



Vale of York
Clinical Commissioning Group

Detailed Scheme of Delegation

Section A – Financial Issues

Section B – Human Resources Issues

Section C – Other

NHS Vale of York CCG - Detailed Scheme of Delegation

The delegations set out in the detailed scheme of delegation represent the lowest level to which authority for that specific issue has been delegated. All items concerning Finance must be carried out in accordance with Prime Financial Policies in Appendix E and Standing Orders (SO) in Appendix C of the NHS Vale of York Constitution and the Detailed Financial Policies. Where it is believed that the matter or decision being taken under these arrangements has far reaching implications then this must be reported to the Accountable Officer and / or Chief Finance Officer. The Deputy Chief Finance Officer may substitute for the Chief Finance Officer if necessary.

This detailed scheme of delegation refers only to services or activity for the corporate offices, equipment and employees, contractors and Lay Members of NHS Vale of York Clinical Commissioning Group and not for activity, offices, equipment or employees of any member practice.

SECTION A - FINANCIAL ISSUES

Delegated Matter	Authority Delegated To	Reference Documents
<p>1. Management of Budgets</p> <p>Responsibility of maintaining expenditure within budget:</p> <ul style="list-style-type: none"> a) At individual budget level (Pay and Non Pay) b) Department Budgets c) Financial Reserves and Provisions d) Hosted Services <p>Where it is necessary for expenditure to be approved that is outside of an approved budget either in value or in terms of what the budget was originally intended, this can only be done with approval of the Chief Finance Officer and will require an appropriate business case in line with the approval process.</p>	<p>Senior Manager or Head of Department</p> <p>Relevant Senior Manager</p> <p>Deputy Chief Finance Officer</p> <p>Relevant Senior Manager</p>	<p>Budgetary Control Framework (TBD)</p> <p>DFP Section 3</p>

<p>Budget virement:</p> <p>Budget transfer within budget holders area -no limit</p> <p>Budget transfer between budget holders Up to £100,000 Up to £500,000 No limit</p> <p>Budget transfer from reserve codes-no limit</p>	<p>Head of Finance or Deputy Chief Finance Officer or Chief Finance Officer</p> <p>Head of Finance Deputy Chief Finance Officer Chief Finance Officer</p> <p>Head of Finance or Deputy Chief Finance Officer or Chief Finance Officer</p>	
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Delegated Matter	Authority Delegated To	Reference Documents
<p>2. Maintenance / Operation of Bank Accounts</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"> • up to £10,000 • up to £50,000 • up to £150,000 • over £150,000 	<p>Finance Manager (Financial Accounts) and Financial Controller of Shared Services Agency</p> <p>Deputy Chief Finance Officer or Chief Finance Officer</p> <p>Head of Department Relevant Senior Manager Deputy Chief Finance Officer Chief Finance Officer or Accountable Officer</p>	<p>DFP Sections 4 & 12</p> <p>Local Financial Procedures (TBD) – Cash and Treasury Management & Payment of Accounts</p>

Delegated Matter	Authority Delegated To	Reference Documents
<p>3. Non Pay Expenditure</p> <p>Delegated authority to approve business cases or place orders and non-pay expenditure that commits the organisation to a new, anticipated level of investment or a change to an existing area / level of spend is as follows:</p> <ul style="list-style-type: none"> • Up to £25,000 and in line with existing budget • Up to £500,000 • Over £500,000 • Up to £250,000 for Individual Funding Requests <p>Specific Non-Pay Expenditure Items</p> <ul style="list-style-type: none"> • Consultancy 	<p>Budget Holder</p> <p>Executive Committee– Which must include the Chief Finance Officer or Deputy Chief Finance Officer</p> <p>Governing Body – Which must include the Chief Finance Officer or Deputy Chief Finance Officer</p> <p>IFR Service Provider</p> <p>Chief Finance Officer-in line with NHS guidelines for approval.</p>	<p>DFP sections 3, 8, 9, 10 & 12</p> <p>Budgetary Control Framework (TBD)</p> <p>Local Financial Procedures (TBD) - Procurement of goods and services & Contracting and Tendering</p>

Delegated Matter	Authority Delegated To	Reference Documents
<p>Before Orders are placed for goods and services the following conditions must be complied with;</p> <p>a) Confirmation that budgetary provision is available and</p> <p>b) Where competitive tendering or competitive quotations are not required e.g. below £5000 then in the first instance the NHS Supply Chain must be 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"> • up to £4,999 a minimum of 2 verbal quotations have been sought • between £5,000 and £25,000 a minimum of 3 written quotations have been sought. • between £25,001 and £49,999 a minimum of 5 written quotations have been sought. <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>For orders in excess of £50,000 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>All</p> <p>Relevant Senior Manager Relevant Senior Manager</p> <p>Executive Committee (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>

