

Buckinghamshire, Oxfordshire and Berkshire West Integrated Care Board (BOB ICB)

Scheme of Reservation and Delegation

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1. Introduction

This Scheme of Reservation and Delegation (the SoRDs) sets out the arrangements for the delegation of functions and shall have effect as if incorporated in the Buckinghamshire, Oxfordshire and Berkshire West Integrated Care Board's (BOB ICB's) Constitution.

The Health and Care Bill provides ICBs with statutory powers, functions and duties including:

- The ability to delegate to a committee or sub-committee of the ICB board, or to an individual board member or employee
- The flexibility to appoint individuals who are neither ICB employees nor board members to ICB committees and sub-committees
- The power to agree with trusts and/or local authorities the exercising of functions on behalf of the ICB or jointly with the ICB

The BOB ICB remains accountable for all its functions, including those that it has delegated.

The SoRDs set out the functions, powers and decisions of the BOB ICB that are:

- Reserved to the BOB ICB Board itself
- Delegated to individuals (board members of employees)
- Delegated to committees and sub-committees established by the BOB ICB Board
- Delegated to other statutory bodies using the Board's new legal powers to delegate functions to another organisation or to a joint committee with another organisation
- Any functions that have been delegated to the BOB ICB by other bodies: NHS England/Improvement primary care; specialised commissioning

2. Committees of the Integrated Care Board

2.1 Committees established

The Committees established by the ICB are all outlined in the 'Functions and Decision map' which is included in the Governance Handbook along with their Terms of Reference.

2.2 Place Based Partnerships (PBPs)

Any delegated function may only be carried out for the place geographical area as defined (by local authority boundaries / lower layer super output areas) in the 'Functions and Decision' map in the Governance Handbook.

The SoRDs indicate which functions that are delegated to PBPs. Over 2022/23 there will be further development of the role of the PBPs and an intent to delegate more authority, these SoRDS will be updated to reflect this.

3. Delegation to an Officer

When items are reserved / delegated to the Chief Executive Officer (CEO), the CEO may choose to delegate delivery to a member of the executive / director team in line with agreed roles.

4. Discharge of BOB ICB Functions

The following tables show those matters that are reserved and delegated for the discharge of BOB ICB functions.

Serial No.	Policy Area / Domain	Decision	Reserved to the Board	Reserved or delegated to Committee	Reserved or delegated to Officer	Reserved or delegated to other specified statutory bodies	Reserved or delegated to Place partnerships
RC1	Regulation & Control Internal	Preparation of the ICB's overarching Scheme of Reservation and Delegation, which sets out those decisions reserved to the ICB and those delegated to: Committees and sub-committees of the ICB, or its members or employees; Place based partnerships; Individual Members of the ICB; an individual who is not a Member of the ICB but is a specified person in the ICB's Constitution		✓ Audit & Risk Committee			
RC2	Regulation & Control Internal	Approve the ICB's Scheme of Reservation and Delegation	✓				
RC3	Regulation & Control Internal	Prepare and annually approve the ICB's Detailed Delegated Financial Limits, which sets out the delegation of key financial operational decisions and delegated decision limits; approval of any exceptional in-year changes		✓ System Productivity Committee			
RC4	Regulation & Control Internal	Consider and approve applications to NHS England on any significant matter concerning changes to the ICB's Constitution	✓				

Serial No.	Policy Area / Domain	Decision	Reserved to the Board	Reserved or delegated to Committee	Reserved or delegated to Officer	Reserved or delegated to other specified statutory bodies	Reserved or delegated to Place partnerships
RC5	Regulation & Control Internal	Develop and approval of changes to the Governance Handbook		✓ Audit & Risk Committee			
RC6	Regulation & Control Internal	Approval of appointments to each of the committees which the ICB has formally constituted			✓ Chair		
RC7	Regulation & Control Internal / Partnership	Design and Approval of terms of reference and reporting arrangements of all committees and sub-committees that are established by the ICB	✓				
RC8	Regulation & Control Internal	Approval of suspension of the Standing Orders	✓				
RC9	Regulation & Control Internal	Review of every decision to suspend Standing Orders		✓ Audit & Risk Committee			
RC10	Regulation & Control Internal	Ratification or otherwise of instances of failure to comply with Standing Orders		✓ Audit & Risk Committee			
RC11	Regulation & Control Internal	Ratification or action following instances of failure to comply with Standing Financial Instructions		✓ Audit & Risk Committee			
RC12	Regulation & Control	Exercising of the powers that the ICB has reserved to itself in an			✓ Chair		

Serial No.	Policy Area / Domain	Decision	Reserved to the Board	Reserved or delegated to Committee	Reserved or delegated to Officer	Reserved or delegated to other specified statutory bodies	Reserved or delegated to Place partnerships
	Internal	emergency or for an urgent decision					
RC13	Regulation & Control Internal	Ratification of any urgent decisions taken under RC12	✓				
RC14	Regulation & Control Internal	Monitor progress on delivery of the duty of the ICB to act effectively, efficiently and economically		✓ System Productivity Committee			
RC15	Regulation & Control Internal	Design and approve process for all policy development and approval		✓ Audit & Risk Committee			
RC16	Regulation & Control Internal	Oversight of the IFR (Individual Funding Request) process and high-cost drugs prescribing		✓ Population Health & Patient Experience Committee			
RC17	Regulation & Control Internal	Execution of documents by signature or seal on behalf of the ICB			✓ Chief Executive Officer or Chair		
RC18	Regulation & Control Internal	Approval and signature of all documents which will be necessary in legal proceedings			✓ Chief Executive Officer or Chair		

