

**Cheshire and Merseyside Integrated Care Board – draft Scheme of
Reservation and Delegation (SoRD) 27th May 2022**

Ref	Decision / responsibility	Reserved to Board	Delegated to committee or sub-committee	Delegated to Chair / specified ICB Officer	Responsible for recommending a course of action	Operational Responsibility
1. Regulation, control, constitution & governance						
1.1	Determine the arrangements by which the ICB approves those decisions that are reserved for the Board where they have not been delegated	Board				Assistant Chief Executive
1.2	Consider and approve applications to NHS England on changes to the Constitution	Board			ICB Executive (the executive committee meeting)	Assistant Chief Executive
1.3	Prepare the ICB scheme of reservation and delegation (SORD), which sets out those decisions that are in statute the responsibility of the ICB and are reserved to the ICB Board, and those delegated to <ul style="list-style-type: none"> • committees and sub-committees, employees	Board			ICB Executive	Director of Finance

Ref	Decision / responsibility	Reserved to Board	Delegated to committee or sub-committee	Delegated to Chair / specified ICB Officer	Responsible for recommending a course of action	Operational Responsibility
1.4	Approval of the ICB scheme of reservation and delegation, which sets out those decisions that are the statutory responsibility of the Board and those delegated to the <ul style="list-style-type: none"> • Board • committees, sub-committees, or advisory panels of the ICB or • employees 	Board			ICB Executive	Director of Finance
1.5	Promote the governance arrangements of the ICB to employees and to people working on behalf of the ICB			ICB Executive		Assistant Chief Executive
1.6	Disclosure of non-compliance with the group's constitution (incorporating its standing orders, prime financial policies and scheme of reservation and delegation)	Board			Audit Committee Finance, Investment and Our Resources Committee	Assistant Chief Executive
1.7	Review of suspension of standing orders		Audit Committee			Assistant Chief Executive

Ref	Decision / responsibility	Reserved to Board	Delegated to committee or sub-committee	Delegated to Chair / specified ICB Officer	Responsible for recommending a course of action	Operational Responsibility
1.8	Suspension of standing orders	Board				Assistant Chief Executive
1.9	Preparation of the operational scheme of delegation (incl. financial limits) that underpins the group's overarching scheme of reservation and delegation		Finance, Investment and Our Resources Committee		Finance, Investment and Our Resources Committee	Director of Finance
1.10	Approval of the operational scheme of delegation (incl. financial limits) that underpins the ICB's overarching scheme of reservation and delegation	Board			Finance, Investment and Our Resources Committee	Director of Finance
1.11	Approve the ICB's prime financial policies financial governance	Board			Finance, Investment and Our Resources Committee	Director of Finance
1.12	Set out who can execute a document by signature / use of the seal	Board			ICB Executive	

Ref	Decision / responsibility	Reserved to Board	Delegated to committee or sub-committee	Delegated to Chair / specified ICB Officer	Responsible for recommending a course of action	Operational Responsibility
1.13	Approve the arrangements for discharging the ICB's statutory duties and functions	Board			ICB Executive	Assistant Chief Executive
1.14	Establish governance arrangements to support collective accountability between partner organisations for whole system delivery and performance, underpinned by the statutory and contractual accountabilities of individual organisations	Board			Quality and Performance Committee Finance, Investment and Our Resources Committee	Assistant Chief Executive
2. Strategy & Planning						
2.1	Approve the values and planning in accordance with strategic direction of the ICP	Board			Finance, Investment and Our Resources Committee	Director of Finance
2.2	Approve the ICB operating structure		ICB Executive	Chief Executive		

Ref	Decision / responsibility	Reserved to Board	Delegated to committee or sub-committee	Delegated to Chair / specified ICB Officer	Responsible for recommending a course of action	Operational Responsibility
2.4	Approve the ICB arrangements for engaging the public and key stakeholders in the ICB's planning and commissioning arrangements	Board			Transformation Committee	Assistant Chief Executive
2.5	Approve the ICB budgets that meet the financial duties of the ICB	Board			Finance, Investment and Our Resources Committee	
2.6	Agree a plan to meet the health and healthcare needs of the Cheshire & Merseyside population, within the context of the NHS national strategy, the C&M ICP Partnership integrated care strategy and place health and wellbeing strategies	Board			Transformation Committee	Assistant Chief Executive

