

SPECIFIC DELEGATED POWERS

The following delegation limits are the lowest levels to which authority is delegated and the authorisation of the AO is required for any delegation below these levels.

Financial delegations must be formalised in an appropriately authorised 'Delegated Powers to Office' form.

In the absence of the AO, the Deputy AO holds full authority for the AO's delegations listed below. The CFO will nominate one of his/her Senior Managers to hold his/her delegations in his/her absence.

KEY

Tier 1	Accountable Officer or Chief Financial Officer
Tier 2	Chief Operating Officer, Director of Nursing, Medical Director and other nominated senior managers
Tier 3	Head of Service
Tier 4	Business Delivery Managers
BHR	Budget Holder Representative
GB	Governing Board (the CCG Board)
EXEC	Operational Executive Committee
TDC	Transformation Delivery Committee
AO	Accountable Officer of the CCG
CFO	Chief Financial Officer of the CCG
COO	Chief Operating Officer of the CCG
DoN	Director of Nursing

DELEGATED MATTER	AUTHORITY DELEGATED TO	REFERENCE DOCUMENTS
<p>1. Approval of Budgets The Governing Body will approve the CCG budgets including the split of budgets between Cost Centres</p> <p>2. Monitoring of Financial Performance Management of Budgets:</p> <p>a) At individual budget level (Pay and non-Pay) within delegated limit</p> <p>b) Summary budgets</p> <p>c) Financial Reserves and Provisions</p> <p>d) Approving expenditure greater than tender price up to a maximum of 10% or £30k whichever is higher</p> <p>e) Approving expenditure greater than tender price of more than 10% or £30k</p>	<p>GB</p> <p>CFO</p> <p>All budget holders Tiers 1&2 CFO CFO</p> <p>Exec or TDC as relevant to contract</p>	<p>SFI 13.2.2</p> <p>SFI 13.2.3</p> <p>SFI 13.3 & SFI 13.4</p>
<p>3. Maintenance/Operation of Bank Accounts Day to day operation of Trust bank accounts</p> <p>Authorisation of cash limit draw down</p> <p>Authorisation of cheque requests</p> <ul style="list-style-type: none"> • up to £10,000 • £10,001 and over 	<p>CFO – all changes in banking arrangements are to be reported to the Audit Committee</p> <p>CFO or nominated deputy</p> <p>All budget holders CFO or nominated deputy (cheque requests should only be raised for amounts in excess of £10,000 in exceptional circumstances)</p>	<p>SFI 15.1, 15.2, 15.3</p>
<p>4. Non-pay Revenue and Capital Expenditure All values quoted are inclusive of VAT regardless of whether that VAT is reclaimable or not Requisitioning /Ordering /Payment of Goods & Services</p> <p>Before any order is placed, the budget holder must confirm that budgets</p>		<p>SFI 21 & SFI 23</p>

DELEGATED MATTER	AUTHORITY DELEGATED TO	REFERENCE DOCUMENTS
<p>are available and that procurement processes have been complied with</p> <p>a) (i) Up to £5,000 (ii) From £5,001 to £50,000 (iii) From £50,001 to £100,000 (iv) From £100,001 to £500,000 (v) From £500,001 to £1,000,000</p> <p>(vi) From £1,000,001</p> <p>b) Where there is a signed contract and the sums invoiced are included in the signed contract or covered in a signed contract variation, higher limits may be agreed for these invoices only. Such exceptions should be formalised by a 'Delegated Powers to Office' form authorised by both the relevant Tier 2 staff member and the CFO (i) Invoices up to £500,000 (ii) Invoices from £500,001 to £2,500,000 (iii) Invoices from £500,001 to £25,000,000* *To March 2016, reverting back to £15m</p> <p>c) Requisitions exceeding 12 month period</p> <p>d) Non pay expenditure for which no specific budget has been set up and which is not subject to funding under delegated powers of virement (subject to the limits specified above in (a))</p> <p>e) All contracts for goods & services and subsequent variations to contracts. Calculated with original contract plus variation giving total value limits for period of contract – if rolling contract base assume 3 years for purposes of this calculation;</p>	<p>BHR Tier 4 Tier 3 Tier 2 Tier 1</p> <p>CFO & AO</p> <p>Tier 3 Tier 2 Tier 1</p> <p>AO or CFO</p> <p>AO or CFO</p>	<p>SFI 17</p>