Serial No.	Policy Area / Domain	Decision	Reserved to the Board	Reserved or delegated to Committee	Reserved or delegated to Officer	Reserved or delegated to other specified statutory bodies	Reserved or delegated to Place partnerships
RC19	Regulation & Control Internal	Deciding the interpretation of Standing Orders in the event of ambiguity			✓ Chair		
RC20	Regulation & Control Internal	Final ruling in questions of order, relevancy and regularity of meetings			✓ Chair		
RC21	Regulation & Control Internal	Reviewing the ICB's governance arrangements to ensure that the ICB continues to reflect the principles of good governance (including annual self-assessment and external review at least every three years)		✓ Audit & Risk Committee			
RC22	Regulation & Control Internal / Partnership	Agreeing the arrangements for place partnership governance	✓				
RC23	Regulation & Control Internal / Partnership	Reviewing place governance arrangements annually and recommending changes to the ICB			✓ Chief Executive Officer (in conjunction with place based partnerships)		
AS1	ICB Appointments & Succession Internal	Set out the arrangements for appointments to the ICB, including approval of roles and recruitment processes		✓ Remuneration Committee			

Serial No.	Policy Area / Domain	Decision	Reserved to the Board	Reserved or delegated to Committee	Reserved or delegated to Officer	Reserved or delegated to other specified statutory bodies	Reserved or delegated to Place partnerships
AS2	ICB Appointments & Succession Internal	Agree the arrangements for appointment processes, including approval of roles and recruitment processes		✓ Remuneration Committee			
AS3	ICB Appointments & Succession Internal	Approve arrangements for identifying the ICB's proposed Accountable Officer		✓ Remuneration Committee			
AS4	ICB Appointments & Succession Internal	Approve the candidate to be put forward to NHS England for appointment as the CEO			✓ Chair		
AS5	ICB Appointments & Succession Internal	Appointment of the Chair				✓ NHS England	
AS6	ICB Appointments & Succession Internal	Appointment of the Deputy Chair (NEM)			✓ Chair		
AS7	ICB Appointments & Succession Internal	Appointment of the Non-Executive Members of the ICB			✓ Chair		
AS8	ICB Appointments & Succession Internal	Appointment of Executive directors of the ICB			✓ Chief Executive Officer		
AS9	ICB Appointments & Succession Internal	Appointment of the Partner Members of the ICB			✓ Chair		
AS10	ICB Appointments & Succession	Approval of all Members of the ICB Board			✓		

Serial No.	Policy Area / Domain	Decision	Reserved to the Board	Reserved or delegated to Committee	Reserved or delegated to Officer Chair	Reserved or delegated to other specified statutory bodies	Reserved or delegated to Place partnerships
SP1	Internal / Partnership Strategy & Planning Partnership	Agree the vision, values and overall strategic direction of the ICB to support delivery of health and well being and ICP strategies	✓				
SP2	Strategy & Planning Internal	Approve annually the ICB's proposed organisational development proposals		✓ People Committee			
SP3	Strategy & Planning Partnership	Approve the ICB's Five Year Forward Plan	✓				
SP4	Strategy & Planning Partnership	Approve five year Place Delivery Plans					✓
SP5	Strategy & Planning Internal / Partnership	Prepare and recommend to the ICB the Five Year Forward Plan			✓ Chief Executive Officer		
SP6	Strategy & Planning Internal	Develop an Operating Plan for the ICB			✓ Chief Executive Officer		
SP7	Strategy & Planning Internal / Partnership	Approve the Operating Plan for the ICB incorporating delivery priorities, finance and workforce	✓				
SP8	Strategy & Planning	Prepare budgets for the application of available financial			✓		

Serial No.	Policy Area / Domain	Decision	Reserved to the Board	Reserved or delegated to Committee	Reserved or delegated to Officer	Reserved or delegated to other specified statutory bodies	Reserved or delegated to Place partnerships
	Internal / Partnership	resources to support the agreed Annual Operating Plan and to further relevant and agreed elements of NHS England's Annual Operating Plan for approval by the ICB			Chief Executive Officer		
C1	Compliance Internal	Approval of the ICB's Annual Report and Annual Accounts		✓ Audit & Risk Committee			
C2	Compliance Internal	Approving a timetable for producing the annual report and accounts		✓ Audit & Risk Committee			
C3	Compliance Internal	Preparation of the ICB's Annual Report and Annual Accounts			✓ Chief Executive Officer		
C4	Compliance Internal	Receive an annual report from the internal auditor and agree proposed action, taking account of the advice, where appropriate, of the Audit Committee			✓ Chief Executive Officer		
C5	Compliance Internal	Design and maintain the arrangements for managing conflicts of interest and declarations of hospitality			✓ Chief Executive Officer		
C6	Compliance Internal	Approve the proposals for managing conflicts of interest and declarations of hospitality		✓			

