

MID ESSEX CLINICAL COMMISSIONING GROUP DETAILED SCHEME OF DELEGATION

Version 5 – further updated to reflect current executive Structure – July 2014

Version 6 – further updated to reflect clarification of authorisation of SLA invoices over £2,500,000

Version 7 – changes in Version 6 not agreed at Audit Committee therefore removed. Further changes to contract signatory levels to bring in line with changes made in SFIs. Clarified wording in section 4(vi) and added requirement for Consultancy spend over £50k (7d) to be reported to Board (part 2) – January 2015

Version 8 – updated to reflect Managing Director role, new governance structure under Livewell and the Savings Programme Board, to update tender limits in line with the new procurement rules and to incorporate the requirement to submit business cases for sign-off by NHSE for off payroll engagements – October 2016
Version 9 – updated to include new responsibilities of public sector bodies around interims and IR35 regulations

SPECIFIC DELEGATED POWERS

The following delegation limits are the lowest staffing grades to which authority is delegated and the authorisation of the AO or Managing Director is required for any delegation below these levels. Financial delegations must be formalised in an appropriately authorised 'Delegated Powers to Office' form. In the absence of the AO or Managing Director, the Deputy AO holds full authority for the AO's delegations listed below. The CFO will nominate one of his/her Senior Managers to hold his/her delegations in his/her absence.

KEY

Tier 1	Accountable Officer, Managing Director or Chief Finance Officer
Tier 2	Director of Clinical Commissioning, Director of Nursing & Quality, Director of Primary Care & Resilience, Medical Director, Director of Corporate Services and other nominated senior managers (including Deputy CFO and Head of Accounting)
Tier 3	Head of Service – bands 8b and above
Tier 4	Budget Holders – bands 6 and above
BHR	Budget Holder Representative
CCGB	CCG Board)
EXEC	Executive Team
AO	Accountable Officer
MD	Managing Director
CFO	Chief Finance Officer
DCC	Director of Clinical Commissioning
DoN	Director of Nursing & Quality
DPCR	Director of Primary Care and Resilience
Med Dir	Medical Director
DCS	Director of Corporate Services

DELEGATED MATTER	AUTHORITY DELEGATED TO	REFERENCE DOCUMENTS
<p>1. Approval of Budgets The CCG Board will approve the CCG budgets including the split of budgets between Cost Centres</p> <p>2. Monitoring of Financial Performance Management of Budgets:</p> <p>a) At individual budget level (Pay and non Pay) within delegated limit</p> <p>b) Summary budgets</p> <p>c) Financial Reserves and Provisions</p> <p>d) Approving expenditure greater than tender price up to a maximum of 10% or £30k whichever is higher</p> <p>e) Approving expenditure greater than tender price of more than 10% or £30k (within delegated budget)</p>	<p>CCGB</p> <p>CFO</p> <p>All budget holders Tiers 1&2 CFO CFO</p> <p>Exec</p>	
<p>3. Maintenance/Operation of Bank Accounts Day to day operation of CCG bank accounts</p> <p>Authorisation of cash limit draw down</p> <p>Authorisation of cheque requests</p> <ul style="list-style-type: none"> • up to £10,000 (within delegated budget and delegated powers) • £10,001 and over 	<p>CFO – all changes in banking arrangements are to be reported to the Audit Committee</p> <p>CFO or nominated deputy</p> <p>All budget holders CFO or nominated deputy (cheque requests should only be raised for amounts in excess of £10,000 in exceptional circumstances)</p>	
<p>4. Non-pay Revenue and Capital Expenditure All values quoted are inclusive of VAT regardless of whether that VAT is reclaimable or not Requisitioning /Ordering /Payment of Goods & Services</p>		