DELEGATED MATTER	AUTHORITY DELEGATED TO	REFERENCE DOCUMENTS
<p>(i) All contracts up to £50,000 (up to £75,000 for contracts exceeding 12 months)</p> <p>(ii) All contracts from £50,001 to £100,000 (£75,001 to £150,000 for contracts exceeding 12 months)</p> <p>(iii) All contracts from £100,001 to £500,000 (£150,001 to £750,000 for contracts exceeding 12 months)</p> <p>(iv) All contracts from £500,001 to £1,000,000 (£750,001 to £1,500,000 for contracts exceeding 12 months)</p> <p>(v) All contracts from £1,000,001 to £3,000,000 (£1,500,001 to £4,500,000 for contracts exceeding 12 months)</p> <p>Financial variations to contract (Financial variations relate to a liability for NEECCG) which are below 10% of the contract value.</p> <p>For contract variations with no monetary value</p> <p>Contract Variations which then puts contract value over £1M in 1 year or £4.5M over life of contract.</p> <p>(vi) All contracts from £3,000,001 (£4,500,001 for contracts exceeding 12 months)</p> <p>Financial variations to contract (Financial variations relate to a liability for NEECCG) which are below 10% of the contract value.</p>	<p>Tier 4 Tier 3</p> <p>Tier 2</p> <p>Tier 1 to sign – Exec or TDC to agree AO and CFO to sign – Exec or TDC to agree</p> <p>Either AO or CFO sign off.</p> <p>Either AO or CFO sign off.</p> <p>AO and CFO to sign – Exec or TDC to agree</p> <p>AO and CFO to sign – GB to agree</p> <p>Either AO or CFO sign off.</p>	<p>SFI 17.8.1</p>

DELEGATED MATTER	AUTHORITY DELEGATED TO	REFERENCE DOCUMENTS
<p style="text-align: center;">For contract variations with no monetary value</p> <p>f) All staff when on call are permitted to authorise expenditure up to the value of £5000 in order to deal with an urgent issue where a financial commitment is required. This is for on call out of hours and only if the CFO/AO are not available. Retrospective authorisation is required after the event in accordance with these instructions</p> <p>4.2 Reprofileing of Budgets All reprofileing</p> <p>4.3 Virements</p> <p>a) Virements up to £50,000 b) Virements from £50,001 to £100,000 d) Virements from £100,001 to £500,000 e) Virements from £500,001</p>	<p>Either AO or CFO sign off.</p> <p>On Call Managers</p> <p>Budget Holder with finance</p> <p>Tier 4 Tier 3 Tier 2 Tier 1 to sign and details reported to Governing Body</p>	
<p>5. Capital Schemes</p> <p>Approval of annual capital plans</p> <p>Approval of changes to the Board agreed capital plans</p> <p>Financial monitoring and reporting on all capital scheme expenditure and leasing of equipment and other assets</p>	<p>Governing Body</p> <p>Finance and Performance Committee</p> <p>CFO</p>	<p>SFI 23</p> <p>SFI 23.1.5</p>

