

OPERATIONAL SCHEME OF DELEGATION

This Operational Scheme of Delegation is being developed in conjunction with the organisation’s Standing Financial Instructions and Standing Orders and will provide guidance for both the CCG and the Commissioning Support Unit, in respect of Coastal West Sussex CCG. Delegated matters in respect of decisions, which may have a far-reaching effect, must be reported to the Accountable Officer. **The Delegation shown below is the lowest level to which authority is delegated. Authority can be delegated upwards with no further action being required.** However, delegation to lower levels is only permitted with written approval of the Accountable Officer who may, before authorising such delegation, consult with other Chief Officers as appropriate. All items concerning finance must be carried out in accordance with the organisation’s Standing Orders, Standing Financial Instructions and Detailed Financial Procedures. All financial limits in this schedule of matters delegated to officers are subject to sufficient budget being available within plan.

Table 1 – Delegation Authority

Sign Off Level	Title
1	Accountable Officer
2a	Chief Finance Officer and Chief Operating Officer
2b	Other Chief Officers
3a	Budget Holders at grade 8b and above with budgets > £1m
3b	Budget Holders at grade 8b and above with budgets <= £1m
4	Budget Holders grade 6 – 8a with assigned budgetary responsibilities.
5	System Administration Responsibility - no delegated budgetary responsibility.

Note: Ability to delegate responsibilities within this schedule for practical purposes (e.g. role is not covered by full time CCG employee, extended absence):

Accountable Officer – to Managing Director

Chief Finance Officer – to Deputy Chief Finance Officer/Head of Finance acting in DCFO capacity

Table 2 - Financial levels of sign off

Sign Off Level	Requisition/ Ordering	Invoice Approval	Credit Memos	Sales Orders	Tendering	Signing (Contracts)
1	unlimited	unlimited	unlimited	unlimited	unlimited	unlimited
2a	£20M	£20M	£20M	£20M	£20M	£20M
2b	£1M	£1M	£1M	£1M	£1M	£1M
3a	£250k	£250k	£250k	£250k	£25k	£25k
3b	£100k	£100k	£100k	£100k	£5k	£5k
4	£10k	£10k	£10k	£10k	no	no
5	£0.01	£0.01	£0.01	£0.01	no	no

Note: Where a contract value has been agreed the Accountable Officer may delegate the signing of the contract to a level 2a officer.

Table 3 – Delegated matters and associated authority level

REF	DELEGATED MATTERS	AUTHORITY DELEGATED TO
1.	Bank Accounts Maintenance and Operation in accordance with mandates approved by the CCG Governing Body	All banking administered by CSU, but must be managed in accordance with organisational SFIs and SOs. Locally, these are in line with the CCG Detailed Financial Procedures
2	CCG Budgets Responsibility for keeping expenditure within budgets a) At individual budget level (Pay and Non Pay) b) At team level c) For the totality of activity covered by an executive chief	Authorisation limits are maximum values, budget holders are not permitted to commit expenditure against a specific budget in excess of the budget value regardless of their authorisation limit, without specific authority from the CFO or Accountable Officer.
3	Maintenance of equipment	For IT and minor capital schemes, the CCG revenue authorised limits plus detailed financial procedures will be applicable.
4	Research Projects Authorisation of Research Projects	Senior Management Team (SMT)
5	Condemning & Disposal	