Serial No.	Policy Area / Domain	Decision	Reserved to the Board	Reserved or delegated to Committee	Reserved or delegated to Officer	Reserved or delegated to other specified statutory bodies	Reserved or delegated to Place partnerships
				Audit & Risk Committee			
C7	Compliance Internal	Design and maintain the ICB's arrangements for handling complaints			✓ Chief Executive Officer		
C8	Compliance Internal	Design and maintain the arrangements for all aspects of Information Governance including ensuring appropriate safekeeping and confidentiality of records and for the storage, management and transfer of information and data			✓ Chief Executive Officer		
C9	Compliance Internal	Determining and Approving arrangements for handling Freedom of Information requests			✓ Chief Executive Officer		
C10	Compliance Internal	Approval of the arrangements for all aspects of Information Governance including ensuring appropriate and safekeeping and confidentiality of records and for the storage, management and transfer of information and data		✓ Audit & Risk Committee			
PM1	People Management Internal	Approve the arrangements for discharging the ICB's statutory duties as an employer		✓ Remuneration Committee			

Serial No.	Policy Area / Domain	Decision	Reserved to the Board	Reserved or delegated to Committee	Reserved or delegated to Officer	Reserved or delegated to other specified statutory bodies	Reserved or delegated to Place partnerships
PM2	People Management Internal	Approve the terms and conditions, remuneration allowances for ICB members, including pensions and gratuities		✓ Remuneration Committee			
PM3	People Management Internal	Recommend the terms and conditions of employment for all employees of the ICB, including matters relating to termination of appointment			✓ Chief Executive Officer		
PM4	People Management Internal	Recommend pensions, remuneration, fees and allowances (including severance packages and employee tribunal settlements) payable to employees and to other persons providing services to the ICB			✓ Chief Executive Officer		
PM5	People Management Internal	Approve pensions, remuneration, fees and allowances (including severance packages and employee tribunal settlements) payable to employees and to other persons providing services to the ICB		✓ Remuneration Committee			
PM6	People Management Internal	Approve disciplinary arrangements for employees, including the CEO (where he/she is an employee or Member of the ICB) and for		✓ Remuneration Committee			

Serial No.	Policy Area / Domain	Decision	Reserved to the Board	Reserved or delegated to Committee	Reserved or delegated to Officer	Reserved or delegated to other specified statutory bodies	Reserved or delegated to Place partnerships
		other persons working on behalf of the ICB					
PM7	People Management Internal	Consider severance payments of the CEO and other senior staff		✓ Remuneration Committee			
PM8	People Management Internal	Appoint permanent employees within available resources and staffing establishment			✓ Chief Executive Officer		
PM9	People Management Internal	Nominate officers with delegated authority to enter into contracts of employment, regarding staff, agency staff or temporary staff service contracts			✓ Chief Executive Officer		
PM10	People Management Internal	Oversee how the ICB discharges its duties to promote education and training			✓ Chief Executive Officer		
PM11	People Management Internal	Agree and issue instructions for methods of payment through payroll			✓ Chief Executive Officer		
PM12	People Management Internal	Vary or terminate contracts of employment			✓ Chief Executive Officer		
QS1	Quality & Safety Partnership	Develop and approve arrangements, including supporting policies, to minimise			✓		

Serial No.	Policy Area / Domain	Decision	Reserved to the Board	Reserved or delegated to Committee	Reserved or delegated to Officer	Reserved or delegated to other specified statutory bodies	Reserved or delegated to Place partnerships
		clinical risk, maximise patient safety and secure continuous improvement in quality and patient outcomes across the system			Chief Executive Officer		
QS2	Quality & Safety Partnership	Monitor the delivery of the duty to secure continuous improvement in the quality of services		✓ Population Health & Patient Experience Committee			
QS3	Quality & Safety Partnership	Approve proposals for ensuring quality and developing clinical governance in services provided by the ICB, its providers, or its constituent place-based partnerships		✓ Population Health & Patient Experience Committee			
QS4	Quality & Safety Partnership	Commission care pathways and services that support the vision of the ICB and promote clinical quality and safety in all commissioned services, making recommendations to the ICB as appropriate			✓ Chief Executive Officer (advised by the place based partnerships)		
QS5	Quality & Safety Partnership	Establish performance and quality measures that maintain the effective use of resources and provide value for money			✓ Chief Executive Officer		

Serial No.	Policy Area / Domain	Decision	Reserved to the Board	Reserved or delegated to Committee	Reserved or delegated to Officer	Reserved or delegated to other specified statutory bodies	Reserved or delegated to Place partnerships
QS6	Quality & Safety Partnership	Oversee the framework for assurance of service quality provided by constituent primary medical practices and the approach to ensuring continuous improvement			✓ Chief Executive Officer		
QS7	Quality & Safety Partnership	Monitor progress of delivery of assistance and support to NHS England in its duty to improve the quality of primary medical services		✓ Population Health & Patient Experience Committee			
QS8	Quality & Safety Partnership	Advise on quality and governance, having regard to any guidance by the Secretary of State, and including preparation of proposals to develop and monitor clinical standards in the ICB and its constituent partnerships and practices			✓ Chief Executive Officer		
QS9	Quality & Safety Partnership	Monitor progress of delivery of promotion of involvement of patients, carers, and representatives in decisions about their healthcare		✓ Population Health & Patient Experience Committee			

