

**NHS VALE OF YORK CCG**

**DETAILED SCHEME OF DELEGATION**

**Version: 5 - December 2015**

**Section A – Financial Issues**

**Section B – Human Resources Issues**

**Section C – Other**



<ul style="list-style-type: none"> <li>• Above 5% or £10,000</li> <li>• Above £50,000</li> </ul>	Deputy Chief Finance Officer or Chief Finance Officer Chief Finance Officer and Chief Operating Officer or Chief Clinical Officer	
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Delegated Matter	Authority Delegated To	Reference Documents
<p><b>2. Maintenance / Operation of Bank Accounts</b></p> <p>a) Day to day operation of organisational bank accounts</p> <p>b) Authorisation for cash limit drawdown</p> <p>c) Authorisation for cheque requests</p> <ul style="list-style-type: none"> <li>• up to £10,000</li> <li>• up to £50,000</li> <li>• up to £150,000</li> <li>• over £150,000</li> </ul>	<p>Finance Manager (Financial Accounts) and Financial Controller of Shared Services Agency</p> <p>Deputy Chief Finance Officer or Chief Operating Officer</p> <p>Senior Manager or Head of Department  Relevant Senior Manager  Deputy Chief Finance Officer or Chief Operating Officer  Chief Finance Officer or Chief Clinical Officer</p>	<p>DFP Sections 4 &amp; 12</p> <p>Local Financial Procedures (TBD) – Cash and Treasury Management &amp; Payment of Accounts</p>



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<p><b>Before Orders are placed for goods and services the following conditions must be complied with;</b></p> <p>a) Confirmation that budgetary provision is available <b>and</b></p> <p>b) Where competitive tendering or competitive quotations are not required e.g. below <b>£30,000</b> then in the first instance the NHS Supply Chain <b>must be</b> used. In the event that NHS Supply Chain are unable to supply the goods or services then the following procedure, for which documentary evidence must be kept, will be followed;</p> <ul style="list-style-type: none"> <li>• up to £4,999 a minimum of 2 verbal quotations have been obtained</li> <li>• between £5,000 and £9,999 a minimum of 3 written quotations have been received</li> <li>• <u>between £10,000 and £19,999 a minimum of 3 written quotations have been received</u></li> <li>• between £20,000 and £29,999 a minimum of 4 written quotations have been received</li> <li>• between £30,000 and £49,999 a minimum of 5 written quotations have been received</li> </ul> <p><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 the cost for the 12 month period. E.g. a 2 year contract which has an annual value of £3,000 will require 3 written quotations. Where the number of years is not specified or open ended (from year to year) a 3 year period should be assumed for the purpose of this calculation.</p>	<p>All</p> <p>Relevant Senior Manager</p> <p>Relevant Senior Manager</p> <p>Senior Management Team (to include Chief Finance Officer or Deputy Chief Finance Officer)</p> <p>Senior Management Team (to include Chief Finance Officer or Deputy Chief Finance Officer)</p> <p>Senior Management Team (to include Chief Finance Officer or Deputy Chief Finance Officer)</p>	<p>Detailed Financial Policies sections 3 and section 9</p> <p>Local Financial Procedures (TBD) Contract and Tendering and Payment of Accounts</p>

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<p>For orders in excess of <b>£50,000</b> competitive tendering will apply, the form of which is dependent on the precise goods or services involved. Therefore for all orders above £50,000 the advice of the Chief Finance Officer must be sought.</p> <p><b>4. Tendering &amp; Contract Procedures (including Leases)</b></p> <p>a) Waiving of requirement to obtain quotations and tenders subject to the Detailed Financial Policies</p> <p>b) Opening of Tenders</p> <p>c) Awarding, authorisation and responsibility for contracts for non-pay and subsequent variations, extensions or rolling over.</p> <ul style="list-style-type: none"> <li>• Up to £250,000</li> <li>• Up to £500,000</li> <li>• Over £500,000</li> </ul> <p>All contracts awarded should be reported to the Audit Committee and the Governing Body with a responsible officer delegated to manage each contract.</p> <p><b>5. Authorisation for Payment</b></p> <p>Where goods and services have been procured in line with the above procedures (Sections 3 and 4) then authorisation of invoices for payment within the approved budget will be as follows :</p> <ul style="list-style-type: none"> <li>• up to £10,000</li> </ul>	<p>Chief Finance Officer</p> <p>Senior Manager plus a witness</p> <p>Chief Finance Officer and Chief Clinical Officer or Director of PCU for Continuing Health Care packages only Chief Finance Officer and Chief Clinical Officer Governing Body (must include the Chief Finance Officer or Deputy Chief Finance Officer)</p> <p>Senior Manager or Head of Department</p>	