REF	DELEGATED MATTERS	AUTHORITY DELEGATED TO
	<p>a) Items obsolete, obsolescent, redundant, and irreparable or cannot be repaired cost effectively.</p> <p>Losses write off and compensation</p> <p>a) Losses and Cash due to theft, fraud, overpayment etc b) Fruitless Payments (including abandoned Capital Schemes). c) Bad Debts d) Claims Abandoned. e) Damage to buildings, fittings, furniture and equipment and loss of equipment and property in stores and in use due to: Culpable causes (e.g. fraud, theft, arson) or other. f) Compensation payments made under legal obligation g) Extra Contractual payments to contractors. h) Ex-gratia Payments to Patients and staff for loss of personal effects: i) Ex-gratia payments for Clinical negligence (negotiated settlements following legal advice) j) Ex-gratia payments for personal injury claims involving negligence where legal advice obtained and followed k) Other ex-gratia payments except cases of maladministration where there is no financial loss by claimant- l) Write off of NHS Debtors</p>	<p>All capital assets relating to property will be the responsibility of NHS Property Services and therefore the CCG will not have any involvement. However, items held locally such as excess furniture and redundant IT equipment can be approved for disposal by the Accountable Officer or Chief Financial Officer</p> <p>Losses and Compensations payments are administered by the CSU but must be in compliance with organisational SFIs and SOs and in line with CCG detailed financial procedures. All costs to the CCG including write off of bad debts must be approved by the Chief Financial Officer or Accountable Officer and notified to the Audit and Assurance Committee.</p>
6	<p>Fees and Charges</p> <p>a) Private Patients, Overseas Visitors, Income Generation and other patient related services</p> <p>b) CCG Services</p>	<p>a) Fees and Charges are administered by CSU but must be in compliance with organisational SFIs and SOs and in line with CCG detailed financial procedures</p> <p>b) Chief Finance Officer</p>
7	<p>Review of fire precautions at CCG site</p>	<p>Managing Director</p>
8	<p>Hospitality</p> <p>Applied to both individual and collective hospitality receipt items. In excess of</p>	<p>Declaration required by individual in Hospitality Register</p>

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	£25 per item received	
9	Co-ordination of Implementation of Internal and External Audit Recommendations	All audit plans will be signed off by the Accountable Officer or Chief Finance Officer. CCG and CSU staff will assist Internal and External auditors in their work and ensure that all agreed audit recommendations are implemented in a timely fashion
10	Insurance Policies including NHSLA	Chief Finance Officer
11	Maintenance & Update of CCG Financial Procedures	Chief Finance Officer
	Orders & Requisitions (excluding Commissioning of Healthcare) a) all orders/requisitions b) Works orders c) Non-Pay Expenditure for which no specific budget has been set up and which is not subject to funding under delegated powers of virement d) Orders exceeding 12 month period (including call off orders) e) All contracts for goods & services and subsequent variations to contracts	a) Delegated in accordance with the sign off levels outlined in the above table. b) Delegated in accordance with the sign off levels outlined in the above table c) Delegated in accordance with the sign off levels outlined in the above table d) Delegated in accordance with the sign off levels outlined in the above table e) Delegated in accordance with the sign off levels outlined in the above table
	Personnel & Pay a) Authority to fill funded post on the establishment with permanent staff b) Authority to appoint staff to post not on the agreed establishment c) Authority to appoint management consultants d) All requests for upgrading/ re-grading (dealt with in accordance with CCG procedures)	a) Chief Officers (sign off level 2) b) Chief Officers (sign off level 2) c) Chief Officers (sign off level 2) d) Chief Officers (sign off level 2)

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	<p>e) Approval of the extension of staff on fixed term contracts</p> <p>f) Pay</p> <p>i) Authority to complete standing data forms affecting pay, new starters variations and leavers</p> <p>ii) Authority to complete and authorise positive reporting forms</p> <p>iii) Authority to authorise overtime/flexi time</p> <p>iv) Authority to authorise travel & Subsistence expenses up to £250</p> <p>v) Authority to authorise travel & Subsistence expenses over £250</p> <p>g) Leave</p> <p>i) Approval of Annual Leave</p> <p>ii) Annual Leave – approval to carry forward (up to maximum of 5 days)</p> <p>iii) Payment of Annual Leave in exceptional circumstances</p> <p>iv) Compassionate leave up to 3 days</p> <p>v) Compassionate leave up to 6 days</p> <p>vi) Special leave arrangements - up to 6 days in any one year</p> <p>vii) Leave without pay</p> <p>viii) Medical staff leave of absence paid and unpaid leave</p> <p>ix) Flexible working</p> <p>x) Maternity and Paternity Leave – paid and unpaid</p> <p>h) Sick Leave (in exceptional circumstances)</p> <p>i) Extension of sick leave</p> <p>i) Study Leave</p> <p>i) Study leave outside the UK</p> <p>ii) Medical staff study leave (UK)</p> <p>iii) All other study leave (UK)</p>	<p>e) Chief Officers (sign off level 2)</p> <p>f) Pay</p> <p>i) Heads of – at grade 8b and above (sign off level3)</p> <p>ii) TBC</p> <p>iii) Chief Officers (sign off level 2)</p> <p>iv) Budget holders (sign off level 4)?</p> <p>v) Chief Officers (sign off level 2)</p> <p>g) Leave</p> <p>i) Line/Department Manager</p> <p>ii) Line/Department Manager</p> <p>iii) Managing Director</p> <p>iv) Line/Department Manager</p> <p>v) Managing Director</p> <p>vi) Managing Director</p> <p>vii) Managing Director</p> <p>viii) Accountable Officer</p> <p>ix) Line/ Department Manager</p> <p>x) Automatic approval with guidance from Head of Human Resources (CSU)</p> <p>h) Sick Leave (in exceptional circumstances)</p> <p>i) Managing Director</p> <p>i) Study Leave</p> <p>i) Accountable Officer</p> <p>ii) Accountable Officer and Chair of Governing Body</p> <p>iii) Managing Director</p>