Serial No.	Policy Area / Domain	Decision	Reserved to the Board	Reserved or delegated to Committee	Reserved or delegated to Officer	Reserved or delegated to other specified statutory bodies	Reserved or delegated to Place partnerships
QS10	Quality & Safety Partnership	Monitor progress of delivery of enabling patients to make choices		✓ Population Health & Patient Experience Committee			
QS11	Quality & Safety Partnership	Monitor promotion of use of research and progress of delivery		✓ Population Health & Patient Experience Committee			
QS12	Quality & Safety Partnership	Monitoring progress of delivery of service integration		✓ Place and System Development Committee			
QS13	Quality & Safety Partnership	Receive and scrutinise independent investigation reports relating to patient safety issues and agree publication plans			✓ Chief Executive Officer		
QS14	Quality & Safety Partnership	Provide assurance of safeguarding children and adults		✓ Population Health & Patient			

Serial No.	Policy Area / Domain	Decision	Reserved to the Board	Reserved or delegated to Committee	Reserved or delegated to Officer	Reserved or delegated to other specified statutory bodies	Reserved or delegated to Place partnerships
				Experience Committee			
QS15	Quality & Safety Partnership	Oversee fulfilment by the ICB of its statutory duties to reduce inequalities	✓				
QS16	Quality & Safety Partnership	Oversee process and compliance issues concerning serious incidents		✓ Population Health & Patient Experience Committee			
QS17	Quality & Safety Partnership	Prepare proposals (having regard to any guidance by the Secretary of State) for the ICB for practice incentive schemes to improve the quality of primary care			✓ Chief Executive Officer		
QS18	Quality & Safety Partnership	Oversee how the ICB secures health services that are provided in a way that promotes awareness of and have regard to, the NHS Constitution		✓ Population Health & Patient Experience Committee			
OMR1	Operational Management & Risk Internal	Prepare and recommend a detailed financial scheme of delegation that sets out who has responsibility for operational decisions within the ICB			✓ Chief Executive Officer		

Serial No.	Policy Area / Domain	Decision	Reserved to the Board	Reserved or delegated to Committee	Reserved or delegated to Officer	Reserved or delegated to other specified statutory bodies	Reserved or delegated to Place partnerships
OMR2	Operational Management & Risk Internal	Approve the ICB's counter fraud and security management arrangements		✓ Audit & Risk Committee			
OMR3	Operational Management & Risk Partnership	Oversight of Place risk within the overall ICB framework					✓
OMR4	Operational Management & Risk Partnership	Approve and monitor risk management programme		✓ Audit & Risk Committee			
OMR5	Operational Management & Risk Internal	Oversight of external audit, internal audit, local counter fraud services and other external assurance functions		✓ Audit & Risk Committee			
OMR6	Operational Management & Risk Internal	Monitor and ensure compliance with Directions issued by the Secretary of State for Health on fraud and corruption including the appointment of the Local Counter Fraud Specialist		✓ Audit & Risk Committee			
OMR7	Operational Management & Risk Internal	Decide at what stage to involve police in cases of misappropriation and other irregularities not involving fraud or corruption			✓ Chief Executive Officer		
OMR8	Operational Management & Risk Partnership	Approve arrangements for risk sharing and or risk pooling with other organisations (for example	✓				

Serial No.	Policy Area / Domain	Decision	Reserved to the Board	Reserved or delegated to Committee	Reserved or delegated to Officer	Reserved or delegated to other specified statutory bodies	Reserved or delegated to Place partnerships
		arrangements for pooled funds with ICBs or pooled budget arrangements under section 75 of the NHS Act 2006)					
OMR9	Operational Management & Risk Internal	Approve proposals for action on litigation against or on behalf of the ICB			✓ Chief Executive Officer		
OMR10	Operational Management & Risk Internal	Make proposals for individual compensation payments			✓ Chief Executive Officer		
OMR11	Operational Management & Risk Internal	Ratify the Audit Committee's proposals for individual compensation payments	✓				
OMR12	Operational Management & Risk Internal	Approve the ICB's arrangements for business continuity and emergency planning	✓				
OMR13	Operational Management & Risk Internal	Approve the ICB's arrangements for managing dispute resolution		✓ Audit & Risk Committee			
ONR14	Operational Management & Risk Partnership	Oversee the maintenance and operation of a system risk strategy and a risk register		✓ Audit & Risk Committee			
OMR15	Operational Management & Risk Internal	Provide independent and objective view on internal control and probity		✓ Audit & Risk Committee			

