

NHS VALE OF YORK CCG

DETAILED SCHEME OF DELEGATION

Version: 1- August 2013

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 be taken under these arrangements has far reaching implications then this must be reported to the Chief Clinical Officer and / or Chief Financial Officer.

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> <p>a) At individual budget level (Pay and Non Pay)</p> <p>b) Department Budgets</p> <p>c) Financial Reserves and Provisions</p> <p>d) Hosted Services</p> <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 Financial Officer and will require an appropriate business case in line with the approval process.</p> <p>Budget virement:</p> <ul style="list-style-type: none"> • Within a Cost Centre • Between Cost Centres, 5% or £10,000 (whichever is less) • Above 5% or £10,000 • Above £50,000 	<p>Budget Holder</p> <p>Relevant Senior Manager</p> <p>Deputy Chief Financial Officer</p> <p>Relevant Senior Manager</p> <p>Budget Holder</p> <p>Relevant Senior Manager</p> <p>Deputy Chief Financial Officer</p> <p>Chief Financial Officer and Chief Operating Officer or Chief Clinical Officer</p>	<p>Budgetary Control Framework (TBD)</p> <p>DFP Section 3</p>

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 Financial Officer or Chief Operating Officer</p> <p>Budget Holder Senior Manager Deputy Chief Financial Officer or Chief Operating Officer Chief Financial Officer or Chief Clinical 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>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 £30,000 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 obtained; • between £5,000 and £19,999 a minimum of 3 written quotations have been received; • between £20,000 and £29,999 a minimum of 4 written quotations have been received; • between £30,000 and £49,999 a minimum of 5 written quotations have been received <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</p>	<p>All</p> <p>All</p> <p>All</p> <p>All</p> <p>All</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>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 Financial Officer must be sought.</p> <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) Authorisation and responsibility for contracts for non-pay and subsequent variations, extensions or rolling over.</p> <ul style="list-style-type: none"> • Up to £50,000 • Up to £250,000 • Up to £500,000 • Over £500,000 <p>All contracts awarded should be reported to the Audit Committee and the Board 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 • up to £50,000 • up to £150,000 • over £150,000 	<p>Chief Clinical Officer and report to Audit Committee</p> <p>Senior Manager plus a witness</p> <p>Relevant Senior Manager Chief Clinical Officer or Chief Financial Officer Chairman and Chief Clinical Officer, Chief Operating Officer or Chief Financial Officer Governing Body</p> <p>Chief Financial Officer or Chief Clinical Officer</p> <p>Budget Holder Relevant Senior Manager Deputy Chief Financial Officer, Chief Operating Officer or Chief Clinical Officer Chief Financial Officer and Chief Operating Officer or Chief Clinical 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>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"> • up to £15,000,000 • over £15,000,000 	<p>Deputy Chief Financial Officer or Chief Operating Officer</p> <p>Chief Financial Officer or Chief Operating Officer and Chief Clinical Officer</p>	

Delegate Matter	Authority Delegated To	Reference Documents
<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> <ul style="list-style-type: none"> • up to £5,000 • up to £50,000 	<p>n/a</p> <p>Relevant Senior Manager Chief Financial Officer, Chief Operating Officer or Chief Clinical Officer</p>	<p>Detailed Financial Policies section 6</p>

Delegate 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 Financial Officer</p> <p>Chief Financial Officer</p>	<p>Detailed Financial Policies section 5</p>

Delegated Matter	Authority Delegated To	Reference Documents
<p>8. Engagement of Staff Not on the Establishment</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"> • Medical Locums • Nursing • Clerical 	<p>Chief Financial Officer and Chief Operating Officer or Chief Clinical Officer</p> <p>Governing Body</p> <p>Budget Holder and Head of Finance</p>	<p>Detailed Financial Policies section 3</p>

Delegated Matter	Authority Delegated To	Reference Documents
<p>9. 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 Financial Officer</p> <p>Chief Financial Officer</p> <p>Chief Financial Officer and Chief Clinical Officer</p> <p>Chief Financial Officer</p>	<p>Detailed Financial Policies section 3</p>
<p>10. 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>Budget Holder</p> <p>Relevant Senior Manager Deputy Chief Financial Officer</p> <p>Chief Financial 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>11. Losses, Write-offs & Compensation</p> <p>Ex Gratia Payments</p> <p>a) Patients and staff for loss of personal belongings</p> <ul style="list-style-type: none"> • Less than £99.99 • Between £100 and £499.99 • Between £500 and £999.99 • Greater than £1,000 <p>b) Write off of Non NHS debtors</p>	<p>Budget Holder Relevant Senior Manager Chief Financial Officer Chief Clinical Officer or Chief Operating Officer and Chief Financial Officer</p> <p>Chief Financial Officer Reported to Audit Committee for information</p>	<p>Detailed Financial Policies section 14</p> <p>Local Financial procedures (TBD) Losses and Special Payments</p>
<p>12. 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 with the prior agreement of the Chief Financial Officer, designated Deputy or Finance Manager – Financial and Management Accounting.</p>	<p>Budget Holder</p>	<p>Detailed Financial Policies</p> <p>Local Financial Procedures (TBD) Payments to staff</p>