Ref	Decision / responsibility	Reserved to Board	Delegated to committee or sub-committee	Delegated to Chair / specified ICB Officer	Responsible for recommending a course of action	Operational Responsibility
2.8	Allocate resources to deliver the <u>plan across the system</u> , determining what resources should be available to meet population need across C&M and in eachplace, and setting principles for how they should be allocated across services and providers (both revenue and capital)	Board			Finance, Investment and Our Resources Committee	Transformation Committee Place Directors through Place-Based Partnership Boards
2.9	Allocate resources to deliver <u>the plan at place</u> , determining what resources as delegated by the Board should be available to meet population need in place and setting principles for how they should be allocated across services and providers (both revenue and capital)	Board			Finance, Investment and Our Resources Committee	Transformation Committee Place Directors through Based Partnership Boards

Ref	Decision / responsibility	Reserved to Board	Delegated to committee or sub-committee	Delegated to Chair / specified ICB Officer	Responsible for recommending a course of action	Operational Responsibility
2.10	Approve decisions on the review, planning and procurement of primary medical care services (to reflect the terms of the delegation agreement with NHS England)		System Primary Care Committee		Place Primary Care Committee	Assistant Chief Executive
2.11	Approve the operating structure in each place		Executive Team			Place Directors
2.12	Agree <u>system-wide action</u> on data and digital: working with partners across the NHS and with local authorities to put in place smart digital and data foundations to connect health and care services to put the citizen at the center of their care		Transformation Committee		Executive Team	

Ref	Decision / responsibility	Reserved to Board	Delegated to committee or sub-committee	Delegated to Chair / specified ICB Officer	Responsible for recommending a course of action	Operational Responsibility
2.13	Agree <u>place action</u> on data and digital: working with partners across the NHS and with local authorities to put in place smart digital and data foundations to connect health and care services to put the citizen at the center of their care		Transformation Committee		Place Based Partnership Board	Place Directors
2.14	Agree C&M joint work on estates, procurement, supply chain and commercial strategies to maximise value for money across the system and support wider goals of development and sustainability		Finance, Investment and Our Resources Committee		Transformation Committee Place Based Partnerships	Director of Finance
2.15	Agree place action on estates, procurement, supply chain and commercial strategies to maximise value for money across the system and support wider goals of development and sustainability		Finance, Investment and Our Resources Committee		Transformation Committee Place Based Partnerships	Director of Finance

Ref	Decision / responsibility	Reserved to Board	Delegated to committee or sub-committee	Delegated to Chair / specified ICB Officer	Responsible for recommending a course of action	Operational Responsibility
2.16	Agree arrangements for planning, responding to and leading recovery from incidents (EPRR), to ensure NHS and partner organisations are joined up at times of greatest need, including taking on incident coordination responsibilities as delegated by NHSE/I	Board				Director of Performance
3. Annual Reports and Accounts						
3.1	Approval of the ICB annual report and annual accounts	Board			Audit Committee	Director of Finance
4. Partnership Working						
4.1	Agree joint working arrangements with partners that embed collaboration as the basis for delivery within the ICB plan	Board			Transformation Committee Place Based Partnerships	Assistant Chief Executive

Ref	Decision / responsibility	Reserved to Board	Delegated to committee or sub-committee	Delegated to Chair / specified ICB Officer	Responsible for recommending a course of action	Operational Responsibility
4.2	Develop joint working arrangements with partners in place that embed collaboration as the basis for delivery within the ICBplan	Board			Transformation Committee Place Based Partnerships	Assistant Chief Executive
4.3	Approve arrangementsfor coordinating the commissioning of services with other ICBs or with local authorities, where appropriate	Board			Transformation Committee Place Based Partnerships	Assistant Chief Executive
4.4	Approve arrangementsfor risk sharing and /or risk pooling with other organisations (for example arrangementsfor pooled funds with other ICBs or pooled budget arrangements under section 75 of the NHSAct 2006)	Board			Finance, Investment and Our Resources Committee	Director of Finance

Ref	Decision / responsibility	Reserved to Board	Delegated to committee or sub-committee	Delegated to Chair / specified ICB Officer	Responsible for recommending a course of action	Operational Responsibility
5. Employment, Remuneration, Workforce & OD						
5.1	Agree system implementation of people priorities including delivery of the People Plan and People Promise by aligning partners across the ICS to develop and support 'one workforce', including through closer collaboration across the health and care sector, with local government, the voluntary and community sector and volunteers	Board			People Board	Director of People
5.2	Agree implementation in Locality of People Priorities		Place Partnership Board		People Board	Director of People