Serial No.	Policy Area / Domain	Decision	Reserved to the Board	Reserved or delegated to Committee	Reserved or delegated to Officer	Reserved or delegated to other specified statutory bodies	Reserved or delegated to Place partnerships
TC1	Tendering & Contracting Internal	Approval of the ICB's contracts for corporate support (for example finance management systems provision, commissioning support)			✓ Chief Executive Officer		
TC2	Tendering & Contracting Internal	Approval of the introduction or discontinuance of any significant activity or operation. An activity or operation shall be regarded as significant if it has a gross annual income or expenditure (that is before any set off) of a value described in the Financial SORD		✓ System Productivity Committee			
TC3	Tendering & Contracting Internal	Authorisation of expenditure in excess of tender price (within delegated limits approved by ICB)		✓ System Productivity Committee			
TC4	Tendering & Contracting Internal	Oversight and approval of the procurement, contracting, performance management and decision-making process		✓ System Productivity Committee			
TC5	Tendering & Contracting Internal	Approval of process for waiver of formal tendering procedures		✓ Audit & Risk Committee			
TC6	Tendering & Contracting	Approval of waiver of formal tendering procedures			✓		

Serial No.	Policy Area / Domain	Decision	Reserved to the Board	Reserved or delegated to Committee	Reserved or delegated to Officer	Reserved or delegated to other specified statutory bodies	Reserved or delegated to Place partnerships
	Internal				Chief Finance Officer and Chief Executive Officer		
TC7	Tendering & Contracting Internal	Nomination of an officer, senior member of staff or a member of a shared service organisation to provide day to day operational oversight for each contract on behalf of the ICB			✓ Chief Executive Officer		
PW1	Partnership Working Partnership	Approve the scope of decisions and funding delegated by the ICB under section 75 of the 2006 Act	✓				
PW2	Partnership Working Partnership	Approve the scope of decisions delegated to committees established under the 2006 Act (as amended 2022)	✓				
PW3	Partnership Working Partnership	Approve arrangements for co-ordinating the commissioning of services with other ICBs and or with the local authority(ies), where appropriate	✓				
PW4	Partnership Working Partnership	Approval of contribution to Joint Strategic Needs Assessment					✓
PW5	Partnership Working Partnership	Approval of joint commissioning delivery arrangements (staff resource and development of		✓ (Strategic)			✓ (Operational)

Serial No.	Policy Area / Domain	Decision	Reserved to the Board	Reserved or delegated to Committee	Reserved or delegated to Officer	Reserved or delegated to other specified statutory bodies	Reserved or delegated to Place partnerships
		integrated teams) with local authorities					
PW6	Partnership Working Partnership	Oversight of contribution to the Joint Strategic Needs Assessment, making recommendations as appropriate to the ICB					✓
PW7	Partnership Working Partnership	Approve on behalf of the ICB joint commissioning arrangements with other partners as appropriate	✓				
CHC1	Commissioning of Health and Care Partnership	Approval of the arrangements for discharging the ICB's statutory duties associated with its commissioning functions, including obtaining appropriate advice and public engagement and consultation			✓ Chief Executive Officer		
CHC2	Commissioning of Health and Care Partnership	Approval of service development or discontinuance as set out in the detailed financial scheme of delegation			✓ Chief Executive Officer (advised by place based partnerships)		
CHC3	Commissioning of Health and Care Partnership	Approval of service specifications and methods of securing services			✓ Chief Executive Officer		

Serial No.	Policy Area / Domain	Decision	Reserved to the Board	Reserved or delegated to Committee	Reserved or delegated to Officer (advised by place based partnerships)	Reserved or delegated to other specified statutory bodies	Reserved or delegated to Place partnerships
CHC4	Commissioning of Health and Care Internal	Commissioning of Primary Medical Services as delegated from NHS England			✓ Chief Executive Officer		
CHC5	Commissioning of Health and Care Internal	Commissioning of Pharmacy, Optometry and Dental (POD) services			✓ Chief Executive Officer		
CHC6	Commissioning of Health and Care Internal	Commissioning of Highly Specialised Services				✓ NHSE	
CHC7	Commissioning of Health and Care Partnership	Commissioning of health and social care services that are of common interest for 2 or more ICBs				✓ NHSE	
FA1	Finance & Audit Internal	Approval of Financial Allocation Policy to each Place Based Partnership	✓				
FA2	Finance & Audit Internal	Approval of the arrangements for discharging the ICB's statutory financial duties		✓ System Productivity Committee			
FA3	Finance & Audit Internal	Approval of the ICB's corporate budgets		✓			

Serial No.	Policy Area / Domain	Decision	Reserved to the Board	Reserved or delegated to Committee	Reserved or delegated to Officer	Reserved or delegated to other specified statutory bodies	Reserved or delegated to Place partnerships
				System Productivity Committee			
FA4	Finance & Audit Internal	Approval of variations to the approved budget where variation would have a significant impact on the overall approved levels of income and expenditure or the ICB's ability to achieve its agreed strategic aims		✓ System Productivity Committee			
FA5	Finance & Audit Internal	Approval of overspend or reduction of income that cannot be met from virement		✓ System Productivity Committee			
FA6	Finance & Audit Internal	Monitoring the progress of delivery of the ICB's general financial duties		✓ System Productivity Committee			
FA7	Finance & Audit Internal	Approve amendments to Standing Financial Instructions	✓				
FA8	Finance & Audit Internal	Annual approval of the Financial Plan (as part of agreeing Operational Plan, SP7)	✓				
FA9	Finance & Audit Internal	Determine, and set out, level of delegation of non-pay expenditure to budget managers			✓ Chief Executive Officer		

