

OPERATIONAL SCHEME OF DELEGATION

FINANCE

Issue	Authority Delegated To	Reference Documents
Budgets		
Responsibility for keeping expenditure within budget: At individual budget level (pay, non pay and income)	Budget Holder/Budget Manager	Budgetary Control Framework
Responsibility for keeping expenditure within budget: Totality of the service area / department	Budget Holder	
Responsibility for keeping expenditure within budget: Financial reserves and provisions	Chief Finance Officer (CFO)	
Approval of new Budget Holders or of change to existing budget holders	CFO or Deputy CFO	
Any transfer (virement) from non-pay budgets to pay budgets	CFO or Deputy CFO	
Transfers (budget virement) within pay and non pay budgets	<ul style="list-style-type: none"> • Up to £300k (if affordable within overall budget) – Budget Holder (where transfers between budget holders both sets of budget holders must agree) • >£300k up to £1500k - Deputy CFO • Over £1500k – CFO • Transfers from reserves – CFO • Transfers between pay and non-pay budgets are by exception and must be agreed by CFO 	

Maintenance/operation of bank accounts		
Day to day operation of organisational bank accounts	Senior finance manager in conjunction with Shared Business Services representative	
Authorisation for cash limit drawdown	Deputy CFO or Senior Finance Manager Corporate finance	
Authorisation for cheque requests (excluding retrospective continuing healthcare claims)	<ul style="list-style-type: none"> • up to £15,000 - Authorised Budget Holder Representative • over £15,000 by exception only – Deputy CFO 	
Non Pay Expenditure		
Before orders are placed for goods and services the following conditions must be complied with:		Procurement Policy
Confirmation that budgetary provision is available	Budget Holder/Budget Manager	
<u>Healthcare Contracts (as defined by Schedule 3 of the Public Contracts Regulations 2015)</u> Where formal competitive tendering is not required e.g. below £615,278 , then quotations must be obtained and documentary evidence kept of the following <ul style="list-style-type: none"> • under £10,000 a minimum of 2 written quotations; • between £10,000 and £100,000 a minimum of 3 written quotations; • between £100,001 and £615,277 a minimum of 5 written quotations. <u>For Requisitions that exceed a 12 Month Period</u> The total value of requisitions that cover more than a 12 month period or that are open ended need to be considered as a total value, not just	Budget Holder/Budget Manager Commitment of any expenditure must be in line with delegated limits stated herein	

<p>the cost for the 12 month period.</p> <p><u>Non Healthcare contracts</u></p> <p>Where formal competitive tendering is not required e.g. below £181,302 , then quotations must be obtained and documentary evidence kept of the following</p> <ul style="list-style-type: none"> • under £10,000 a minimum of 2 written quotations; • between £10,000 and £100,000 a minimum of 3 written quotations; • between £100,001 and £181,301 a minimum of 5 written quotations. <p><u>For Requisitions that exceed a 12 Month Period</u></p> <p>The total value of requisitions that cover more than a 12 month period or that are open ended need to be considered as a total value, not just the cost for the 12 month period.</p>		
<p>For orders in excess of £615,278 (healthcare contracts) or £181,302 (non healthcare contracts) including VAT competitive tendering will apply, the form of which is dependent on the precise goods or services involved. Therefore for all competitive tenders the advice of the Chief Finance Officer must be sought.</p> <p>Note: OJEU existing limits are £615,278 including VAT for healthcare services and £181,302 including VAT for non healthcare services</p>	<p>Budget Holder/Budget Manager</p> <p>All tenders awarded should be reported to the Audit Committee for information</p> <p>Commitment of any expenditure must be in line with delegated limits stated herein</p>	
<p>Waiving of requirement to obtain quotations and tenders</p>	<p>Chief Officer (CO) and CFO and report to Audit Committee</p>	
<p>Approving expenditure greater than a tender price by</p>	<ul style="list-style-type: none"> • Up to £45k and within budget - Relevant Executive Officer • Up to a maximum of £90,000 – CFO • £90,000 and above – CO and CFO 	