Ref	Decision / responsibility	Reserved to Board	Delegated to committee or sub-committee	Delegated to Chair / specified ICB Officer	Responsible for recommending a course of action	Operational Responsibility
5.3	Accountability for the ICB's responsibilities as an employer including adopting a Code of Conduct for staff	Board			Audit Committee	Director of People
5.4	Approve the terms and conditions, remuneration and travelling or other allowances for Board members, including pensions and gratuities		Remuneration Committee		Finance, Investment and Our Resources Committee	Director of People
5.5	Approve the terms and conditions of employment for non- AFC employees including pensions, remuneration, fees and travelling or other allowances for employees of the ICB and to other persons providing services to the ICB		Remuneration Committee		People Board	Director of People
5.6	Approve any other terms and conditions of services for the ICB's AFC employees		Finance, Investment and Our Resources		ICB Executive	Director of People

Ref	Decision / responsibility	Reserved to Board	Delegated to committee or sub-committee	Delegated to Chair / specified ICB Officer	Responsible for recommending a course of action	Operational Responsibility
5.7i	Approve disciplinary arrangements for employees, excluding the accountable officer(where he/she is an employee of the ICB) and for other persons working on behalf of the ICB		Finance, Investment and Our Resources		ICB Executive	Director of People
5.7ii	Approve disciplinary arrangements for employees, including the accountable officer(where he/she is an employee of the ICB)		Remuneration Committee	Chair		Director of People
5.8	Approve disciplinary arrangements where the ICB has joint appointments with another group and the individuals are employees of thatgroup			Shared Chief Executive discussion		Director of People
5.9	Approval of the arrangements for discharging the ICB's statutory duties as an employer	Board	Finance, Investment and Our Resources		Finance, Investment and Our Resources ICB Executive	Director of People

Ref	Decision / responsibility	Reserved to Board	Delegated to committee or sub-committee	Delegated to Chair / specified ICB Officer	Responsible for recommending a course of action	Operational Responsibility
5.10	Approve human resources policies for ICB employees and for other persons working on behalf of the ICB		Finance, Investment and Our Resources		ICB Executive	Director of People
5.11	Approve arrangements for staff appointments (excluding matters detailed within the constitution)		Finance, Investment and Our Resources		ICB Executive	Director of People
5.11a	Appointment of ICB Chief Exec	Board			Remuneration Committee	Director of People
5.11b	Appointment of all other roles		Remuneration Committee (non AfC levels only)	ICB Executive		Chief Exec or other responsible Executive
5.12	Approve the ICB organisational development plans		Finance, Investment and Our Resources			
6. Quality and Safety						
6.1	Establish clinical governance arrangements to support collective accountability between partner organisations	Board			Quality and Performance Committee	Director of Nursing through System Quality Surveillance Group

Ref	Decision / responsibility	Reserved to Board	Delegated to committee or sub-committee	Delegated to Chair / specified ICB Officer	Responsible for recommending a course of action	Operational Responsibility
6.2	Approve arrangements to ensure duties are discharged effectively and foster the development of policies, processes and initiatives to minimise clinical risk, maximise patient safety, and promote equality to secure the continuous improvement in quality and patient outcomes	Board			Quality and Performance Committee	Director of Nursing
6.3	Approve the ICB arrangements for handling complaints		Quality and Performance Committee	ICB Executive		Director of Nursing
6.4	Approve the ICB arrangements for safeguarding children and vulnerable adults		Quality and Performance Committee	ICB Executive		Director of Nursing
6.5	Approve the ICB arrangements for engaging patients and their carers in decisions concerning their healthcare		Quality and Performance Committee	ICB Executive		Director of Nursing

Ref	Decision / responsibility	Reserved to Board	Delegated to committee or sub-committee	Delegated to Chair / specified ICB Officer	Responsible for recommending a course of action	Operational Responsibility
6.6	Approve arrangements for supporting the NHS in discharging its responsibilities in relation to securing continuous improvement in the quality of general medical services		Quality and Performance Committee	ICB Executive		Director of Nursing
6.7	Approve the arrangements for the quality oversight, assurance and improvement systems within the ICS.		Quality and Performance Committee	ICB Executive		Director of Nursing
6.8	Approve the arrangements for delivering the NHS Patient Safety Strategy to achieve its vision to continuously improve patient safety and to develop and implement the patient safety initiatives that the strategy introduced.		Quality and Performance Committee	ICB Executive		Director of Nursing
6.9	Agree the Strategy for Quality and Patient Safety inclusive of the aligned quality priorities for the system		Quality and Performance Committee	ICB Executive		Director of Nursing