Serial No.	Policy Area / Domain	Decision	Reserved to the Board	Reserved or delegated to Committee	Reserved or delegated to Officer	Reserved or delegated to other specified statutory bodies	Reserved or delegated to Place partnerships
FA10	Finance & Audit Internal	Approve proposed pre-payment arrangements		✓ System Productivity Committee			
FA11	Finance & Audit Internal	Setting of budgetary total and / or virement limits		✓ System Productivity Committee			
FA12	Finance & Audit Internal	Delegation of budget-to-budget holders			✓ Chief Executive Officer		
FA13	Finance & Audit Internal	Approval of the appointment of internal and external auditors		✓ Audit & Risk Committee			
FA14	Finance & Audit Internal	Approval of dismissal of internal and external auditors	✓				
FA15	Finance & Audit Internal	Approval of the internal audit strategy, audit plan and more detailed programme of work		✓ Audit & Risk Committee			
FA16	Finance & Audit Internal	Prepare procedures for recording and accounting for losses, special payments			✓ Chief Executive Officer		

Serial No.	Policy Area / Domain	Decision	Reserved to the Board	Reserved or delegated to Committee	Reserved or delegated to Officer	Reserved or delegated to other specified statutory bodies	Reserved or delegated to Place partnerships
FA17	Finance & Audit Internal	Approval of write off of losses (within limits delegated by Department of Health)		✓ Audit & Risk Committee			
FA18	Finance & Audit Internal	Ratify the Audit Committee's proposals in individual cases for the write off of losses or making of special payments above the limits of delegation to the CEO and Chief Finance Officer (for losses and special payments) previously approved by the ICB	✓				
FA19	Finance & Audit Internal	Advise on individual cases for the write off of losses or making of special payments above the limits of delegation to the CEO and Chief Finance Officer (for losses and special payments)		✓ Audit & Risk Committee			
FA20	Finance & Audit Internal	Approval of banking arrangements including provision of banking services, operation of accounts, preparation of instructions and list of cheque signatories			✓ Chief Executive Officer		

Appendix B – Schedule of Matters Delegated to Officers

Introduction

1. General

This schedule of matters delegated to officers has been developed in conjunction with the organisation's standing Financial Instructions and standing orders and will provide guidance for both the BOB ICB and the SCW Commissioning Support Unit.

Delegated matters in respect of decisions which may have a far-reaching effect must be reported to the Chief Executive. The delegation shown below is the lowest level to which authority is delegated. Authority can be delegated upwards with no further action being required. However, delegation to lower levels is only permitted with written approval of the Chief Executive. Decision making with a financial impact must be carried out in accordance with the ICB's Standing Orders, Standing Financial Instructions, and detailed financial procedures. All financial limits in this schedule of matters delegated to officers are subject to sufficient budget being available.

2. Scheme of Delegation to Employees

Standing Orders (SOs) and Standing Financial Instructions (SFIs) set out in some detail the financial responsibilities of the ICB Chief Executive, the ICB Chief Finance Officer and other executive directors of the BOB ICB.

The Scheme of Delegation covers only matters delegated by the Board to the Chief Executive and Directors and certain other specific matters referred to in Standing Financial Instructions.

Further delegation may be approved.

- i. by the Board in approving specific management policies
- ii. by the ICB Chief Executive
- iii. as part of Financial Procedures approved by the ICB Chief Finance Officer

Each ICB Director will need to consider the arrangements for authorisation of expenditure against delegated budgets and further delegation of management/professional responsibilities.

3. Financial Control Environment

In accordance with Standing Financial Instructions, the Board exercises financial supervision and control by:

- a) Authorising the operational plan;
- b) Requiring the submission and approval of budgets within approved allocations / overall income;
- c) Defining and approving essential features in respect of important procedures and financial systems (including the need to obtain value for money); and
- d) Defining specific responsibilities placed on members of the Board, committees, members and employees as indicated in the Scheme of Delegation

- e) Approving provision of shared services through the SCW Commissioning Support Unit (CSU).

Once the Board has reviewed and approved the Operating Plan and any supporting financial plan / budget the Board will delegate approval to the Chief Executive Officer, the Chief Finance Officer and other ICB Directors and employees to commit these resources for the purpose set out in the plan subject to the financial thresholds set out in this scheme of delegation.