Delegated Matter	Authority Delegated To	Reference Documents
<ul style="list-style-type: none"> <li>• up to £50,000</li>   <li>• up to £150,000</li>   <li>• over £150,000</li> </ul> <p>The above values represent the maximum permitted. Where appropriate, lesser values may be stipulated by the Budget Holder / Senior Manager / Chief Clinical Officer. Where lesser values are sought this should be done in agreement with the Finance Directorate.</p> <p>Where commissioning contracts and services have been procured in line with the above procedures then authorisation of invoices for payment within the approved budget will be as follows;</p> <ul style="list-style-type: none"> <li>• up to £15,000,000</li>   <li>• over £15,000,000</li> </ul>	<p>Relevant Senior Manager</p> <p>Deputy Chief Finance Officer, Chief Operating Officer or Chief Clinical Officer or Director of Partnership Commissioning Unit for Continuing Health Care only</p> <p>Chief Finance Officer and Chief Operating Officer or Chief Clinical Officer</p>    <p>Deputy Chief Finance Officer or Chief Operating Officer</p> <p>Chief Finance Officer or Chief Operating Officer and Chief Clinical Officer</p>	
<p><b>6. Capital Schemes</b></p> <p>Responsibility for NHS Estate and associated capital schemes has passed to NHS Property Services. This delegated matter relates to the purchase of internal fixtures and fittings the approval limits for associated requisitions are as</p>	<p>n/a</p>	<p>Detailed Financial Policies section 6</p>

Delegated Matter	Authority Delegated To	Reference Documents
<p>follows:</p> <p>All Expenditure</p>	<p>Chief Finance Officer</p>	

Delegated Matter	Authority Delegated To	Reference Documents
<p><b>7. Setting of Fees and Charges</b></p> <p>a) Private Patient, Overseas Visitors, Income Generation, Other Patient Related Service and Accommodation Charges (Including recharges to other NHS bodies &amp; Local Authorities).</p> <p>b) Price of NHS Contracts:</p> <p>Charges for all NHS Contracts, be they block, cost per case, cost and volume, spare capacity.</p>	<p>Chief Finance Officer</p> <p>Chief Finance Officer</p>	<p>Detailed Financial Policies section 5</p>



<p><b>8. Accounts Receivable Authorisation</b></p> <p>a) Invoices raised</p> <p>Over £500,000.00 Up to £500,000.00</p> <p>b) Credit Memos</p> <p>Over £500,000.00 Up to £500,000.00</p>	<p>Deputy Chief Finance Officer Head of Finance</p> <p>Deputy Chief Finance Officer Head of Finance</p>	<p>Detailed Financial Policies section 5</p>
<p>Delegated Matter</p>	<p>Authority Delegated To</p>	<p>Reference Documents</p>
<p><b>9. Engagement of Staff Not on the Establishment</b></p> <p>a) Non-Medical Consultancy Staff</p> <p>Where aggregate commitment in any one year (or total commitment) is less than £100,000 and within budget.</p> <p>Where it is greater than £100,000 or above budget level.</p> <p>Senior Managers should check with the Finance Department regarding Inland Revenue implications where consultancy staff are considered self-employed.</p> <p>b) Booking of Bank or Agency Staff</p> <ul style="list-style-type: none"> <li>• Medical Locums</li> <li>• Nursing</li> <li>• Clerical</li> </ul>	<p>Chief Finance Officer</p> <p>Governing Body</p> <p>Senior Management Team (to include Chief Finance Officer or Deputy Chief Finance Officer)</p>	<p>Detailed Financial Policies section 3</p>