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	<p>j) Removal Expenses, Excess Rent and House Purchase Authorisation of payment of removal expenses incurred by officers taking up new appointments (providing consideration was promised at interview)</p> <p>k) Individual Grievance Policy All grievance cases must be dealt with strictly in accordance with the Individual Grievance Policy and Human Resource Advice</p> <p>l) Authorised Car & Mobile Phone Users i) Requests for new posts to be authorised as car users ii) Requests for new posts to be authorised as mobile telephone users</p> <p>m) Redundancy Authorisation to agree voluntary redundancy and determine compulsory redundancies in accordance with policy</p> <p>n) Ill Health Retirement Decision to pursue retirement on the grounds of ill-health managed via Attendance Management Policy</p> <p>o) Remuneration for Self-Employed Contractors – must comply with Revenue & Customs guidance (and David Nicholson letter) on such employment to ensure correct payment of tax & NI and employment</p> <p>p) Employment of voluntary workers status – preferable to employ or use agency.</p>	<p>j) Removal Expenses, Excess Rent and House Purchase Managing Director</p> <p>k) See Grievance Procedure</p> <p>l) Authorised Car & Mobile Phone Users i) In line with CCG Policy ii) In line with CCG Policy</p> <p>m) Redundancy Remuneration Committee with advice from Head of HR (CSU) and appropriate permission as required from National Commissioning Board, Department of Health, HM Treasury. Chief Finance Officer to be informed prior to offers to ensure available funding</p> <p>n) Ill Health Retirement Managing Director following advice from Head of Human Resources (CSU) and Occupational Health.</p> <p>o) Remuneration for Self-Employed Contractors - Managing Director or equivalent and Chief Finance Officer following receipt of evidence to comply with revenue & customs guidance and employment tests</p> <p>p) Employment of voluntary workers Director of Service or equivalent in conjunction with Head of Human Resources (CSU).</p>
28	Quotation, tendering and Contract Procedures	

REF	DELEGATED MATTERS	AUTHORITY DELEGATED TO
	<p>This section does not apply to Management Consultants</p> <p>a) Authority to make a decision to seek procurement</p> <ul style="list-style-type: none"> i) If service change within CCG’s agreed Delivery Plan (agreed by Governing Body) ii) If service change is not within agreed Delivery Plan and lifetime contract value is up to or equal to 1% of annual budget allocation iii) If service change is not within agreed Delivery Plan and the lifetime contract value is greater than 1% of annual budget allocation <p>b) Authority to award/ to sign contracts for goods/services after obtaining at least</p> <ul style="list-style-type: none"> i) For orders up to £1,000, budget holders are encouraged to use purchase orders or corporate charge cards, where appropriate. For orders between £1,001 to £5,000 1 written quotation ii) At least 3 written quotations from £5,001 to £25,000 iii) At least 3 written competitive tenders for expenditure over £25,000 iv) In the event that the limits above exceed OJEU limits or other legal requirements, then for the avoidance of doubt, the OJEU or other legal limits will apply <p>All orders will be encouraged to have a purchase order assigned.</p> <p>c) Waivers Formal tendering procedures may be waived in the following circumstances: (i) in very exceptional circumstances where the Accountable Officer decides that formal tendering procedures would not be practicable or the estimated expenditure or income would not warrant formal tendering procedures, and the circumstances are detailed in an appropriate CCG record;</p>	<p>a) Authority to make a decision to seek procurement</p> <ul style="list-style-type: none"> i) Senior Management Team ii) Senior Management Team iii) Governing Body <p>b) Authority to award/ sign contracts for goods/services Delegated in accordance with the sign off levels outlined in the above table</p> <ul style="list-style-type: none"> iv) Use CSU Procurement Team and note OJEU limits for clinical services. All procurement must be authorised by business meeting notifying CCE or by CCE prior to advertisement <p>The Procurement Team in the CSU will be providing Tendering and Procurement services on behalf of the CCG for health care services only</p> <p>c) Waivers – signing off</p> <ul style="list-style-type: none"> i) For waivers under £25,000 by the Chief Finance Officer ii) For waivers equal to or greater than £25,000 by the Chief Finance Officer and the Accountable Officer.

