

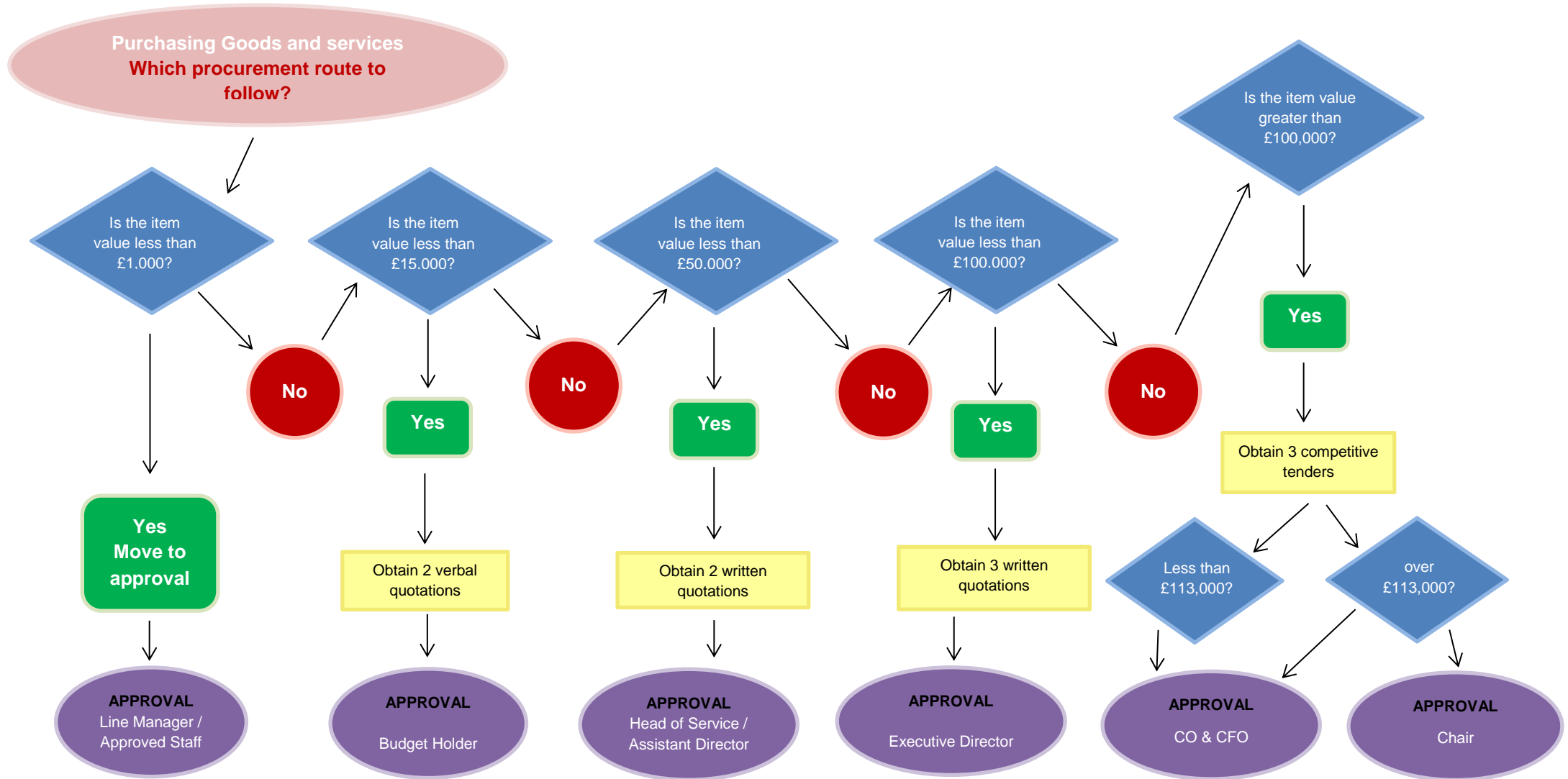
## SCHEME OF DELEGATION GUIDE FOR STAFF

The scheme of delegation document details the basis for approving business transactions in the name of the CCG. It specifies the lowest level to which an item can be delegated. This document is designed to provide a diagrammatic user guide for staff in respect of the following areas:

- Fig 1- Purchasing and Expenditure Approval Flowchart
- Fig 2 - invoice certification process Flowchart
- Fig 3 - SLA / Contract approval and sign off process Flowchart
- Fig 4 - Quotation Guidelines Flowchart
- Fig 5 - Tendering Guidelines Flowchart
- Fig 6 - Tender Waiver Process Flowchart
- Fig 7 - Template Tender/Quotation Waiver Form
- Fig 8 – Summary of Delegation by Approval Level

**FIGURE 1**

**A STEP BY STEP GUIDE TO PURCHASE REQUISITIONING**



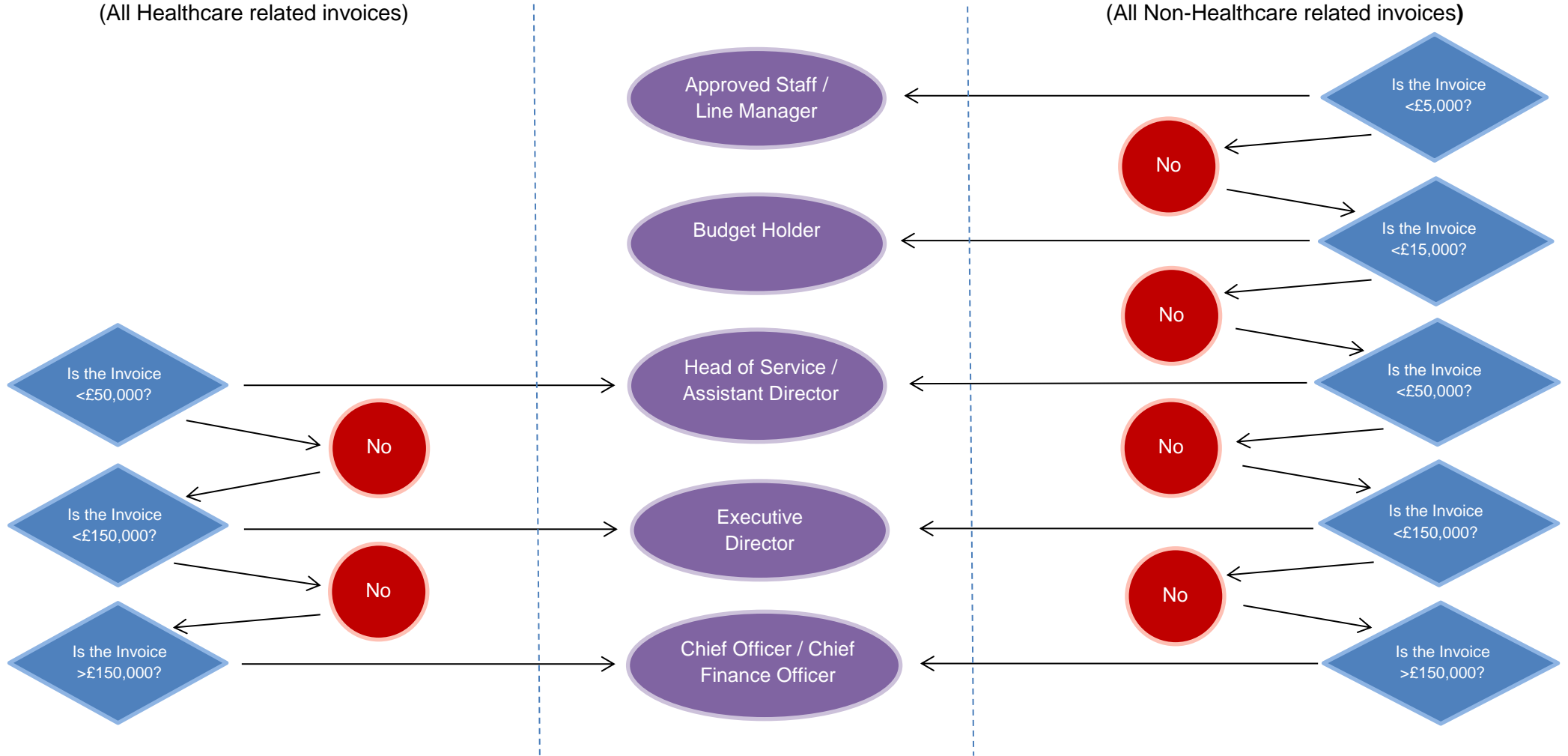
**FIGURE 2**

**INVOICE CERTIFICATION PROCESS**

**COMMISSIONING INVOICES**  
(All Healthcare related invoices)

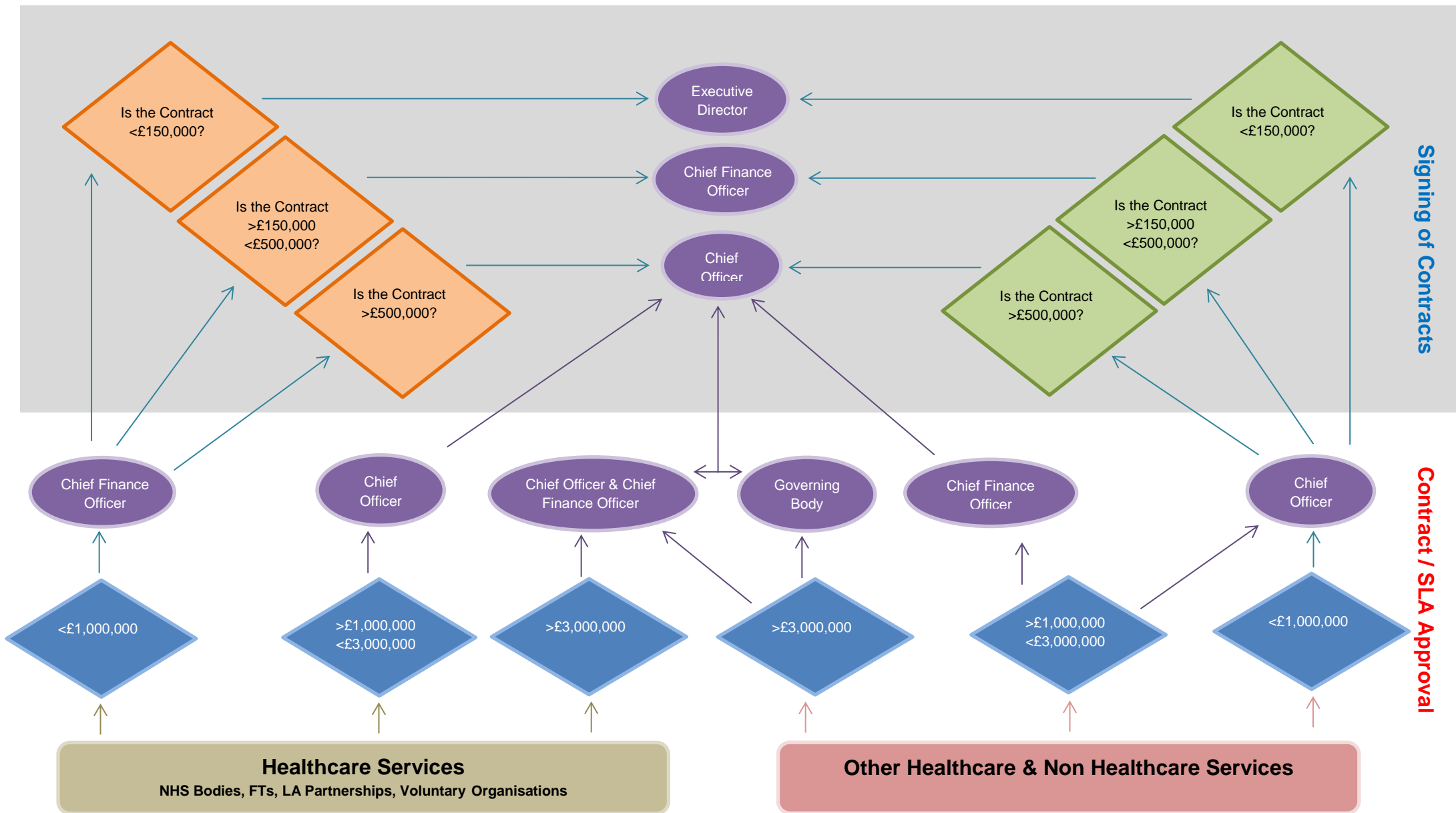
**APPROVAL**

**NON COMMISSIONING INVOICES**  
(All Non-Healthcare related invoices)