Delegated Matter	Authority Delegated To	Reference Documents
<p><b>10. Agreements / Licences</b></p> <p>a) Preparation and signature of all tenancy agreements / licences for all staff subject to CCG Policy on accommodation for staff</p> <p>b) Extensions to existing leases</p> <p>c) Letting of premises to outside organisations</p> <p>d) Approval of rent based on professional assessment</p>	<p>Chief Finance Officer</p> <p>Chief Finance Officer</p> <p>Chief Finance Officer and Chief Clinical Officer</p> <p>Chief Finance Officer</p>	<p>Detailed Financial Policies section 3</p>
<p><b>11. Condemning &amp; Disposal</b></p> <p>Items obsolete, obsolescent, redundant, irreparable or cannot be repaired cost effectively;</p> <ul style="list-style-type: none"> <li>• with current / estimated purchase price of less than £50 per item</li> <li>• with current purchase new price in excess of £50 per item</li> <li>• disposal of mechanical and engineering plant (subject to estimated income of less than £1,000 per sale)</li> <li>• disposal of mechanical and engineering plant (subject to estimated income exceeding £1,000 per sale)</li> </ul>	<p>Senior Manager or Head of Department</p> <p>Relevant Senior Manager Deputy Chief Finance Officer</p> <p>Chief Finance Officer and Chief Operating Officer</p>	<p>Detailed Financial Policies section 6</p> <p>Local Financial Procedures (TBD) Security and disposal of fixed assets</p>

Delegated Matter	Authority Delegated To	Reference Documents
<p><b>12. Losses, Write-offs &amp; Compensation</b></p> <p>Ex Gratia Payments</p> <p>a) Patients and staff for loss of personal belongings</p> <p>b) Write off of Non NHS debtors</p>	<p>Chief Finance Officer</p> <p>Chief Finance Officer Reported to Audit Committee for information</p>	<p>Detailed Financial Polices section 14</p> <p>Local Financial procedures (TBD) Losses and Special Payments</p>
<p><b>13. Petty Cash Disbursements</b></p> <p>a) Expenditure up to £75 per item</p> <p>Petty Cash disbursements over £75 per item are only allowed in exceptional circumstances</p>	<p>Relevant Senior Manager</p> <p>Chief Finance Officer or Deputy Chief Finance Officer</p>	<p>Detailed Financial Policies</p> <p>Local Financial Procedures (TBD) Payments to staff</p>

Delegated Matter	Authority Delegated To	Reference Documents
<b>14. Maintenance &amp; Update of Trust Financial Procedures</b>	Deputy Chief Finance Officer	
<b>15. Implementation of Internal and External Audit Recommendations</b>	All	Detailed Financial Procedures section 11

## **SECTION B - HUMAN RESOURCE ISSUES**

Delegated Matter	Authority Delegated To	Reference Documents
<p><b>16. Personnel and Pay</b></p> <p>a) <b><u>Authority to fill funded post</u></b> In line with establishment with permanent staff, subject to finance approval as part of the Organisational Procedure</p> <p>b) <b><u>Job Description Review</u></b> All requests for Job Description Review shall be dealt with in accordance with Organisational Procedure.</p> <p>c) <b><u>Establishments</u></b> Additional staff to the agreed establishment with specifically allocated finance in accordance with Organisational Procedures.</p> <p>d) <b><u>Pay</u></b></p> <p>i) Authority to complete standing data forms effecting pay, new starters, variations and leavers.</p> <p>ii) Authority to authorise overtime</p> <p>iii) Authority to authorise travel &amp; subsistence expenses</p> <p>e) <b><u>Leave</u></b></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>Senior Management Team (to include Chief Finance Officer or Deputy Chief Finance Officer)</p> <p>Agenda for Change Matching Process</p> <p>Senior Management Team (to include Chief Finance Officer or Deputy Chief Finance Officer)</p> <p>Senior Manager or Head of Department</p> <p>Relevant Senior Manager</p> <p>Senior Manager or Head of Department</p> <p>Line Manager</p> <p>Relevant Senior Manager</p> <p>Relevant Senior Manager</p>	<p>Detailed Financial Policies sections 3 and 7</p> <p>Agenda for Change Terms &amp; Conditions.</p> <p>Detailed Financial Procedures section 5</p> <p>Establishment Control procedure</p> <p>CCG HR policy document</p>