Decision to tender for new/existing service (within agreed budget)	<ul style="list-style-type: none"> • Up to £150k – Authorised Budget Manager • >£150k up to £300k – Budget Holder • >£300k up to £1500k – CO or CFO • >£1500k – CCG Governing Body 	
Authorisation of new contracts for non pay and subsequent variations	<ul style="list-style-type: none"> • Up to £300k – Budget Holder • Over £300k to £1500k– CO or CFO • Over £1500k – CCG Governing Body 	
Annual Renewal of existing healthcare contracts	<ul style="list-style-type: none"> • Up to £1500k – Budget Holder and CFO • Over £1500k– CO and CFO 	
Agreement of new GP local enhanced services / GP incentive schemes	<ul style="list-style-type: none"> • Up to £750k for total scheme (up to £25k for an individual practice) – CO and CFO • >£750k for total scheme (>£25k for an individual practice) – PCCC 	
Running costs: Approval of supplier contracts	<ul style="list-style-type: none"> • Up to £300k – CFO • >£300k up to £1500k – CO and CFO • >£1500k – CCG Governing Body 	
Lease Cars	Budget Holder in line with operational process	
Salary sacrifice schemes	CFO or Deputy CFO	
Payments in line with approved healthcare contracts	Budget holder or budget manager (within delegated limits) or authorised senior finance lead on behalf of budget holder	
Other contractual payments (e.g. CQUIN, reconciliation adjustments)	Budget Holder or budget holder representative within delegated limits	

<p>Payments of invoices for non-contractual activity</p>	<p>Budget holder or budget holder representative or senior finance lead in line with delegated limits</p>	
<p>Approval of Continuing Healthcare packages and other individual care packages</p>	<ul style="list-style-type: none"> • Packages costing <£1.5k/week – Clinical Leads or Care Coordinators • Packages costing >£1.5k up to £2.5k/week – Clinical Service Manager or Business Manager • Packages costing >£2.5k up to £10k/week – Commissioning Lead • Packages costing >£10k/week – CO 	
<p>Payment in respect of Continuing Healthcare Packages and other individual care packages</p>	<ul style="list-style-type: none"> • Payments for invoices by individual homes / packages up to £25k – CHC Finance Administrator • Payments for invoices by individual homes / packages up to £75k – CHC Finance Lead • Payments for invoices by individual homes / packages up to £130k – Clinical Services Manager / Business Manager • Payments for invoices by individual homes / packages >£130k up to £250k – Commissioning Lead • Payments for invoices by individual homes / packages > £250k – CO 	
<p>Consultancy Expenditure (amounts refer to the cost over the duration of the contract / project)</p>	<p><u>Prior to expenditure being committed all</u> business cases:</p> <ol style="list-style-type: none"> 1. to be submitted to NHS England via pro-forma (to be approved internally first by CFO) England.CCGcontrols@nhs.net; 2. and authorised by CFO and CO in line with organisational establishment/engagement control framework 	

<p>Approval of invoices/payments/raising of requisitions – running costs or where a payment is not within a signed approved healthcare contract</p>	<ul style="list-style-type: none"> • up to £300,000 – Authorised Budget Holder Representative (when formally delegated – by exception by Budget Holder) • up to £750,000 – Budget Holder • up to £1500,000 – CFO or CO • over £1500,000 – CFO and CO 	
<p>Request for sales orders</p>	<ul style="list-style-type: none"> • Up to £50k - Budget Holder/ Authorised Budget Holder Representative/Finance Lead • >£50k to £250k – Deputy CFO • Over £250k – CFO 	

Capital Schemes / Estates		
Responsibility for NHS Estate and associated capital schemes has passed to NHS Property Services	N/A	
Purchase of internal fixtures and fittings – approval of requisitions	By exception to be agreed by deputy CFO	
Setting of Fees and Charges		
	CFO	
Engagement of bank/agency staff		
Booking of Bank or Agency Staff	Budget Holder in line with organisational establishment/engagement control framework	
Agreements / Licences		
Preparation and signature of all tenancy agreements / licences for all staff subject to CCG Policy on accommodation for staff/operating leases/indemnity agreements/joint venture documents and service level agreements	CFO or CO	
Extensions to existing leases	CFO	
Letting of premises to outside organisations	CFO	
Approval of rent based on professional assessment	CFO	
Condemning & Disposal		
Items obsolete, obsolescent, redundant, irreparable or cannot be repaired cost effectively; (including IT equipment)		