DELEGATED MATTER	AUTHORITY DELEGATED TO	REFERENCE DOCUMENTS
<p>6. Quotation, Tendering & Contract Procedures for expenditure /income proposals, whether capital or revenue, purchases or disposals</p> <p>The value of the goods and services should be the total contract value, not the annual value. Where the number of years is not specified or is open ended from year to year, a 3 year period should be assumed for the purpose of this calculation.</p> <p>a) From £501 to £5,000, obtain a minimum of 2 verbal quotations and detail on the 'Record of Verbal Quotation.</p> <p>b) From £5,001 to £50,000, obtain a minimum of 3 written quotations</p> <p>c) From £50,001 to £100,000, follow the Competitive Quote procedure to obtain a minimum of 4 written quotations against a written specification with a detailed option appraisal</p> <p>d) Follow tender procedures for goods and services with a contract value above £100,000</p> <p>e) Waiving of quotations & tenders subject to SOs and SFIs</p>	<p>All</p> <p>All</p> <p>All</p> <p>All</p> <p>AO or CFO – to be reported to the Audit Committee</p>	<p>SFI 17</p>
<p>7. Engagement of Staff Not on the Establishment</p> <p>a) Engagement of CCG's Solicitors</p> <p>b) Booking of Interim or Agency Staff (Subject to guidance issued by Secretary of State for Health and/or NHS England on off-payroll staffing.)</p>	<p>Nominated Officer</p> <p>Tiers 1-4 (within auth limits) Using the East of England Collaborative Procurement Hub agreements as first point of supply to ensure staff are recruited in accordance with current regs</p>	<p>SFI 17.2</p>

DELEGATED MATTER	AUTHORITY DELEGATED TO	REFERENCE DOCUMENTS
c) Consultancy Staff Subject to guidance from the Secretary of State for Health and/or NHS England. Where aggregate commitment in any one year (or the total commitment) is less than £50,000 and within budget	Tier 2 or above	SFI 17
8. Agreements/Licences a) Extensions to existing leases	CFO	
9 Condemning & Disposal Appropriate risk assessments, such as ensuring that the condition of goods is safe and fit for purpose, need to be carried out prior to disposal For items for disposal exceeding a sale value of £5,000, competitive tender may be required Items obsolete, obsolescent, redundant, irreparable or cannot be repaired cost effectively: Replacement purchase cost up to £250 Replacement purchase cost > £250	Tier 3 or above Tier 2 or above	SFI 25.1
10 Losses, Write Off & Compensation a) Losses due to theft, fraud, overpayment, fruitless payments, non-contracted activity, compensation payments (i) Up to £5,000 (ii) Between £5,001 and £25,000	CFO & AO Audit Committee	SFI 16.3, SFI 25.2.2

DELEGATED MATTER	AUTHORITY DELEGATED TO	REFERENCE DOCUMENTS
<ul style="list-style-type: none"> (ii) Over £25,000 b) Redress payments made in respect of Continuing Care costs <ul style="list-style-type: none"> (i) Up to £10,000 (ii) Over £10,001 c) Patients and staff for loss of personal effects <ul style="list-style-type: none"> (i) Up to £100 (ii) Between £101 and £500 (iii) Between £501 and £1,000 (iv) Over £1,000 d) Write off of Non NHS Debtors <ul style="list-style-type: none"> (i) Up to £500 (ii) Between £501 and £5,000 (iii) Over £5,000 <p style="text-align: center;">ALL INSTANCES OF LOSSES OR WRITE OFF WILL BE REPORTED TO THE AUDIT COMMITTEE</p>	<p>Governing Body</p> <p>CFO CCG CHC Panel</p> <p>All budget holders Tier 2 Tier 1 Audit Committee</p> <p>CFO AO & CFO Audit Committee</p>	
<p>11 Reporting of Incidents to the Police</p> <ul style="list-style-type: none"> a) Where a criminal offence is suspected <ul style="list-style-type: none"> (i) criminal offence of a violent nature (ii) other 	<p>Notify on call manager but also informing CCG Security Lead On call manager and CFO if fraud is suspected</p>	<p>SFIs Sections 11.2.1(c) & 25</p>
<p>12 Petty Cash Disbursements</p> <ul style="list-style-type: none"> a) Expenditure up to £25 per claim b) Expenditure from £25 to £75 per claim 	<p>Petty Cash Holder Budget Holders</p>	<p>SFIs Section 16.4 SFIs Section 16.4</p>
<p>13 Implementation of Internal and External Audit Recommendations</p>	<p>CFO to oversee, actioning officer as specified in individual audit</p>	<p>SFIs Section 11</p>