Delegated Matter	Authority Delegated To	Reference Documents
<p>4. Tendering & Contract Procedures (including Leases)</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 expenditure including purchase of healthcare services agreed in line with the Financial Plan and subsequent variations, extensions or rolling over.</p> <ul style="list-style-type: none"> • Up to £250,000 • Up to £500,000 • Over £500,000 <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>5. Authorisation for Payment</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"> • up to £10,000 	<p>Chief Finance Officer (from Accountable Officer)</p> <p>Senior Manager plus a witness</p> <p>Chief Finance Officer and Accountable Officer or Chief Nurse Chief Finance Officer and Accountable Officer</p> <p>Governing Body (must include the Chief Finance Officer or Deputy Chief Finance Officer and requires the signature of the Chief Finance Officer or Accountable Officer)</p> <p>Head of Department</p>	

Delegated Matter	Authority Delegated To	Reference Documents
<ul style="list-style-type: none"> • up to £50,000 • up to £150,000 • over £150,000 <p>The above values represent the maximum permitted. Where appropriate, lesser values may be stipulated by the Budget Holder / Senior Manager / Accountable 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"> • up to £15,000,000 • over £15,000,000 	<p>Relevant Senior Manager</p> <p>Deputy Chief Finance Officer, Accountable Officer, Chief Nurse or Director of Transformation and Delivery</p> <p>Chief Finance Officer and Accountable Officer</p> <p>Deputy Chief Finance Officer</p> <p>Chief Finance Officer and Accountable Officer</p>	
<p>6. Capital Schemes</p> <p>Responsibility for NHS Estate and associated capital schemes has passed to NHS Property Services.</p> <p>This delegated matter relates to the purchase of internal fixtures and fittings the approval limits for associated requisitions are as follows:</p> <p>All Expenditure</p>	<p>n/a</p> <p>Chief Finance Officer</p>	<p>Detailed Financial Policies section 6</p>

Delegated Matter	Authority Delegated To	Reference Documents
<p>7. Setting of Fees and Charges</p> <p>a) Private Patient, Overseas Visitors, Income Generation, Other Patient Related Service and Accommodation Charges (Including recharges to other NHS bodies & 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>8. Accounts Receivable Authorisation</p> <p>a) Invoices raised Up to £500,000.00</p> <p>Over £500,000.00</p> <p>b) Credit Memos Up to £500,000.00</p> <p>Over £500,000.00</p>	<p>Head of Finance</p> <p>Deputy Chief Finance Officer</p> <p>Head of Finance</p> <p>Deputy Chief Finance Officer</p>	<p>Detailed Financial Policies section 5</p>

Delegated Matter	Authority Delegated To	Reference Documents
<p>9. Engagement of Staff Not on the Establishment</p> <p>a) Non-Medical Consultancy Staff</p> <p>The delegated limits regarding non-medical consultancy are in line with current national NHS England guidelines which form the underlying guiding principle for these limits.</p> <p>Below £600 per day</p> <p>£600-£799 per day</p> <p>£800-£899 per day</p> <p>£900 and over per day</p> <p>b) Senior Managers must check with the Finance Department regarding HMRC implications where consultancy staff are considered self-employed. Finance staff must then check the employment status for tax using the HMRC Employment Status Indicator so that the correct employment status is determined. Booking of Bank or Agency Staff</p> <ul style="list-style-type: none"> • Medical Locums • Nursing • Clerical 	<p>Authority Delegated to Executive Committee</p> <p>Authority Delegated to the relevant NHS England Director of Commissioning Operations and their Director of Finance.</p> <p>Authority Delegated to the relevant Regional Director and Regional Director of Finance.</p> <p>Authority Delegated to the relevant Regional Director and Regional Director of Finance and NHS England Commercial Executive Committee</p> <p>Within Budget-Budget Holder Not within budget –Executive Committee</p>	<p>Detailed Financial Policies section 3</p>

Delegated Matter	Authority Delegated To	Reference Documents
<p>10. Agreements / Licences</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 Accountable Officer</p> <p>Chief Finance Officer</p>	<p>Detailed Financial Policies section 3</p>
<p>11. Condemning & Disposal</p> <p>Items obsolete, obsolescent, redundant, irreparable or cannot be repaired cost effectively;</p> <ul style="list-style-type: none"> • with current / estimated purchase price of less than £50 per item • with current purchase new price in excess of £50 per item • disposal of mechanical and engineering plant (subject to estimated income of less than £1,000 per sale) • disposal of mechanical and engineering plant (subject to estimated income exceeding £1,000 per sale) 	<p>Head of Department</p> <p>Relevant Senior Manager</p> <p>Deputy Chief Finance Officer</p> <p>Chief Finance Officer</p>	<p>Detailed Financial Policies section 6</p> <p>Local Financial Procedures (TBD)</p> <p>Security and disposal of fixed assets</p>