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<p>Before any order is placed, the budget holder must confirm that budgets are available and that procurement processes have been complied with</p> <p>a) (i) Up to £5,000 (ii) From £5,001 to £50,000 (iii) From £50,001 to £100,000 (iv) From £100,001 to £500,000 (v) From £500,001 to £1,000,000 (vi) From £1,000,001</p> <p>b) Where there is a signed contract and the sums invoiced are included in the signed contract or covered in a signed contract variation, higher limits may be agreed for these invoices only. Such exceptions should be formalised by a 'Delegated Powers to Office' form authorised by both the relevant Tier 2 staff member and the CFO (i) Invoices up to £500,000 (ii) Invoices from £500,001 to £2,500,000 (iii) Invoices from £2,500,000 to £15,000,000</p> <p>c) Requisitions exceeding 12 month period</p>	<p>BHR Tier 4 Tier 3 Tier 2 Tier 1</p> <p>CFO or AO or Managing Director, and a Director who is not from the originating Directorate</p> <p>Tier 3 Tier 2 CFO or AO or Managing Director, and DCC</p> <p>Tier 1</p>	
<p>d) Non pay expenditure for which no specific budget has been set up and which is not subject to funding under delegated powers of virement (subject to the limits specified above in (a))</p> <p>e) All contracts for goods & services and subsequent variations to contracts.</p>	<p>Tier 1</p>	

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<p>Calculated with original contract plus variation giving total value limits for period of contract – if rolling contract base assume 3 years for purposes of this calculation;</p> <ul style="list-style-type: none"> (i) All contracts up to £5,000 (ii) All contracts £5,001 to £50,000 (iii) All contracts from £50,001 to £500,000 (iv) All contracts from £500,001 to £1,000,000 (v) All contracts over £1,000,000 <p>4.2 Reprofile of Budgets All reprofiling</p> <p>4.3 Virements</p>	<p>Tier 3 (Head of Service)</p> <p>Tier 2 (Director)</p> <p>Tier 2 (Director) or Tier 1 (AO or Managing Director) to sign – Livewell Committee to recommend (clinical contracts only) and Finance & Performance Committee to approve</p> <p>CFO or AO to sign – Livewell Committee (clinical contracts only) and Finance & Performance Committee to recommend, CCG Board to approve</p> <p>CFO and AO to sign (or one of CFO and AO plus another Director not from originating directorate) and CCG Board to approve. Contract to be sealed unless contract is with another health organisation or other government body including local authorities</p> <p>Budget Holder with finance</p>	

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<p>a) Virements up to £50,000 b) Virements from £50,001 to £100,000 d) Virements from £100,001 to £500,000 e) Virements from £500,001</p> <p>All virements are approved by the Finance & Performance Committee</p>	<p>Tier 4 Tier 3 Tier 2 Tier 1</p>	
<p>5. Capital Schemes</p> <p>Approval of annual capital plans</p> <p>Approval of changes to the Board agreed capital plans</p> <p>Financial monitoring and reporting on all capital scheme expenditure Leasing of equipment and other assets</p> <p>Financial monitoring and reporting on all capital scheme expenditure and leasing of equipment and other assets</p>	<p>CCG Board</p> <p>Finance and Performance Committee</p> <p>CFO</p> <p>CFO</p> <p>CFO</p>	
<p>6. Quotation, Tendering & Contract Procedures for expenditure /income proposals, whether capital or revenue, purchases or disposals</p> <p>The value of the goods and services should be the total contract value, not the annual value and should be inclusive of fees but exclusive of VAT. Where the number of years is not specified or is open ended from year to</p>		