DELEGATED MATTER	AUTHORITY DELEGATED TO	REFERENCE DOCUMENTS
	reports	
14 Maintenance & Update on Trust Financial Procedures	CFO	SFIs Section 10
<p>15 Personnel & Pay</p> <p>a) Authority to fill funded post on the establishment with permanent staff. (subject to any special measures & guidance issued by the Secretary of State for Health and/or NHS England on VSM staff with a total remuneration package over £142,500 pa & those returning from retirement)</p> <p>b) Authority to appoint staff to post not on the formal establishment (subject to budget constraints measures & guidance issued by the Secretary of State for Health and/or NHS England on VSM staff with a total remuneration package over £142,500 pa & those returning from retirement))</p> <p>c) Upgrading & Regrading – including accelerating a member of staff up the scale Whilst in a period of financial recovery all recruitment requests or changes to hours or rates of pay for all staff must be approved by the Operational Executive Committee</p> <p>d)</p> <p>e) Pay – all within approved budgets</p> <p>(i) Authority to complete standing data forms affecting pay, new starters, variations and leavers</p> <p>(ii) Authority to complete and authorise reporting forms</p> <p>(iii) Authority to authorise overtime</p> <p>(iv) Authority to authorise travel & subsistence expenses</p> <p>(v) Approval of Performance Related Pay Assessment</p> <p>(vi) Renewal of fixed term contract</p>	<p>Tier 3 or above</p> <p>Tier 2 or above</p> <p>CFO if supported by Agenda for Change matching process</p> <p>Budget Holders for all grades below own</p> <p>Budget Holders for all grades below own</p> <p>Tier 2 and above</p> <p>Budget Holders for all grades below own</p> <p>Remuneration Committee</p> <p>Tier 2 and above</p>	<p>SFI Section 20</p> <p>SFI 20.3.1</p>

DELEGATED MATTER	AUTHORITY DELEGATED TO	REFERENCE DOCUMENTS
<p>f) Leave</p> <ul style="list-style-type: none"> (i) Approval of annual leave (ii) Annual leave - approval of carry forward (up to maximum of 5 days or one working week). (iii) Annual leave - approval of carry over in excess of 5 days or one working week – only permitted in extreme cases where business need has prevented staff member from taking in year (iv) Compassionate leave up to 3 days (v) Compassionate leave from 4 to 6 days (vi) Special leave arrangements (vii) Leave without pay (viii) Time off in lieu (ix) Maternity & Paternity leave 	<p>Line Manager Line Manager</p> <p>Tier 2 and above</p> <p>Tier 3 and above Tier 2 and above Tier 2 and above Tier 2 and above Line Manager Automatic approval with guidance from HR</p>	<p>Agenda for Change (AfC)</p>
<p>g) Sick Leave</p> <ul style="list-style-type: none"> (i) Extension of sick leave on half pay up to three months (ii) Return to work part-time on full pay to assist recovery (iii) Extension of sick leave on full pay <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> <ul style="list-style-type: none"> (i) up to £5,000 	<p>Tier 2 with Head of HR On advice from GP (through fit note) and/or Occupational Health with HR</p> <p>Tier 1</p> <p>AO or CFO with appropriate HR</p>	

DELEGATED MATTER	AUTHORITY DELEGATED TO	REFERENCE DOCUMENTS
(ii) From £5,001	advice AO and CFO with appropriate HR advice	
<p>i) Grievance Procedure All grievances cases must be dealt with strictly in accordance with the Grievance Procedure and the advice of an HR Manager must be sought when the grievance reaches Tier 2 level</p> <p>j) Redundancy Authorisation of any redundancy payments, subject to Secretary of state for Health and/or NHS England guidance.</p> <p>l) Ill Health Retirement Decisions to pursue retirement on the grounds of ill-health</p> <p>n) Dismissal Authorisation of any dismissal of staff</p>	<p>Remuneration Committee</p> <p>AO or CFO with HR</p> <p>In accordance with CCG Procedure</p>	<p>Trust Grievance Procedure</p> <p>Disciplinary Procedures</p>

