminal offence is suspected CFO must inform the police if theft or arson is involved. In cases of fraud and corruption CFO must inform the relevant LCFS and CFSMS Regional Team in line with SofS directions.
16.2.2	CFO	Notify the Local Counter Fraud Specialist (LCFS) or NHS Counter Fraud & Security Management Services (,CFSMS) and External Audit of all frauds.
16.2.3 & 16.2.4	CFO	Notify CCG Board and External Auditors of losses caused by theft, arson, neglect of duty or gross carelessness (unless trivial).
16.2.5	CCGB	Approve the arrangements for the write off of losses (within limits delegated by DH).

SFI REF	DELEGATED TO	AUTHORITIES/DUTIES DELEGATED
16.2.7	CFO	Consider whether any insurance claim can be made.
16.2.8	CFO	Maintain losses and special payments register
17.1	CFO	Responsible for accuracy and security of computerised financial data.
17.1	CFO	Satisfy him/herself that new financial systems and amendments to current financial systems are developed in a controlled manner and thoroughly tested prior to implementation. Where this is undertaken by another organisation assurance of adequacy must be obtained from them prior to implementation.
17.1.3	SIRO (CFO)	Publish and maintain a Freedom of Information Publication Scheme. Individual officers to be responsible for providing responses to Freedom of Information requests that relate to their functions
17.2.1	RESPONSIBLE OFFICERS	Send proposals for general computer systems to CFO.
17.3	CFO	Ensure that contracts with other bodies for the provision of computer services for financial applications clearly define responsibility of all parties for security, privacy, accuracy, completeness and timeliness of data during processing, transmission and storage, and allow for audit review. Seek periodic assurances from the provider that adequate controls are in operation.
17.3 & 17.	CFO	Ensure that risks to the CCG from use of IT are identified and considered and that business continuity plans are in place.
17.4	CFO	Where computer systems have an impact on corporate financial systems satisfy him/herself that: a) systems acquisition, development and maintenance are in line with corporate policies; b) data assembled for processing by financial systems is adequate, accurate, complete and timely, and that a management rail exists; c) CFO and staff have access to such data; d) Such computer audit reviews are being carried out as are considered necessary.
18	CFO	Ensure all staff are made aware of the CCG's policies on the acceptance of gifts and other benefits in kind by staff.
19	AO	Ensure lists of all contractors are maintained up to date and systems are in place to deal with applications, resignations, inspection of premises etc. within contractors' terms of service.
19.3	CFO	Ensure only contractors included on the CCG lists receive payments; maintain a system of control to ensure prompt and accurate payments and validation of same.

SFI REF	DELEGATED TO	AUTHORITIES/DUTIES DELEGATED
20	AO	Retention of documents in accordance with Department of Health guidance.
21	AO	Risk management programme.
21	CCGB	Approve and monitor risk management programmes
21	CCGB	Decide whether the CCG will use the risk pooling schemes administered by the NHS Litigation Authority or self-insure for some or all of the risks (where discretion is allowed). Decisions to self-insure should be reviewed annually.
21.4	CFO	Where the CCGB decides to use the risk pooling schemes administered by the NHS Litigation Authority the CFO shall ensure that the arrangements entered into are appropriate and complementary to the risk management programme. The CFO shall ensure that documented procedures cover these arrangements Where the CCGB decides not to use the risk pooling schemes administered by the NHS Litigation Authority for any one or other of the risks covered by the schemes, the CFO shall ensure that the CCGB is informed of the nature and extent of the risks that are self-insured as a result of this decision. The CFO will draw up formal documented procedures for the management of any claims arising from third parties and payments in respect of losses that will not be reimbursed.
21.4	CFO	Ensure documented procedures cover management of claims and payments below the deductible (the CCG contribution in settlement of claims).

*Nominated officers and the areas for which they are responsible should be incorporated into the CCG's Detailed Scheme of Delegation