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**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**. In the case of unplanned absence of the delegated role, authority can be delegated to a nominated deputy with the approval of the Finance department. In the case of planned absence, staff can delegate authority to a nominated deputy with the approval of the Finance department. If this is not possible, delegation is automatically passed to the Deputy Chief Finance Officer. 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**

| Ref | Delegated Matter | Authority Delegated To | Reference Documents |
| --- | --- | --- | --- |
| **1.** | **Management of Budgets** |  | Detailed Financial Policies (DFP) Section 3 |
|  | Responsibility for maintaining expenditure within budget: |  |
|  | 1. At individual budget level (Pay and Non Pay)
 | Head of Department |
|  | 1. Department Budgets
 | Assistant/Deputy Director |
|  | 1. Financial Reserves and Provisions
 | Deputy Chief Finance Officer |
|  | 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 for, 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. |  |
|  | Budget virement: |  |
|  | 1. Approval of annual budget
 | Governing Body |
|  | 1. Budget transfer within budget holders area - no limit
 | Head of Finance  |
|  | 1. Budget transfer between budget holders
 |  |
|  | * Up to £100,000
 | Head of Finance |
|  | * Up to £500,000
 | Deputy Chief Finance Officer |
|  | * No limit
 | Chief Finance Officer |
|  | 1. Budget transfer from reserve codes – no limit
 | Head of Finance  |
|  | 1. Transfer of budget via RTF
 | Head of Finance |  |
| **2.** | **Maintenance / Operation of Bank Accounts** |  | DFP Sections 3, 4 & 8Financial Procedure Note (FPN) 3 – Cash DrawdownFPN 4 – Accounts Payable |
|  | 1. Day to day operation of organisational bank accounts
 | Financial Accountant and Financial Controller of Shared Business Services |
|  | 1. Authorisation for cash limit drawdown
 | Deputy Chief Finance Officer or Chief Finance Officer |
|  | 1. Authorisation for cheque requests
 |  |
|  | * up to £10,000
 | Head of Finance |
|  | * up to £150,000
 | Deputy Chief Finance Officer |
|  | * over £150,000
 | Chief Finance Officer or Accountable Officer  |
| **3.** | **Non Pay Expenditure** |  | DFP Sections 3, 8, 9, 10 & 12Governing Body approved plan |
|  | **Expenditure on existing budgeted expenditure (as per GB approved annual budget as amended)** |  |
|  | For most healthcare services, expenditure should be included on a contract, service level agreement (SLA) or memorandum of understanding (MoU) |  |
|  | * Signing of contracts / SLAs / MoUs
 | Chief Finance Officer |
|  | Except for: |  |
|  | **Specific Non Pay Expenditure Items** |  |
|  | * Complex Care incl. Continuing Healthcare (up to £250,000 per annum and within overall complex care budget)
 | Executive Director of Transformation, Complex Care and Mental Health |
|  | * Complex Care incl. Continuing Healthcare (over £250,000 per annum and within overall complex care budget)
 | Executive Director of Transformation, Complex Care and Mental Health and Chief Finance Officer |
|  | * Complex Care patients, incl. 117 and transforming care up to £2,000 per week and within overall complex care budget
 | Mental Health Clinical Case Manager |
|  | * Continuing Healthcare up to £2,000 per week and within overall CHC budget
 | CHC Clinical Team Leader |
|  | * Authorisation of Primary Care monthly contract payments from Delegated funds (within Delegated funds budget)
 | Head of Finance |
|  | * Community Equipment and Wheelchairs – where individual items have been supported through the relevant clinical review and approval processes and are the equivalent or less financial value (within community equipment and wheelchairs budget)
 | Relevant Contract Manager |
|  | * Non-contracted activity (purchase of healthcare - within budget)
 | NCA team at NECS to check VoY patient |
|  | * Agreement of new Primary Care Local Enhanced Services or GP incentive schemes (within LES budget)
 | Primary Care Commissioning Committee |
|  | * Primary Care discretionary payments (including Local incentive Schemes, returner/retainers and other ad-hoc payments not covered by Section 96) up to £10,000 (within Delegated funds budget)
 | Primary Care Commissioning Committee |
|  | * Primary Care discretionary payments (including Local incentive Schemes, returner/retainers and other ad-hoc payments not covered by Section 96) over £10,000 (within Delegated funds budget)
 | Primary Care Commissioning Committee then Executive Committee |