**FIGURE 3**

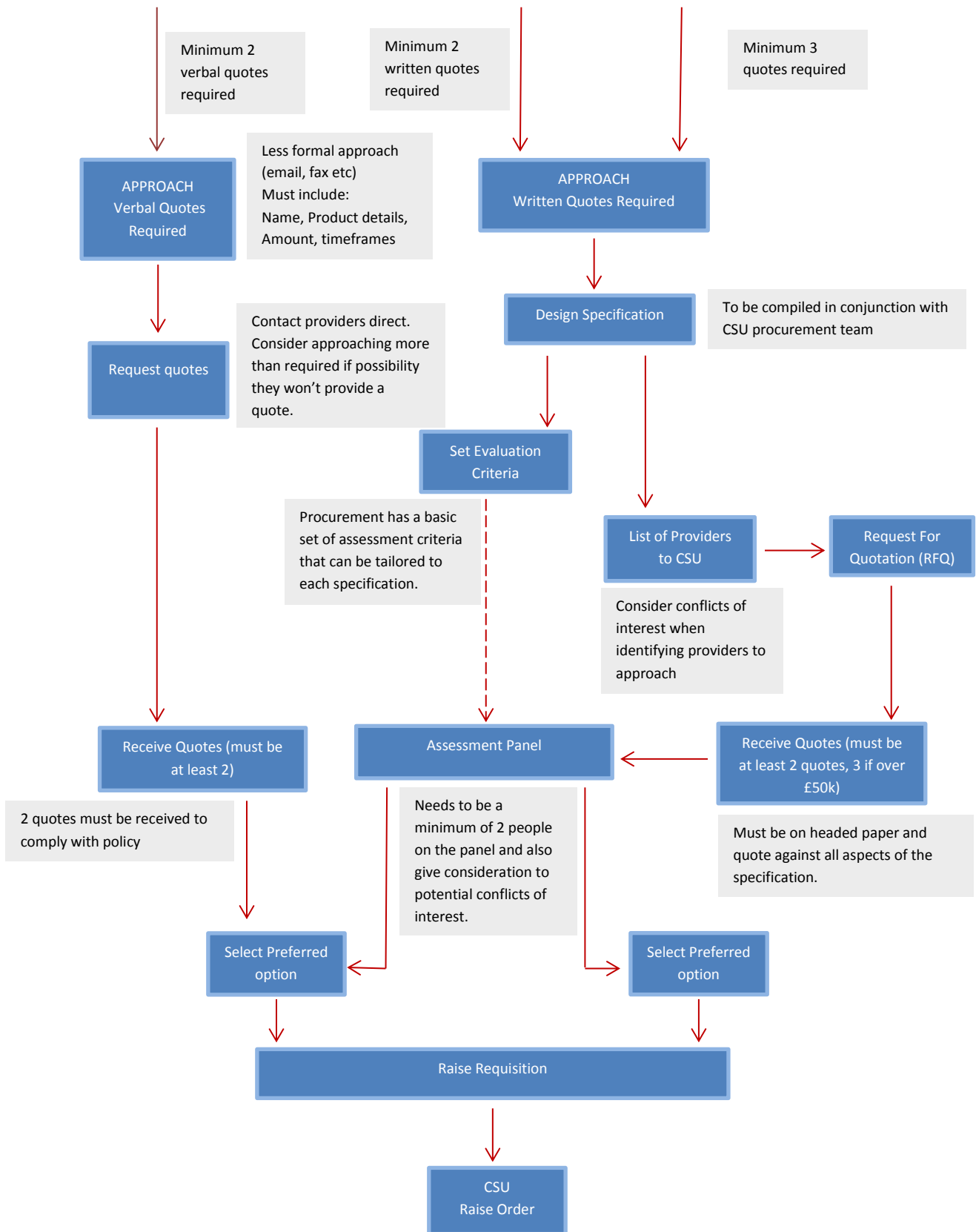
**SLA / CONTRACT APPROVAL AND SIGN OFF PROCESS**



**Contract / SLA Approval** – This relates to the level of approval required for the commissioning of contracts by value  
**Signing of Contracts** – This relates to the level of officer required to sign contracts by value