Delegated Matter	Authority Delegated To	Reference Documents
<p>12. Losses, Write-offs & Compensation</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>13. Petty Cash Disbursements</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>Budget Holder</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>
<p>14. Maintenance & Update of Trust Financial Procedures</p>	<p>Deputy Chief Finance Officer</p>	
<p>15. Implementation of Internal and External Audit Recommendations</p>	<p>All</p>	<p>Detailed Financial Procedures section 11</p>

SECTION B - HUMAN RESOURCE ISSUES

Delegated Matter	Authority Delegated To	Reference Documents
<p>16. Personnel and Pay</p> <p>a) Authority to fill funded post In line with establishment with permanent staff, subject to finance approval as part of the Organisational Procedure</p> <p>b) Job Description Review All requests for Job Description Review shall be dealt with in accordance with Organisational Procedure and Agenda for Change Matching Process.</p> <p>c) Establishments Additional staff to the agreed establishment with specifically allocated finance in accordance with Organisational Procedures.</p> <p>d) Pay</p> <p>i) Authority to complete standing data forms affecting pay, new starters, variations and leavers.</p> <p>ii) Authority to authorise overtime</p> <p>iii) Authority to authorise travel & subsistence expenses</p> <p>e) 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>Accountable Officer or Remuneration Committee for VSM and Governing Body posts</p> <p>Line Manager</p> <p>Executive Committee (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 & 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"> • Paternity leave - up to 10 days • Carers leave - up to 5 days • Parental leave – up to 4 working weeks pa <p>vi) Leave without pay</p> <p>vii) Time off in lieu</p> <p>viii) Shared Parental Leave - paid and unpaid</p> <p>f) Sick Leave</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 on advice from Occupational Health in conjunction with HR.</p> <p>iii) Extension of sick leave on full pay</p> <p>g) Study Leave</p> <p>i) Study leave outside the UK</p> <p>ii) All other study leave (UK)</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>Relevant Senior Manager in conjunction with HR</p> <p>Relevant Senior Manager</p> <p>Relevant Senior Manager in conjunction with HR</p> <p>Chief Officer Level</p> <p>Budget Holder</p>	

Delegated Matter	Authority Delegated To	Reference Documents
<p>h) 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>i) up to £8,000</p> <p>ii) over £8,000</p> <p>i) Grievance Procedure All grievance cases must be dealt with strictly in accordance with the Grievance Procedure and the advice of HR.</p> <p>j) Authorised Car and Mobile Phone Users 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) Renewal of Fixed Term Contract</p> <p>l) Staff Retirement Policy Authorisation of extensions of contract beyond normal retirement age</p> <p>m) Redundancy</p> <p>n) Ill Health Retirement</p>	<p>Chief Finance Officer</p> <p>Accountable Officer</p> <p>Relevant Senior Manager in conjunction with HR</p> <p>Chief Finance Officer</p> <p>Chief Finance Officer</p> <p>Executive Committee (to include Chief Finance Officer or Deputy Chief Finance Officer)</p> <p>Relevant Senior Manager and Remuneration Committee in conjunction with HR</p> <p>Chief Finance Officer and Accountable Officer in conjunction with HR and as per CCG's policies</p> <p>Chief Finance Officer and Accountable officer in conjunction with HR</p>	

Delegated Matter	Authority Delegated To	Reference Documents
<p>o) Dismissal</p> <p>p) Facilities for staff not employed by the Trust to gain practical experience</p> <p>Professional Recognition, Honorary Contracts & Insurance of Medical Staff</p> <p>Work experience students</p>	<p>Accountable Officer in conjunction with HR</p> <p>Chief Nurse</p> <p>Relevant Senior Manager</p>	

SECTION C - OTHER ISSUES

Delegated Matter	Authority Delegated To	Reference Documents
<p>17. Authorisation of Sponsorship Deals</p>	<p>Accountable Officer and Chair of the Governing Body</p>	<p>Detailed Financial Procedures section 11 CCG Conflicts of Interest Policy</p>
<p>18. Authorisation of Research Projects</p>	<p>Accountable Officer and Chief Nurse</p>	<p>Detailed Financial Procedures section 11 CCG Conflicts of Interest Policy</p>
<p>19. Insurance Policies</p>	<p>Accountable Officer or Chief Finance Officer</p>	<p>NHSLA membership</p>
<p>20. 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 Relevant Senior Manager</p> <p>Chief Finance Officer or Local Counter Fraud Specialist (LCFS)</p>	
<p>21. Receiving Hospitality</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
22. Partnership Commissioning Unit	Executive Director of Transformation and Delivery	Continuing Healthcare Contract approval and management of the Partnership Commissioning Unit Functions (SLA)