Ref	Decision / responsibility	Reserved to Board	Delegated to committee or sub-committee	Delegated to Chair / specified ICB Officer	Responsible for recommending a course of action	Operational Responsibility
6.10	Agree the ICB arrangements for responding to and learning from patient safety events		Quality and Performance Committee	ICB Executive		Director of Nursing
6.11	Approve the operating structure for the monitoring, oversight and reporting on Quality and Safety in each place		Quality and Performance Committee	ICB Executive		Director of Nursing
7. Business operation and Risk Management						
7.1	Approve the ICB counter fraud and security management arrangements		Audit Committee			Director of Finance
7.2	Approval of the ICB risk management arrangements	Board			ICB Executive	Director of Finance
7.3	Approve ICB operational policies (i.e. excluding those defined as clinical or finance)				ICB Executive	Assistant Chief Executive

Ref	Decision / responsibility	Reserved to Board	Delegated to committee or sub-committee	Delegated to Chair / specified ICB Officer	Responsible for recommending a course of action	Operational Responsibility
7.4	Approve ICB financial policies		Finance, Investment and Our Resources Committee			Director of Finance
7.5	Approve ICB clinical policies and clinical pathways		Quality and Performance Committee	ICB Executive		Director of Nursing
7.6	Approve system-level arrangements to minimise clinical risk, maximise patient safety and to secure continuous improvement in quality and patient outcomes		Quality and Performance Committee	ICB Executive		Director of Nursing
7.7	Approve arrangements for managing conflicts of interest	Board			Audit Committee	Assistant Chief Executive
7.8	Approve arrangements for complying with the NHS Provider Selection Regime	Board			Finance, Investment and Our Resources Committee	Director of Finance
7.9	Report and provide assurance to the Board on the effectiveness of ICB governance arrangements		Audit Committee			Assistant Chief Executive

Ref	Decision / responsibility	Reserved to Board	Delegated to committee or sub-committee	Delegated to Chair / specified ICB Officer	Responsible for recommending a course of action	Operational Responsibility
7.10	Receive the annual governance letter from the External Auditor and advise the Board of proposed action		Audit Committee			Director of Finance
7.11	Approve the internal audit, external audit and counter-fraud plans and any changes to the provision or delivery of related services (other than the appointment or removal of the external auditor where authority is reserved to the Board)		Audit Committee			Director of Finance
8. Information Governance						
8.1	Approve the arrangements for ensuring appropriate and safekeeping and confidentiality of records and for the storage, management and transfer of information and data		Audit Committee			Advised and supported by IG & Data Security groups
8.2	Approve information sharing protocols with other organisations		ICB Executive			SIRO

Ref	Decision / responsibility	Reserved to Board	Delegated to committee or sub-committee	Delegated to Chair / specified ICB Officer	Responsible for recommending a course of action	Operational Responsibility
8.2	Approve arrangements for handling Freedom of Information requests		ICB Executive			Assistant Chief Executive
8.3	Approve arrangements for handling Freedom of Information requests		ICB Executive			Assistant Chief Executive
9. Partnership, joint or collaborative working						
9.1	Approve the arrangements governing joint or collaborative arrangements between the ICB and another statutory body(ies), where those arrangements incorporate decision making responsibilities	Board			Transformation Committee	Assistant Chief Executive
9.2	Approve the delegated decision-making responsibilities of individual employees of the ICB who represent the ICB in joint or collaborative arrangements with another statutory body(ies)	Board			Finance, Investment and Our Resources Committee	Chief Executive
9.3	Receive the minutes of meetings of, or reports from, joint or collaborative arrangements between the ICB and another statutory body(ies)	Board				Assistant Chief Executive

Ref	Decision / responsibility	Reserved to Board	Delegated to committee or sub-committee	Delegated to Chair / specified ICB Officer	Responsible for recommending a course of action	Operational Responsibility
10. Communications						
10.1	Approval of ICB communications plan	Board			Transformation Committee	Assistant Chief Executive
11. Arrangements for Patient & Public Involvement						
11.1	Approve arrangements for the involvement of and consultation with patients and the public in ICB decision making	Board			Transformation Committee	Assistant Chief Executive