|  | * Actual/notional Primary Care rent changes under £5,000 (within Delegated funds budget)
 | Deputy Chief Finance Officer  |  |
|  | * Actual/notional Primary Care rent changes over £5,000 (within Delegated funds budget)
 | Primary Care Commissioning Committee |
|  | * Prescribing expenditure
 | Primary Care Commissioning Committee |  |
|  | **Before orders are placed for non-healthcare related goods and services the following conditions must be complied with:** |  | DFP Section 10NHS Vale of York CCG Procurement Policy |
|  | 1. Confirmation that budgetary provision is available **and**
 | All |
|  | 1. Where competitive tendering or competitive quotations are not required (as per the thresholds below) NHS Supply Chain and any published framework contracts can be accessed as an alternative to formal quotation of tendering exercise
 |  |
|  | * up to £1,000 a minimum of 1 written quote
 | Assistant/Deputy Director |
|  | * between £1,001 and £25,000 a minimum of 3 written quotations have been sought
 | Assistant/Deputy Director |
|  | * between £25,001 and £49,999 a minimum of 5 written quotations have been sought
 | Executive Committee (to include Chief Finance Officer or Deputy Chief Finance Officer) |
|  | * 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.
 |  |
|  | **Note that most non-healthcare related goods and services expenditure should be covered either via a contract, SLA or MoU.**  |  |
|  | * Signing of contracts / SLAs / MoUs
 | Chief Finance Officer |
|  | **If the value is less than £25,000 this may be covered by a purchase order. Purchase orders must be approved as follows:** |  |
|  | * Up to £10,000
 | Head of Department |
|  | * £10,001 to £25,000
 | Assistant/Deputy Director |
|  | 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. |  |
|  | **New unbudgeted expenditure**  |  |  |
|  | Authority to approve business cases that commit the organisation to a new, unbudgeted level of investment or a change to an existing area / level of spend is as follows: |  |  |
|  | * Up to £250,000
 | Executive Committee – which must include the Chief Finance Officer or Deputy Chief Finance Officer – and reported to Finance and Performance Committee |  |
|  | * Over £250,000
 | Governing Body – which must include the Chief Finance Officer or Deputy Chief Finance Officer |  |
|  | * Up to £250,000 for Individual Funding Requests
 | IFR Panel |  |
|  | * Over £250,000 for Individual Funding Requests
 | IFR Panel and Executive Committee |  |
|  | **Hypothecated NHS funding or funding related to a specific bid** |  |  |
|  | With due regard to the procurement policy, expenditure can be made in line with the ringfence requirements/specific bid with existing contract providers. Should expenditure be directed to a new provider, it must be done so with regard to the procurement policy and consideration to the requirement for single tender waivers. | Head of Department |  |
| **4.** | **Tendering & Contract Procedures (including Leases)** |  | DFP Section 9CCG Procurement Policy |
|  | 1. Waiving of requirement to obtain quotations and tenders subject to the Detailed Financial Policies
 | Audit Committee  |
|  | 1. Opening of Tenders
 | Head of Department plus witness |
|  | 1. Authorising annual procurements and individual procurement approach. 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.
 |  |
|  | * Up to £500,000
 | Finance and Performance Committee |
|  | * Over £500,000
 | 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) |
|  | 1. Awarding External Audit contracts
 | Governing Body (on advice from Audit Committee) |
|  | All contracts awarded should be reported to the Audit Committee and the Governing Body with a responsible officer delegated to manage each contract. |  |
| **5.** | **Authorisation for Payment** |  | DFP Section 8FPN 4 – Accounts PayableOracle User Hierarchy |
|  | Where non-healthcare related goods and services have been procured in line with the above procedures (Sections 3 and 4) then authorisation of invoices for payment will be as follows: |  |
|  | * up to £10,000
 | Head of Department |
|  | * up to £50,000
 | Assistant/Deputy Director |
|  | * up to £100,000
 | Deputy Chief Finance Officer, Executive Director of Quality and Nursing (Chief Nurse),Executive Director of Transformation, Complex Care and Mental Health, Executive Director of Primary Care and Population Health |
|  | * + - over £100,000
 | Chief Finance Officer or Accountable Officer (Deputy Chief Finance Officer able to substitute as necessary) |