For the avoidance of doubt this delegation (subject to the limits approved by the Board in the Scheme of Delegation) includes:

- Approval of business cases i.e. Tables 1 and 4
- Awarding of contracts including the signing of appropriate contract documentation i.e. Tables 2 and 5
- Agreement of contract variations and subsequent amendments to contract payments i.e. Tables 2 and 5
- Approval to vire (transfer) budgets within overall available financial resources and in line with the Operating Plan i.e. Tables 3 and 6
- Payment of sums due against approved contracts i.e. Table 7
- Budgetary delegation including approval of invoices, payroll expenditure and authorisation for the raising of invoices to debtors i.e. Table 7
- Operation of appropriate procurement processes within agreed financial thresholds, i.e. Table 8
- Approval of capital expenditure i.e. Table 9
- Approval of disposals, condemnations, losses and special payments i.e. Table 10
- Approval limits for Continuing Healthcare staff employed by Oxford Health NHS Foundation Trust i.e. Table 11

Financial Limits/Thresholds

Proposed Financial Limits/Thresholds

Description	Limit
Section 1 – Commissioning and contracting for health care services	
Approval of Business cases	See table 1 below
Authorisation of award of contracts	See table 2 below
Virements	See table 3 below
Section 2 – Non Health Care Services (Running Costs)	
Approval of Business cases	See table 4 below
Authorisation of award of contracts	See table 5 below
Virements	See table 6 below
Section 3 - General	
Approval of Invoices and Invoice Payment files	See table 7 below
Contract/ Procurement procedures	See table 8 below
Approval process and delegated limits for capital expenditure	See table 9 below
Disposals, condemnations, losses and special payments	See table 10 below
Continuing Health Care Staff employed by Oxford Health NHS FT	See table 11 below

Budget Administrator = team member with delegated authority for day-to-day budget management reporting to the Budget Manager (Head of Service)

Budget Manager = Head of Service reporting to the Budget Holder

Budget Holder = ICB Executive Director

Section 1 – Commissioning and Contracting for Health Care Services

Table 1: Approval of Business Cases

Change in value per annum +/- from current spend £	Authorised by	Final Approved by
Up to £50,000	Head of Service	Executive Director
Over £50,000 up to £1,000,000	Executive Director	Chief Finance Officer
Over £1,000,000 up to £5,000,000	Executive Director and Chief Finance Officer	Chief Executive
Over £5,000,000	Chief Executive	Board

Table 2: Authorisation of Award of Contract

Change in value of contract +/- per annum £	Authorised by	Final Approved by
Up to £50,000	Head of Service	Executive Director
Over £50,000 up to £1,000,000	Executive Director	Chief Finance Officer
Over £1,000,000 up to £5,000,000	Executive Director and Chief Finance Officer	Chief Executive
Over £5,000,000	Chief Executive	Board

Table 3: Delegated Limits for Budget Virements

Budget Virement Value £	Authorised By:	Final Approved by
Up to £50,000	Budget Administrator	Chief Finance Officer or Deputy
Over £50,000 up to £100,000	Budget manager (Head of Service)	Chief Finance Officer or Deputy
Over £100,000 up to £1,000,000	Budget Holder (Executive Director)	Chief Finance Officer
Over £1,000,000 up to £5,000,000	Budget Holder (Executive Director) and Chief Finance Officer	Chief Executive
Over £5,000,000	Chief Executive	Board

NB Technical virements do not require formal approval e.g. such as arise following changes to the overall Resource Limit or changes to reflect contract agreement

Section 2 – Non Health Care Services (Running Costs)

Table 4: Approval of Business Cases

Change in value of contract +/- per annum £	Authorised by	Final Approved by
Up to £50,000	Head of Service	Executive Director
Over £50,000 up to £500,000	Executive Director and Chief Finance Officer	Chief Finance Officer
Over £500,000 up to £1,000,000	Executive Team and Chief Finance Officer	Chief Executive
Over £1,000,000	Chief Executive	Board

Table 5: Authorisation Of Award Of Contract

Change in value of contract +/- per annum £	Authorised by	Final Approved by
Up to £50,000	Head of Service	Executive Director
Over £50,000 up to £500,000	Executive Director	Chief Finance Officer
Over £500,000 up to £1,000,000	Executive Director and Chief Finance Officer	Chief Executive
Over £1,000,000	Chief Executive	Board

Table 6: Delegated Limits for Budget Virements

Budget Virement Value £	Authorised By:	Final Approved by
Up to £50,000	Budget Manager (Head of Service)	Chief Finance Officer or Deputy
Over £50,000 up to £500,000	Budget Holder (Executive Director)	Chief Finance Officer
Over £500,000 up to £1,000,000	Budget Holder (Executive Director) and Chief Finance Officer	Chief Executive
Over £1,000,000	Chief Executive	Board

NB Technical virements such as arise following changes to the overall Resource Limit do not require formal approval.

Section 3 – General

Table 7: Approval Of Invoices and Invoice Payment Files (Ipf)

Delegated To	Delegation Of Authority Approved By	Level of Authority
Non-Budget Managers who are requisitioners	Budget Manager against budgets they are responsible for, notified to the Chief Finance Officer	Up to £10,000
Prior Approvals Manager	Budget Manager against budgets they are responsible for, notified to the Chief Finance Officer	Up to £10,000
Budget Administrator	Budget Holder (Executive Director), notified to the Chief Finance Officer	Up to £10,000
Budget Manager (Heads of Service)	Budget Holder (Executive Director), notified to the Chief Finance Officer	Up to £100,000
Assistant Chief Finance Officer Head of Primary Care	Budget Holder (Executive Director), notified to the Chief Finance Officer	Up to £200,000
Deputy Chief Finance Officer Budget Holders (Executive Directors)	Chief Executive	Up to £5,000,000
Chief Finance Officer and Chief Executive	Board	Unlimited

The CCG Chief Executive may delegate authority, up to a maximum of £50,000, to an officer or employee who is not a Budget Manager. Such authority to be notified to the Chief Finance Officer.