<ul style="list-style-type: none"> • with current / estimated purchase price of less than £50 per item • disposal of equipment (subject to estimated income of less than £1,000 per sale) • disposal of equipment (subject to estimated income exceeding £1,000 per sale) 	<p>Budget Holder Deputy CFO</p> <p>CFO</p>	
<p>Losses, Write-offs & Compensation</p>		
<p>Ex Gratia Payments</p>	<p>CFO to be reported to Audit Committee</p>	
<p>Losses and cash due to theft, fraud, corruption, overpayment, compensation and others except for CHC retrospective claims</p>	<ul style="list-style-type: none"> • Up to £150k – CO or CFO • >£150k – CCG Governing Body (all losses & payments to be reported to the Audit Committee) 	
<p>Retrospective Continuing Healthcare Claims</p>	<ul style="list-style-type: none"> • Up to £5k – Budget Holder • >50k up to £250k – CFO • >£250k – CO 	
<p>Write off of debts</p>	<p>Write off of NHS and Non NHS Debtors – CO or CFO.</p> <p>To be reported to Audit Committee</p>	
<p>Petty Cash Disbursements</p>		
<p>a) Expenditure up to £75 per item</p>	<p>Budget Holder/Authorised budget holder representative in line with delegated limits</p> <p>Petty Cash disbursements over £75 per item are only allowed in exceptional circumstances with the prior agreement of the Chief Finance Officer, designated Deputy or Senior Finance Manager</p>	

Maintenance & Update of CCG Financial Procedures	CFO	
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HUMAN RESOURCE ISSUES

Issue	Authority Delegated To	Reference Documents
Personnel and Pay		
Job Description Review		
All requests for Job Description Review shall be dealt with in accordance with Organisational Procedure.	Agenda for Change Matching Process	
Establishments		
Changes in workforce establishment	Executive Officer subject to finance approval and in line with Establishment Control Policy	
Pay		
i) Authority to approve business cases for counting previous equivalent service outside the NHS for incremental credit on commencement	Executive Officer (recommendation to be made by expert advisory panel)	
ii) Authority to complete standing data form effecting pay, new starters, variations and leavers	Budget Holder	
iii) Authority to authorise overtime	Budget Holder	
iv) Authority to authorise travel & subsistence expenses	Senior Manager reporting to budget holder	
Salary amendment forms	Budget Holder	
Salary agreement/change - not covered by AfC/National T&Cs	Remuneration Committee	
Wage advances and unpaid leave	Budget Holder in consultation with finance	

Issue	Authority Delegated To	Reference Documents
Salary pay overs etc. (e.g. salary advances, tax, NI, pensions, salary sacrifice scheme invoice)	Deputy CFO / Financial Accountant / Ledger Accountant	
<p>Leave</p> <p>i) Approval of annual leave</p> <p>ii) Annual Leave – In exceptional circumstances approval of carry forward up to maximum of 1 working week.</p> <p>iii) Annual Leave – In extreme cases approval of carry over in excess of 1 working week.</p> <p>iv) Special leave arrangements (up to a maximum of 10 days per year per employee (pro rata for part time staff))</p> <ul style="list-style-type: none"> • Bereavement leave – up to 3 days (and additional days at the discretion of the Line Manager) • Compassionate leave – up to 3 days • Emergency Domestic Leave – up to 1 day • Emergency Carers/Dependant/Parental Leave – up to 1 day <p>v) Leave without pay</p> <p>vi) Time off in lieu</p> <p>vii) Maternity Leave, Adoption Leave, Maternity Support/Paternity Leave, Shared Parental Leave, Parental Leave - paid and unpaid</p>	<p>Line Manager</p> <p>Line Manager</p> <p>Executive Officer</p> <p>Line Manager</p> <p>Line Manager</p> <p>Line Manager</p> <p>Line Manager</p> <p>Line Manager</p> <p>Automatic in consultation with HR</p>	<p>Annual and Special Leave Policy</p>
<p>Sick Leave</p> <p>i) Extension of sick leave on half pay up to three months</p>	Line Manager in conjunction with HR	<p>Managing Sickness Absence Policy</p>