Delegated Matter	Authority Delegated To	Reference Documents
<p>iv) Compassionate leave up to 6 days</p> <p>v) Special leave arrangements</p> <ul style="list-style-type: none"> <li>• Paternity leave - up to 10 days</li> <li>• Carers leave - up to 5 days</li> <li>• Parental leave – up to 4 working weeks pa</li> </ul> <p>vi) Leave without pay</p> <p>vii) Time off in lieu</p> <p>viii) Maternity Leave - paid and unpaid</p> <p>iv) Additional Paternity Leave</p> <p>f) <b><u>Sick Leave</u></b></p> <p>i) Extension of sick leave on half pay up to three months</p> <p>ii) Return to work part-time on full pay to assist recovery</p> <p>iii) Extension of sick leave on full pay</p> <p>g) <b><u>Study Leave</u></b></p> <p>i) Study leave outside the UK</p> <p>ii) All other study leave (UK)</p> <p>h) <b><u>Removal Expenses, Excess Rent and House Purchases</u></b>  Authorisation of payment of removal expenses incurred by officers taking up new appointments (providing consideration was promised at interview)</p>	<p>Line Manager</p> <p>Line Manager  Line Manager  Line Manager</p> <p>Line Manager after consulting HR</p> <p>Line Manager</p> <p>Automatic approval with guidance from HR</p> <p>Automatic approval with guidance from HR</p> <p>Relevant Senior Manager in conjunction with HR</p> <p>On advice from Occupational Health in conjunction with HR</p> <p>Relevant Senior Manager in conjunction with HR</p> <p>Chief Officer Level</p> <p>Chief Officer Level</p>	

Delegated Matter	Authority Delegated To	Reference Documents
<p>i) up to £8,000</p> <p>ii) over £8,000</p> <p>i) <b><u>Grievance Procedure</u></b> All grievance cases must be dealt with strictly in accordance with the Grievance Procedure and the advice of HR.</p> <p>j) <b><u>Authorised Car and Mobile Phone Users</u></b> Requests for new posts to be authorised as car users</p> <p>Requests for new posts to be authorised as mobile users</p> <p>k) <b><u>Renewal of Fixed Term Contract</u></b></p> <p>l) <b><u>Staff Retirement Policy</u></b> Authorisation of extensions of contract beyond normal retirement age</p> <p>m) <b><u>Redundancy</u></b></p> <p>n) <b><u>Ill Health Retirement</u></b></p> <p>o) <b><u>Dismissal</u></b></p> <p>p) <b><u>Facilities for staff not employed by the Trust to gain practical experience</u></b> Professional Recognition, Honorary Contracts &amp; Insurance of Medical Staff</p> <p>Work experience students</p>	<p>Chief Finance Officer</p> <p>Chief Finance Officer</p> <p>Relevant Senior Manager in conjunction with HR</p> <p>Chief Finance Officer</p> <p>Chief Finance Officer</p> <p>Senior Management Team (to include Chief Finance Officer or Deputy Chief Finance Officer)</p> <p>Relevant Senior Manager and Head of HR and Remuneration Committee</p> <p>Chief Finance Officer, Chief Operating Officer, Head of HR and Chief Clinical Officer as per CCG's policies</p> <p>Chief Operating Officer and Head of HR</p> <p>Chief Operating Officer and Head of HR</p> <p>Chief Operating Officer</p> <p>Relevant Senior Manager</p>	

**SECTION C - OTHER ISSUES**

Delegated Matter	Authority Delegated To	Reference Documents
<p><b>17. Authorisation of Sponsorship Deals</b></p>	<p>Chief Clinical Officer and Chairman of the Governing Body</p>	<p>Detailed Financial Procedures section 11 CCG Conflicts of Interest Policy</p>
<p><b>18. Authorisation of Research Projects</b></p>	<p>Chief Clinical Officer &amp; Head of Integrated Governance &amp; Business Committee</p>	<p>Detailed Financial Procedures section 11 CCG Conflicts of Interest Policy</p>
<p><b>19. Insurance Policies</b></p>	<p>Chief Clinical Officer or Chief Finance Officer</p>	<p>NHSLA membership</p>
<p><b>20. Reporting Incidents to the Police</b></p> <p>a) Where a criminal offence is suspected</p> <p>b) Where a fraud is involved</p>	<p>On Call Manager or Relevant Senior Manager</p> <p>Chief Finance Officer or Local Counter Fraud Specialist (LCFS)</p>	
<p><b>21. Receiving Hospitality</b></p> <p>Applies to both individual and collective hospitality receipt items in excess of £25 per item received.</p>	<p>Declaration required in CCG's Hospitality Register</p>	<p>Detailed Financial Procedures section 11</p>



Delegated Matter	Authority Delegated To	Reference Documents
<b>22. Partnership Commissioning Unit</b>	Director of the Partnership Commissioning Unit	Continuing Healthcare Contract approval and management of the Partnership Commissioning Unit Functions (SLA)