|  | The above values represent the maximum permitted. Where appropriate, lesser values may be stipulated by the Head of Department / Assistant/Deputy Director / Executive Director / Chief Finance Officer / Accountable Officer. Where lesser values are sought this must be approved by the Finance Directorate. |  |
|  | For healthcare commissioned services on contract authorisation of invoices for payment within the approved budget will be as follows: |  |
|  | * up to £25,000,000
 | Deputy Chief Finance Officer  |
|  | * over £25,000,000
 | Chief Finance Officer or Accountable Officer |
| **6.** | **Capital Schemes** |  | DFP Section 6 |
|  | Approval of Property Vacation Notices for void properties | Chief Finance Officer and Accountable Officer (and reported to Primary Care Commissioning Committee or Finance and Performance Committee) |
|  | Capital schemes in line with capital resource limit | Chief Finance Officer |
|  | Capital PIDs for NHSE funding | Chief Finance Officer |
| **7.** | **Setting of Fees and Charges** |  | DFP Section 5 |
|  | 1. Income Generation (Including recharges to other NHS bodies & Local Authorities)
 | Chief Finance Officer |
|  | 1. Price of NHS Contracts. Charges for all NHS Contracts be they block, cost per case, cost and volume, spare capacity
 | Chief Finance Officer |
| **8.** | **Accounts Receivable Authorisation** |  | DFP Section 5 |
|  | 1. Invoices raised
 |  |
|  | * Up to £500,000
 | Deputy Head of Finance |
|  | * Over £500,000
 | Head of Finance |
|  | 1. Credit memos
 |  |
|  | * Up to £500,000
 | Deputy Head of Finance |
|  | * Over £500,000
 | Head of Finance |
| **9.** | **Engagement of Staff Not on the Establishment** |  | DFP Section 11 |
|  | Managers must check with the Finance Department regarding HMRC implications where consultancy/agency 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 Consultancy, Bank or Agency Staff |  |
|  | 1. Non-Medical Consultancy Staff
 |  |
|  | 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. |  |
|  | * Below £600 per day
 | Executive Committee |
|  | * £600-£799 per day
 | The relevant NHS England Director of Commissioning Operations and their Director of Finance |
|  | * £800-£899 per day
 | The relevant Regional Director and Regional Director of Finance |
|  | * £900 and over per day
 | The relevant Regional Director and Regional Director of Finance and NHS England Commercial Executive Committee |
|  | 1. Medical Locums, Nursing, Admin and Clerical and other temporary staff
 | Executive Committee |
| **10.** | **Agreements / Licences** |  |  |
|  | 1. Extensions to existing leases
 | Chief Finance Officer |
|  | 1. Approval of rent based on professional assessment (District Valuer rent assessments)
 | Primary Care Commissioning Committee |
| **11.** | **Condemning & Disposal** |  | DFP Section 14 |
|  | * Approval of disposals and condemnations up to £50,000
 | Chief Finance Officer (reported to Audit Committee) |
|  | * Approval of disposals and condemnations of £50,001 and above
 | Chief Finance Officer and Accountable Officer (reported to Audit Committee) |
| **12.** | **Losses, Write-offs & Compensation** |  | DFP Sections 13 and 14 |
|  | 1. Bad debts, losses and special payments up to £50,000
 | Chief Finance Officer (reported to Audit Committee |
|  | 1. Bad debts, losses and special payments over £50,000
 | Chief Finance Officer and Accountable Officer (reported to Audit Committee) |
| **13.** | **Petty Cash Disbursements and Credit Card Expenditure** |  | DFP Sections 8 and 10CCG Credit Card Policy |
|  | Petty Cash |  |
|  | 1. Expenditure up to £75 per item
 | Head of Department |
|  | 1. Expenditure over £75 per item
 | Chief Finance Officer or Deputy Chief Finance Officer |
|  | Credit Card | Deputy Chief Finance Officer or Chief Finance Officer or Accountable Officer (for expenditure requested by the Chief Finance Officer) |
|  | Credit card expenditure is limited to: |
|  | * Catering and catering supplies
 |
|  | * Clubs/Associations
 |
|  | * Training and Education
 |
|  | * Travel
 |
|  | * Hotels and Accommodation
 |
| **14.** | **Maintenance & Update of Financial Procedures** |  |  |
|  | Maintenance and update of financial procedures | Deputy Chief Finance Officer |
| **15.** | **Implementation of Internal and External Audit Recommendations** |  |  |
|  | Implementation of Internal and External Audit recommendations | All |
| **16.** | **Primary Care Rebates** |  | NHS Vale of York CCG Policy on Primary Care Rebate Schemes  |
|  | Acceptance of primary care rebates | Chief Finance Officer |