**FIGURE 4**

**QUOTATION GUIDELINES**



**FIGURE 5**

**TENDERING GUIDELINES**

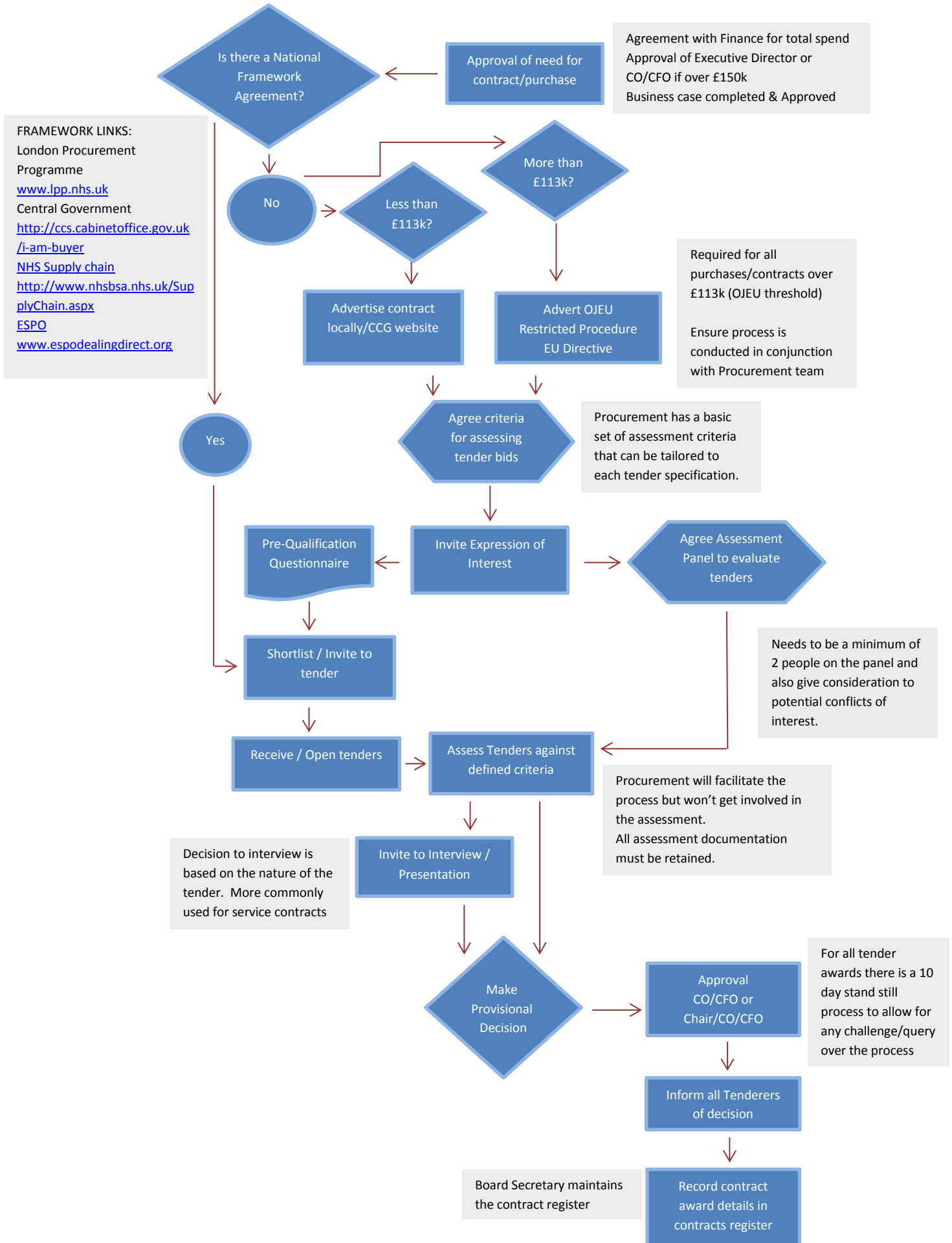
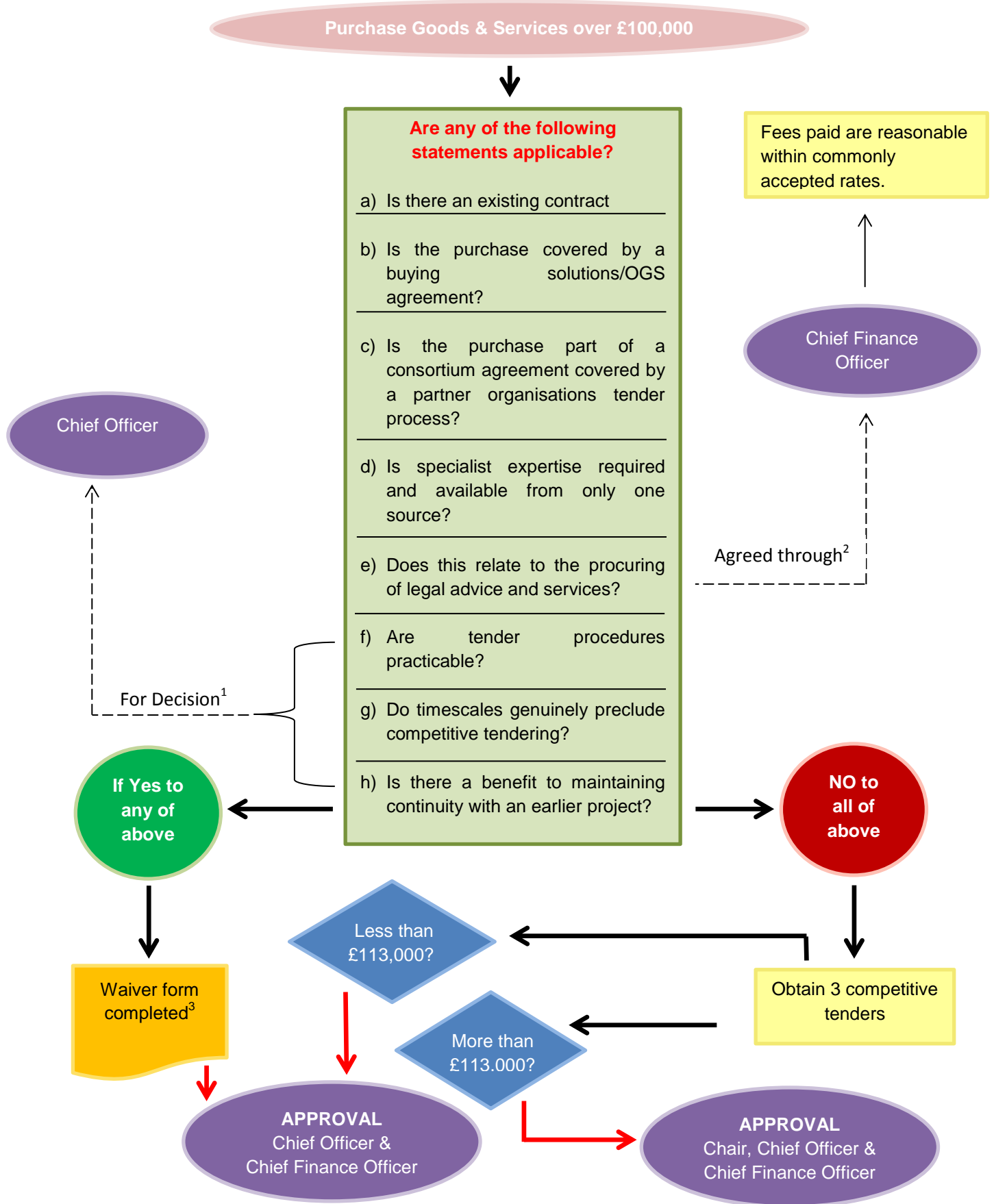


FIGURE 6

# TENDER WAIVER PROCESS GUIDE



# FIGURE 7

Finance Ref:	WXX
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## WAIVER FOR REQUIREMENT FOR COMPETITIVE TENDERING, QUOTATIONS AND TENDERS:

**Requesting department:**

**Product or service:**

**Supplier:**

(Please ✓ as appropriate)

Does more than one company provide these goods or services?	
If this request is to waive formal tendering, have competitive quotes been obtained?	