In some instances, it may also be necessary to increase delegated limits for individual Executive Directors in order to provide sufficient cover for absence of the Chief Finance Officer and Chief Executive Officer to ensure invoice payment performance is not jeopardised. Such authority to be approved by the Chief Finance Officer and Chief Executive Officer and its use recorded in a register. The Deputy Chief Finance Officers have unlimited approval in respect of Invoice Payment Files (IPF).

Table 8: Contract / Procurement Procedures – Financial Thresholds

Contract Value	Method of Tendering	Form of Contract	Minimum Number Invited to Tender
Less than £5,000	No Quotations required	Official Order	No minimum
Over £5,000 up to £50,000	Quotations in writing	Official Order (with all Quotations attached if value in excess of £5,000)	At least three for quotes over £5,000
Running Costs Tender Threshold £50,000			
Over £50,000	By sealed tender (or electronic alternative) Select list compiled for each contract	As specified in tender	All contractors on select list (at least three)
Healthcare Costs Tender Thresholds			
Length of Contract	No Quotations Required	Three Quotations	By Competitive Tender
One year	Less than £50k	£50 - £250k	Greater than £250k
Two years	Less than £100k	£100k - £500k	Greater than £500k
Three years	Less than £150k	£150k - £750k	Greater than £750k
Four years	Less than £200k	£200k - £1m	Greater than £1m
Five years	Less than £250k	£250k - £1.25m	Greater than £1.25m

There should be agreement in advance of any decision to waive the tender process in line with the approved process (Annex 1).

Table 8 also applies to contracts for all external consultants.

CONTRACT VALUE: The term “Contract Value” is defined as the total cost to the ICB of the complete scheme or the total value of the items purchased or acquired during the contract period including payable VAT.

- The above limits also apply to contract variations
- Once awarded authority to sign the contract and for making payments is delegated to appropriate members of the Executive team.

Officers awarding contracts or subsequent contract variations will pay due regard to the approved procurement procedures, including the requirements of the Official Journal of the European Union (OJEU) tendering procedures and should seek the advice of the Chief Finance Officer where required.

Table 9: Approval Process and Delegated Limits for Capital Expenditure

Delegated To	Approval Level and Process	Level Of Authority £
Executive Director and Chief Finance Officer/Deputy Chief Finance Officer	Business case – light touch	Up to £50,000
Executive team including Chief Executive and Chief Finance Officer	Business case	over £50,000 up to £250,000
System Productivity Committee	Business case	over £250,000 up to £1,000,000
Board	Business case	over £1,000,000 up to £6,000,000
NHSE	Business case	Over £6,000,000

The annual capital plan will be approved by the Board.

Table 10: Disposals, Condemnations, Losses and Special Payments

Type	Approved by	Limit £
Approval of disposals & condemnations	Head of Service / Executive Director	Up to £5,000
	Executive Director and Chief Finance Officer	Over £5,000 up to £100,000
	Chief Executive and Chief Finance Officer	Over £100,000 up to £1,000,000
	Board	Over £1,000,000
Losses & Special payments (except below)	Chief Finance Officer	Up to £1,000
	Audit & Risk Committee	Over £1,000
Special payments – special severance payments that exceed legal or contractual obligations	Any cases to be approved by Department of Health & Treasury	£0

All losses and special payments, including the write-off of debts, must be reported to the Chief Finance Officer, and are reported in the annual statutory accounts.

Please refer to detailed financial policy on Condemning and Disposals and Losses and Special payments.

Fraud cases over £15,000 must be referred to NHS Counter Fraud Authority.

Approval must be sought from NHSE for any loss or special payments which are defined by NSHE as special payments or are “novel, contentious or repercussive”. Where required these payments must be reported to the Department of Health.

Table 11: Continuing Healthcare Staff Employed by Oxford Health NHS Foundtion Trust

Directorate/Service Area	Job Title	Grade	Authorisation Level
Oxford Health CHC	Head of service for Continuing Healthcare for BOB	8C	Up to £1,923 per week or £100k per annum and one signatory for >£100k per annum
Oxford Health CHC	Service Manager	8B	Up to £1,923 per week or £100k per annum and one signatory for >£100k per annum
Oxford Health CHC	Unit Manager	8A	Up to £1,923 per week or £100k per annum and one signatory for >£100k per annum
Oxford Health CHC	Clinical Lead	7	Up to £1k per week or £52k per annum as second signatory
Oxford Health CHC	Clinical Lead	7	Up to £1k per week or £52k per annum as second signatory
Oxford Health CHC	Clinical Lead	7	Up to £1k per week or £52k per annum as second signatory

The £100k or less authorisation level can be signed off by an 8C, 8B or 8A. If more than this, needs ICB approval by member of staff with appropriate approval limit.

Version	Date approved by the ICB	Effective date
V1.0	N/A	1 July 2022
V2.0	03 January 2023	17 January 2023