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	<p>(ii) where the requirement is covered by an existing contract and within procurement thresholds;</p> <p>(iii) where PASA agreements are in place and have been approved by the Governing Body;</p> <p>(iv) where the timescale genuinely precludes competitive tendering but failure to plan the work properly would not be regarded as a justification for a single tender;</p> <p>(v) where specialist expertise is required and is available from only one source;</p> <p>(vi) when the task is essential to complete the project, and arises as a consequence of a recently completed assignment and engaging different consultants for the new task would be inappropriate;</p> <p>(vii) where there is a clear benefit to be gained from maintaining continuity with an earlier project. However in such cases the benefits of such continuity must outweigh any potential financial advantage to be gained by competitive tendering;</p> <p>(viii) for the provision of legal advice and services providing that any legal firm or partnership commissioned by the CCG is regulated by the Law Society for England and Wales for the conduct of their business (or by the Bar Council for England and Wales in relation to the obtaining of Counsel's opinion) and are generally recognised as having sufficient expertise in the area of work for which they are commissioned.</p> <p>The Chief Finance Officer will ensure that any fees paid are reasonable and within commonly accepted rates for the costing of such work.</p> <p>(ix) where allowed and provided for in the Capital Investment Manual.</p> <p>The waiving of competitive tendering procedures should not be used to avoid competition or for administrative convenience or to award further work to a consultant originally appointed through a competitive procedure.</p> <p>Where it is decided that competitive tendering is not applicable and should be waived, the following procedure will be followed</p>	

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	<p>Procedure for obtaining a waiver Waivers will be in a format as designated by the Chief Finance Officer will be sequentially numbered and held by the Finance Department. Requests for a waiver must be made to the Finance Department who will provide a waiver form and advice on completion. When the waiver is complete it must be signed by the applicant and counter signed by:</p> <ul style="list-style-type: none"> i) For waivers under £25,000 by the Chief Finance Officer ii) For waivers equal to or greater than £25,000 by the Chief Finance Officer and the Accountable Officer. <p>If the waiver is signed the applicant will be informed provided with a copy, and on receipt of the copy may proceed with the purchase within the conditions contained in the waiver.</p> <p>After signature the waivers will be held in a waiver register and submitted to the next Audit Committee for scrutiny.</p>	
30	<p>Register of Interests The keeping of a declaration of Interests Register – in accordance with statutory guidelines for CCGs</p>	<p>Register of Interests Managing Director</p>
31	<p>Sealing of Documents</p>	<p>Sealing of Documents Two of the following are required to seal documents: Accountable Officer/Chief Finance Officer/Other Executive Governing Body member</p>
32	<p>Sponsorship Authorisation of Sponsorship deals</p>	<p>Sponsorship SMT in accordance with National Guideline document.</p>
33	<p>Delegation of Duties not retained or reserved elsewhere. Exercise or delegation of those functions of the CCG which have not been retained as reserved by CWS CCG delegated to the Governing Body, other Committee or (specified) member or employee</p>	<p>Delegation of Duties not retained or reserved elsewhere. Accountable Officer</p>