Issue	Authority Delegated To	Reference Documents
ii) Return to work part-time on full pay to assist recovery iii) Extension of sick leave on full pay	On advice from Occupational Health in conjunction with HR Line Manager in conjunction with HR	
Study Leave i) Study leave outside the UK ii) All other study leave (UK)	Executive Officer and Chief Officer Line Manager	
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) i) up to £7,000 ii) over £7,000	Budget Holder and CFO Budget Holder and Chief Officer	
Grievance Procedure All grievance cases must be dealt with strictly in accordance with the Grievance Procedure and the advice of HR.	Line Manager in conjunction with HR	Grievance Policy
Authorised Car and Mobile Phone Users Requests for new posts to be authorised as car users Requests for new posts to be authorised as mobile telephone users	Chief Finance Officer Budget Holder	
Renewal of Fixed Term Contract	Budget Holder	

Issue	Authority Delegated To	Reference Documents
Staff Retirement Policy Authorisation of extensions of contract beyond normal retirement age	Line Manager in conjunction with HR	Retirement Policy
Redundancy	Line Manager, HR and Remuneration Committee	
Ill Health Retirement Decision to pursue retirement on the grounds of ill-health	Line Manager in conjunction with HR	
Dismissal	Executive Officer or Chief Officer as per CCG's policies	
Facilities for staff not employed by the CCG to gain practical experience Professional Recognition, Honorary Contracts & Insurance of Medical Staff Work experience students	Executive officer in conjunction with HR Budget holder in conjunction with HR	

OTHER

Issue	Authority Delegated To	Reference Documents
Approval of Memorandum of Understanding (MOU)	Chief Officer or relevant Executive Officer	
Authorisation of Sponsorship Deals	Chair and CO	Standards of Business Conduct Policy
Authorisation of Research Projects	Medical Director or Nursing Director	
Insurance Policies	CO or CFO	
Patients & Relatives Complaints a) Overall responsibility for ensuring that all complaints are dealt with effectively b) Responsibility for ensuring complaints relating to a Executive Officer are investigated thoroughly	Executive Officers in conjunction with HR CO in conjunction with CCG Chair	Concerns, Complaints, Comments and Compliments Policy
Infectious Diseases and Notifiable Outbreaks	On Call Manager or Executive Officer in conjunction with Public Health England	
Extended Role Activities Approval of Nurses to undertake duties / procedures which can properly be described as beyond the normal scope of Nursing Practice	Director of Nursing	
Patient Services <ul style="list-style-type: none"> • Temporary Change • Permanent Change 	Executive Officer Chief Officer	

<p>Reporting Incidents to the Police</p> <p>a) Where a criminal offence is suspected</p> <p>b) Where a fraud is involved</p>	<p>On Call Manager or Executive Officer</p> <p>Chief Finance Officer or Local Counter Fraud Specialist (LCFS)</p>	
<p>Review of Fire Precautions</p>	<p>Chief Officer</p>	
<p>Receiving Hospitality</p> <p>Applies to both individual and collective hospitality receipt items.</p>	<p>Executive Officer. Declaration required in CCG's Hospitality Register</p>	<p>Standards of Business Conduct Policy</p>
<p>Individual Funding Requests</p> <p>Approve triage process and act as the decision maker at IFR Panel meetings in relation to Leeds patients</p>	<p>Medical Director or Associate Medical Director or other clinician nominated by the Medical Director or Chief Officer</p>	<p>Individual Funding Requests Policy</p>
<p>Implementation of Internal and External Audit Recommendations</p>	<p>Lead Manager as defined in Audit report</p>	

Primary Care Co-Commissioning (as per NHSE delegation agreement)

Decision	Person/Individual	NHS England Approval Required from
General		
Taking any step or action in relation to the settlement of a Claim, where the value of the settlement exceeds £100,000	CCG Chief Officer or Chief Finance Officer	NHS England Head of Legal Services and Local NHS England Team Director or Director of Finance
Any matter in relation to the Delegated Functions which is novel, contentious or repercussive	CCG Chief Officer or Chief Finance Officer	Local NHS England Team Director or Director of Finance or NHS England Region Director or Director of Finance or NHS England Chief Executive or Chief Financial Officer
Revenue Contracts		
The entering into of any Primary Medical Services Contract which has or is capable of having a term which exceeds five (5) years	CCG Chief Officer or Chief Finance Officer	Local NHS England Team Director or Director of Finance