**Requesting Manager:**

**Budget Holder (if not the Requesting Manager):**

**Total procurement value excluding VAT:**

**Source of Funding:** (e.g. Primary Care Strategy Funds)

**Additional Information:**


**Introduction:**

Where it is decided that competitive quotations/tendering is not applicable and should be waived, the fact of the waiver and the reason for the exception or instance should be documented and reported to the Chief Officer in writing and attached to this form, or, when deemed necessary, in a formal meeting.

**The Detailed Scheme of Delegation:**

The Scheme of Delegation has delegated authority to the following persons in the event of the “waiving of quotations and tenders”:

Up to £100,000: Authority delegated to Chief Officer and Chief Finance Officer

Over £100,000: Authority delegated to Chair, Chief Officer and Chief Finance Officer



**Exceptions and instances where formal tendering need not be applied or may be waived.**

The various situations covered by scheme of delegation are as follows:

Formal tendering processes **need not be applied** where:

(Please ✓ as appropriate)

(a) the estimated expenditure or income does not, or is not reasonably expected to, exceed <b>£100,000</b> ; or	
(b) where the supply is proposed under special arrangements negotiated by the DH in which event the said special arrangements must be complied with;	
(c) regarding disposals as set out in the Prime Financial Policies;	

Formal tendering procedures **may be waived** where:

(Please ✓ as appropriate):

(d) in very exceptional circumstances where the Chief 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;	
(e) where the requirement is covered by an existing contract;	
(f) where Buying Solutions/OGS agreements are in place and have been approved by the Governing body;	
(g) where a consortium arrangement is in place and a lead organisation has been appointed to carry out tendering activity on behalf of the consortium members;	
(h) 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;	
(i) where specialist expertise is required and is available from only one source;	
(j) 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;	
(k) 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;	
(l) for the provision of legal advice and services providing that any legal firm or partnership commissioned by Islington 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.  The Chief Finance Officer will ensure that any fees paid are reasonable and within commonly accepted rates for the costing of such work.	
(m) where allowed and provided for in the Capital Investment Manual.  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.  Where it is decided that competitive tendering is not applicable and should be waived, the fact of the waiver and the reasons should be documented and recorded in an appropriate CCG record and reported to the Audit Committee at each meeting.	

**Statement by the person requesting the waiver:**

I request that authorisation be given for the waiver of scheme of delegation in respect of competitive tenders. I have indicated above which of the exceptions or instances (a) – (m) this falls within and attach a written explanation.

A summary of the particular circumstances is attached including the amount of expenditure proposed.

I confirm that this application is not being made in order to avoid competition or for administrative convenience, or in order to award further work to a consultant originally appointed by competitive tender.

**Budget Holder Name:**.....

**Designation:**.....

**Signed:**..... **Date:**.....

**Authorised by:**

**Name:** Ahmet Koray

**Designation:** Chief Finance Officer

**Signed:**..... **Date:**.....

**Name:** Alison Blair

**Designation:** Chief Officer

**Signed:**..... **Date:**.....

**FIGURE 8**

**SUMMARY DELEGATION BY APPROVAL LEVEL**

Staff Group	PO Requisitioning	Non SLA Invoice Approval	SLA Invoices Approval	Signing Contracts	New Staff Approval	Expense Claim Approval	Overtime Approval	Pay / Incremental Increase	Annual Leave Approval	Carry forward / Compassionate / Special Leave Approval	Dealing with the Press
Operational Staff	√	X	X	X	X	X	X	X	X	X	X
Approved Staff	√	Up to £5k	X	X	X	X	X	X	X	X	X
Budget Holders	√	Up to £15k	X	X	X	X	X	X	X	X	X
Heads of Service / Assistant Dir	√	Up to £50k	X	X	X	√	√ with CFO	X	√	√	√
Executive Directors	√	Up to £150k	X	Up to £150k	√	√	√ With CFO	√	√	√	√
CFO	√	Over £150k	√	Up to £500k	√	√	√	√	√	√	√
CO	√		√	Over £500k	√	√	√	√	√	√	√