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<p>year, a 3 year period should be assumed for the purpose of this calculation.</p> <p>a) From £501 to £5,000, obtain a minimum of 2 verbal quotations and detail on the 'Record of Verbal Quotation' .</p> <p>b) From £5,001 to £50,000, obtain a minimum of 3 written quotations based on specifications or terms of reference prepared by, or on behalf of the Livewell Committee (clinical contracts only)</p> <p>c) From £50,001 to £164,176 – for non-Light Touch Regime Services (non-clinical and patient transport services), follow the Competitive Quote procedure to obtain a minimum of 4 written quotations against a written specification with a detailed option appraisal</p> <p>d) From £50,001 to £589,148 – for Light Touch Regime Services (clinical services), follow the Competitive Quote procedure to obtain a minimum of 4 written quotations against a written specification with a detailed option appraisal</p> <p>e) Follow full tender procedures for goods and services with a contract value above £164,176 or £589,148 (as c) or d))</p> <p>f) Waiving of quotations & tenders subject to SOs and SFIs</p>	<p>Budget Holder</p> <p>Budget Holder</p> <p>Sign-off from the Livewell Committee (if clinical) with approval at the Finance & Performance Committee</p> <p>Clinical sign-off from the Livewell Committee with approval at the Finance & Performance Committee</p> <p>All</p> <p>Tier 1 – all waivers to be reported to the Audit Committee</p>	
<p>7. Engagement of Staff Not on the Establishment</p> <p>a) Engagement of CCG's Solicitors</p> <p>b) Booking of Interim or Agency Staff</p>	<p>DCS or CFO</p> <p>Tiers 1-4 (within auth limits and delegated budget) Using the East of England Collaborative Procurement Hub agreements as first point of supply to ensure staff are</p>	

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<p>From 6 April 2017 all temporary staff arrangements are to be reviewed by the CCG for IR35 status prior to engagement. Where assignments are assessed to fall within IR35 PAYE must be deducted from payments made and reported through Real Time Information reporting to HMRC</p> <p>c) Consultancy Staff Where aggregate commitment in any one year (or the total commitment) is less than £50,000 and within budget</p>	<p>recruited in accordance with current regs. Prior approval required from Executive Team (all) and NHS England (if daily rate > £600 and/or engagement for > 6 months and/or appointment as Officer). In these circumstances NHS England require Business Case for approval.</p> <p>CFO/Head of HR</p> <p>Tier 2 or above</p>	
<p>d) Consultancy Staff Where aggregate commitment in any one year (or the total commitment) is more than £50,000</p>	<p>Finance & Performance Committee to approve and to be reported to Part 2 of the Board. Prior approval required from NHS England via Business Case</p>	

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<p>8. Agreements/Licences</p> <p>a) Extensions to existing leases</p>	CFO	
<p>9 Condemning & Disposal</p> <p>Appropriate risk assessments, such as ensuring that the condition of goods is safe and fit for purpose, need to be carried out prior to disposal</p> <p>For items for disposal exceeding a sale value of £5,000, competitive tender may be required</p> <p>Items obsolete, obsolescent, redundant, irreparable or cannot be repaired cost effectively:</p> <p>Replacement purchase cost up to £250 Replacement purchase cost > £250</p>	<p>Tier 3 or above Tier 2 or above</p>	
<p>10 Losses, Write Off & Compensation</p> <p>a) Losses due to theft, fraud, overpayment, fruitless payments, non contracted activity, compensation payments</p>		

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<ul style="list-style-type: none"> (i) Up to £5,000 (ii) Between £5,001 and £25,000 (ii) Over £25,000 <p>b) Redress payments made in respect of Continuing Care costs</p> <ul style="list-style-type: none"> (i) Up to £10,000 (ii) Over £10,001 <p>c) Patients and staff for loss of personal effects</p> <ul style="list-style-type: none"> (i) Up to £100 (ii) Between £101 and £500 (iii) Between £501 and £1,000 (iv) Over £1,000 <p>d) Write off of Non NHS Debtors</p> <ul style="list-style-type: none"> (i) Up to £500 (ii) Between £501 and £5,000 (iii) Over £5,000 <p style="text-align: center;">ALL INSTANCES OF LOSSES OR WRITE OFF WILL BE REPORTED TO THE AUDIT COMMITTEE</p>	<p>CFO & AO or MD Audit Committee CCG Board</p> <p>Chair of the CCG CHC Panel and CFO CCG CHC Panel & AO</p> <p>All budget holders Tier 2 Tier 1 Audit Committee</p> <p>CFO CFO & AO or MD Audit Committee</p>	
<p>11 Reporting of Incidents to the Police</p> <p>a) Where a criminal offence is suspected</p> <ul style="list-style-type: none"> (i) criminal offence of a violent nature (ii) other 	<p>Accountable Officer, Managing Director, Chief Finance Officer, Director of Corporate Services or LCFS to report</p> <p>As above</p>	<p>SFIs Sections 2</p>