**SECTION B – HUMAN RESOURCE ISSUES**

| Ref | Delegated Matter | Authority Delegated To | Reference Documents |
| --- | --- | --- | --- |
| **17.** | **Personnel and Pay** |  |  |
|  | 1. Authority to fill funded post

In line with establishment with permanent staff, subject to finance approval as part of the Organisational Procedure | Executive Committee or Remuneration Committee for VSM and Governing Body posts (or outside of committees – 2 Executive Directors which is then ratified at the relevant committee) |  |
|  | 1. Renewal of fixed term contract
 | Executive Committee (to include Chief Finance Officer or Deputy Chief Finance Officer) |  |
|  | 1. Job Description Review

All requests for Job Description Review shall be dealt with in accordance with Organisational Procedure and Agenda for Change Matching Process. | Line Manager and approved by A4C Matching Panel |  |
|  | 1. Establishments

Additional staff to the agreed establishment with specifically allocated finance in accordance with Organisational Procedures. | Executive Committee (to include Chief Finance Officer or Deputy Chief Finance Officer) |  |
|  | 1. Pay
 |  |  |
|  | * Authority to complete standing data forms affecting pay, new starters, variations and leavers
 | Head of Department |  |
|  | * Authority to authorise overtime
 | Assistant/Deputy Director |  |
|  | * Authority to authorise travel & subsistence expenses
 | Head of Department (for Continuing Healthcare expenses only – CHC Clinical Team Leader) | CCG Travel and Expenses Policy |
|  | 1. Leave
 |  | CCG Annual Leave PolicyCCG Other Leave PolicyCCG Maternity, Maternity Support, Paternity, Adoption and Parental Leave Policy |
|  | * Approval of annual leave
 | Line Manager |
|  | * Annual Leave – in exceptional circumstances approval of carry forward up to maximum of 1 working week
 | Line Manager |
|  | * Compassionate leave up to 6 days
 | Line Manager |
|  | * Special leave arrangements
 |  |
|  | Paternity leave – up to 10 days | Line Manager |
|  | Carers leave – up to 5 days | Line Manager |
|  | Parental leave – up to 4 working weeks pa | Line Manager |
|  | * Leave without pay
 | Line Manager after consulting HR |
|  | * Time off in lieu
 | Line Manager |
|  | * Shared Parental Leave – paid and unpaid
 | Automatic approval with guidance from HR |
|  | 1. Sick leave
 |  | CCG Management of Attendance Policy |
|  | * Extension of sick leave on half pay up to three months
 | Assistant/Deputy Director in conjunction with HR |
|  | * Return to work part-time on full pay to assist recovery on advice from Occupational Health in conjunction with HR
 | Assistant/Deputy Director |
|  | * Extension of sick leave on full pay
 | Assistant/Deputy Director in conjunction with HR |
|  | 1. Study leave
 |  | CCG Learning and Development Policy |
|  | * Study leave outside the UK
 | Executive Committee |
|  | * All other study leave (UK)
 | Deputy Directors |
|  | 1. Removal Expenses, Excess Rent and House Purchases
 |  | CCG Relocation Assistance Policy |
|  | Authorisation of payment of removal expenses incurred by officers taking up new appointments (providing consideration was promised at interview) |  |
|  | * up to £8,000
 | Chief Finance Officer |
|  | * over £8,000
 | Remuneration Committee |
|  | 1. Grievance Procedure
 |  | CCG Grievance Policy |
|  | All grievance cases must be dealt with strictly in accordance with the Grievance Procedure and the advice of HR | Assistant/Deputy Director in conjunction with HR |
|  | 1. Mobile Phone Users
 |  |  |
|  | Requests for new posts to be authorised as mobile users | Head of Legal and Governance |  |
|  | 1. Staff Retirement Policy
 |  |  |
|  | Authorisation of extensions of contract beyond normal retirement age | Assistant/Deputy Director and Remuneration Committee in conjunction with HR |  |
|  | 1. Redundancy
 | Chief Finance Officer and Accountable Officer in conjunction with HR and as per CCG’s policies |  |
|  | 1. Ill Health Retirement
 | Chief Finance Officer and Accountable Officer in conjunction with HR |  |
|  | 1. Dismissal
 | Accountable Officer in conjunction with HR |  |
|  | 1. Salary Sacrifice Schemes (HMRC supported)
 | Executive Committee |  |
|  | 1. Facilities for staff not employed by the Trust

to gain practical experience |  | CCG Work Experience Policy |
|  | * Professional Recognition, Honorary Contracts & Insurance of Medical Staff
 | Executive Director of Quality and Nursing |
|  | * Work experience students
 | Executive Director |

**SECTION C – OTHER ISSUES**

| Ref | Delegated Matter | Authority Delegated To | Reference Documents |
| --- | --- | --- | --- |
| **18.** | **Authorisation of Sponsorship Deals** | Accountable Officer and Chair of the Governing Body | CCG Sponsorship Policy |
| **19.** | **Authorisation of Research Projects** | Accountable Officer and Executive Director of Quality and Nursing | CCG Conflicts of Interest Policy |
| **20.** | **Insurance Policies** | Accountable Officer or Chief Finance Officer | NHS Resolution membership |
| **21.** | **Reporting Incidents to the Police** |  | CCG Anti-fraud, Bribery and Corruption Policy  |
|  |  a) Where a criminal offence is suspected | On Call Manager or Assistant/Deputy Director |
|  |  b) Where a fraud is involved | Chief Finance Officer and Local Counter Fraud Specialist (LCFS) |
| **22.** | **Receiving Hospitality and Gifts** |  | CCG Conflicts of Interest Policy |
|  | Applies to both individual and collective hospitality receipt items in excess of £25 per item receivedGifts over £6, whether accepted or not | Declaration required in CCG's Register of Gifts and Hospitality  |