Delegated Matter	Authority Delegated To	Reference Documents
13. Maintenance & Update of Trust Financial Procedures	Deputy Chief Financial Officer	
14. Implementation of Internal and External Audit Recommendations	All	Detailed Financial Procedures section 11

SECTION B - HUMAN RESOURCE ISSUES

Delegated Matter	Authority Delegated To	Reference Documents
<p>15. Personnel and Pay</p> <p>a) <u>Authority to fill funded post</u> In line with establishment with permanent staff, subject to finance approval as part of the Organisational Procedure</p> <p>b) <u>Job Description Review</u> All requests for Job Description Review shall be dealt with in accordance with Organisational Procedure.</p> <p>c) <u>Establishments</u> Additional staff to the agreed establishment with specifically allocated finance in accordance with Organisational Procedures.</p> <p>d) <u>Pay</u></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 & subsistence expenses</p> <p>e) <u>Leave</u></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</p>	<p>Budget holder</p> <p>Agenda for Change Matching Process</p> <p>Head of Finance and Relevant Senior Manager</p> <p>Budget Holder</p> <p>Budget Holder or Relevant Senior Manager</p> <p>Budget Holder or Relevant Senior Manager</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>excess of 1 working week.</p> <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) Maternity Leave - paid and unpaid</p> <p>viv) Additional Paternity Leave</p> <p>f) <u>Sick Leave</u></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) <u>Study Leave</u></p> <p>i) Study leave outside the UK</p> <p>ii) All other study leave (UK)</p> <p>h) <u>Removal Expenses, Excess Rent and House Purchases</u> Authorisation of payment of removal expenses incurred by officers taking up new appointments (providing consideration</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>Relevant Senior Manager and Chief Clinical Officer</p> <p>Relevant Senior Manager</p>	

Delegated Matter	Authority Delegated To	Reference Documents
<p>was promised at interview)</p> <p>i) up to £8,000</p> <p>ii) over £8,000</p> <p>i) <u>Grievance Procedure</u> All grievance cases must be dealt with strictly in accordance with the Grievance Procedure and the advice of HR.</p> <p>j) <u>Authorised Car and Mobile Phone Users</u> 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) <u>Renewal of Fixed Term Contract</u></p> <p>l) <u>Staff Retirement Policy</u> Authorisation of extensions of contract beyond normal retirement age</p> <p>m) <u>Redundancy</u></p> <p>n) <u>Ill Health Retirement</u></p> <p>o) <u>Dismissal</u></p> <p>p) <u>Facilities for staff not employed by the Trust to gain practical experience</u> Professional Recognition, Honorary Contracts & Insurance of Medical Staff</p> <p>Work experience students</p>	<p>Relevant Senior Manager</p> <p>Chief Financial and Chief Clinical Officer</p> <p>Relevant Senior Manager in conjunction with HR</p> <p>Budget Holder</p> <p>Budget Holder</p> <p>Budget Holder and Head of HR</p> <p>Relevant Senior Manager and Head of HR and Remuneration Committee</p> <p>Chief Financial 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
16. Authorisation of Sponsorship Deals	Chief Clinical Officer and Chairman of the Governing Body	Detailed Financial Procedures section 11 CCG Conflicts of Interest Policy
17. Authorisation of Research Projects	Chief Clinical Officer & Head of Integrated Governance & Business Committee	Detailed Financial Procedures section 11 CCG Conflicts of Interest Policy
18. Insurance Policies	Chief Clinical Officer or Chief Financial Officer	NHSLA membership
19. Patients & Relatives Complaints a) Overall responsibility for ensuring that all complaints are dealt with effectively b) Responsibility for ensuring complaints relating to an Executive Office are investigated thoroughly	Executive Nurse Executive Nurse	CCG Complaints Policy
20. Infectious Diseases and Notifiable Outbreaks	On Call Manager or Executive Nurse in conjunction with Public Health England	

Delegated Matter	Authority Delegated To	Reference Documents
<p>21. Extended Role Activities</p> <p>Approval of Nurses to undertake duties / procedures which can properly be described as beyond the normal scope of Nursing Practice</p>	Executive Nurse	Nurse/Midwives/Health Visitors Act Midwives Rules/Code of Practice NMC Code of Professional Conduct
<p>22. Patient Services</p> <ul style="list-style-type: none"> • Temporary Change • Permanent Change 	Executive Nurse Chief Clinical Officer	
<p>23. Reporting Incidents to the Police</p> <p>a) Where a criminal offence is suspected</p> <p>b) Where a fraud is involved</p>	On Call Manager or Relevant Senior Manager Chief Financial Officer or Local Counter Fraud Specialist (LCFS)	
<p>24. Review of Fire Precautions</p>	Chief Clinical Officer	
<p>25. Receiving Hospitality</p> <p>Applies to both individual and collective hospitality receipt items in excess of £25 per item received.</p>	Declaration required in CCG's Hospitality Register	Detailed Financial Procedures section 11