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<p>12 Petty Cash Disbursements</p> <p>a) Expenditure up to £25 per claim</p> <p>b) Expenditure from £25 to £75 per claim</p> <p>Expenditure in excess of £25 should be in exceptional cases only</p>	<p>Budget Holders</p> <p>Budget Holders & CFO</p>	SFI Section 7
<p>13 Implementation of Internal and External Audit Recommendations</p>	<p>CFO to oversee, actioning officer as specified in individual audit reports</p>	SFIs Section 2
<p>14 Maintenance & Update on Trust Financial Procedures</p>	<p>CFO</p>	SFIs Section 1
<p>15 Personnel & Pay</p> <p>a) Authority to fill funded post on the establishment with permanent staff. (subject to any special measures eg prior approval from Executive Team)</p> <p>b) Authority to appoint staff (fixed term or temporary only) to post not on the formal establishment (subject to meeting from existing budget and any special establishment control measures eg prior approval from Executive Team)</p> <p>c) Upgrading & Regrading – including accelerating a member of staff up the scale</p>	<p>Tier 3 or above</p> <p>Tier 2 or above</p> <p>CFO if supported by Agenda for Change matching process</p>	SFI Section 11

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<p>d) Pay – all within approved budgets</p> <ul style="list-style-type: none"> (i) Authority to complete standing data forms affecting pay, new starters, variations and leavers (ii) Authority to complete and authorise reporting forms (iii) Authority to authorise overtime (within approved budget) (iv) Authority to authorise travel & subsistence expenses (v) Approval of Performance Related Pay Assessment (vi) Renewal of fixed term contract (within approved budget) 	<p>Budget Holders for all grades below own</p> <p>Budget Holders for all grades below own Tier 2 and above</p> <p>Budget Holders for all grades below own Remuneration Committee Tier 2 and above</p>	
<p>e) Leave</p> <ul style="list-style-type: none"> (i) Approval of annual leave (ii) Annual leave - approval of carry forward (up to maximum of 5 days or one working week). (iii) Annual leave - approval of carry over in excess of 5days or one working week – only permitted in extreme cases where business need has prevented staff member from taking in year (iv) Compassionate leave up to 5 days (v) Special leave arrangements (vi) Time off in lieu (vii) Maternity leave <p>f) Sick Leave</p>	<p>Line Manager</p> <p>Line Manager</p> <p>Tier 2 and above</p> <p>Head of HR and relevant Director</p> <p>Tier 2 and above</p> <p>Line Manager</p> <p>Automatic approval with guidance from HR</p>	<p>Agenda for Change (AfC)</p>

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<p>Return to work part-time on full pay to assist recovery for up to two weeks (or longer in special circumstances with agreement of Head of HR and relevant Director)</p> <p>g) Removal Expenses, Excess Rent and House Purchases Authorisation of payment of removal expenses incurred by officers taking up new appointments (providing consideration was promised at interview)</p> <p>h) Grievance Procedure All grievances cases must be dealt with strictly in accordance with the Grievance Procedure and the advice of an HR Manager must be sought when the grievance reaches Tier 2 level</p> <p>i) Redundancy Authorisation of any redundancy payments</p> <p>j) Ill Health Retirement Decisions to pursue retirement on the grounds of ill-health</p> <p>k) Dismissal Authorisation of any dismissal of staff</p>	<p>On advice from GP (through fit note) and/or Occupational Health with HR</p> <p>AO or CFO with appropriate HR advice</p> <p>Remuneration Committee</p> <p>As approved by Occupational Health and the relevant medical expert with Deputy Director or Director and HR involvement</p> <p>In accordance with CCG Procedure</p>	<p>CCG Grievance Procedure</p> <p>Disciplinary Procedures</p>