

Islington CCG Scheme of Delegation - Schedule of Matters Delegated to Officers

The delegations set out in this 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 (PFPs) and standing orders (SOs). Where it is believed that the matter or decision to be taken under these arrangements has far reaching (novel, contentious or repercussive), implications, this must be reported to the appropriate Executive Officer and/or Chief Officer. In the absence of the delegated officer, approval is required from either the officer officially acting in to that role or the next level up in the hierarchy.

1. Delegation of authority

- 1.1. The Chief Finance Officer will approve the level of non-pay expenditure on an annual basis and the Chief Officer will determine the level of delegation to budget managers.
- 1.2. The Chief Officer will set out:
 - a) the list of managers authorised to place requisitions for the supply of goods and services;
 - b) the maximum level of each requisition and the system for authorisation above that level.
- 1.3. The Chief Officer shall set out procedures on the seeking of professional advice regarding the supply of goods and services.
- 1.4. The table below shows the current delegation hierarchy for authorisation limits for officers:

Up to £5,000	Approved Staff Member
Up to £15,000	Budget Holder
Up to £50,000	Head of Service / Assistant Director
Up to £150,000	Executive Directors
>£150,000	Chief Officer and Chief Finance Officer

2. Requisitioning, ordering, receipt and payment for goods and services

- 2.1. The requisitioner, in choosing the goods or services to be supplied, will always obtain the best value for money. In doing so, the advice of the CCG's adviser on supply shall be sought. Where this advice is not acceptable to the requisitioner, the Chief Finance Officer (and/or the Chief Officer) will be consulted. The following requirements apply with regard to obtaining quotations and tenders for orders:

Up to £1,000	No quotes
£1,001 to £15,000	Two verbal quotes
£15,001 to £50,000	Two written quotes
£50,001 to £100,000	Three written quotes
>£100,001	Three competitive tenders

3. Exceptions and instances where formal tendering need not be applied

Formal tendering procedures need not be applied where:

- a) the estimated expenditure or income does not, or is not reasonably expected to, exceed £100,000;
- b) the supply is proposed under special arrangements negotiated by the DH, in which event the arrangements must be complied with; or
- c) there are disposals as set out in PFPs.

4. Waiving of quotation/tendering procedures

Quotation or tendering procedures can only be waived in the following circumstances:

- a) in very exceptional circumstances where the Chief Officer decides that formal tendering would not be practicable or the estimated expenditure or income would not warrant formal tendering, and the circumstances are detailed in the tender waiver register;
- b) where the requirement is covered by an existing contract;
- c) where Buying Solutions agreements are in place and have been approved by the governing body;
- d) 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;
- e) 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;
- f) where specialist expertise is required and is available from only one source, 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;
- g) 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;
- h) 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.

5. Monitoring and audit of decision to tender

- a) The waiving of competitive tendering procedures should not be used with the object of avoiding competition or solely for administrative convenience or be subject to awarding further work to a provider originally appointed through a competitive procedure.
- b) Where it is decided that competitive tendering need not be applied or should be waived, the fact of the non-application or waiver and the reasons for it should be documented and recorded in the register of waivers and reported to the audit committee.
- c) Where Islington CCG proposes not to conduct a tender process in relation to a contract opportunity for a new healthcare service or a significantly changed healthcare service, then the CCG will consider the proposal at a meeting of the Board.

PART A – CCG DELEGATED MATTERS

GB = Governing Body RC = Remuneration Committee
 AC = Audit Committee MMC = Medicines Management Committee
 EMT = Executive Management Team SF = Strategy & Finance

○ = Individual delegated authority ● = Combined authority required

Ref	Delegated Matter <i>(Presented below is the lowest level of delegation allowed across the CCG. Authority can be referred higher but <u>never lower</u>)</i>	Committee	Chair	Board Secretary	Chief Officer	Chief Finance Officer	Executive Director	Head of Service / Assistant Director	Budget Holder	Approved Staff / Line Manager
1	Management of budgets (limits for budget approval and agreement of virements)									
1.1	Responsibility of keeping expenditure within budgets									
	a) At individual budget level (pay and non-pay)								○	
	b) At service level						○	○		
	c) For the totality of services covered by clinical service managers, commissioning managers, admin and clerical service managers or equivalent				○	○				
	d) For all other areas				●	●				
1.2	Virement within budgets									
	Within directorates							○		
		Up to £50,000								
		>£50,000				○				
1.3	Reserves or additional income									
1.4	Strategic Investments									
	Up to £50,000							○		
	>= £50,000 < £1,000,000	EMT				○				
	>=£1,000,000 < £3,000,000	SF			○					
	>= £3,000,000	GB			●	●				
2	Maintenance/operation of bank accounts (authorisation of banking transactions and management of accounts)									

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	All banking administered by CSU, but must be managed in accordance with organisational PFPs and SOs. Locally, these are in line with the CCG Detailed Financial Procedures.										
3	Non-pay revenue and capital expenditure/requisitioning/ordering/invoices/payment of goods & services										
	Up to £5,000										○
	£5,001 to £15,000									○	
	£15,001 to £50,000								○		
	£50,001 to £150,000							○			
	>£150,000					●	●				
4	Invoice certification Non-commissioning - includes non-purchase order approval, Commissioning – SLA payments, contracts with foundation trusts, LA local agreements, contracts with voluntary organisations										
	Commissioning Expenditure		Non Commissioning Expenditure								
			Up to £5,000								○
			£5,001 to £15,000							○	
	Up to £50,000		£15,001-£50,000						○		
	£50,001-£150,000		£50,001-£150,000					○			
	>£150,000		>£150,000				○	○			
5	Quotation, tendering & contract procedures										
5.1	Tender/quote limits										
	£1,000 to £15,000	2 verbal quotes								○	○
	£15,001 to £50,000	2 written quotes							○		
	£50,001 to £100,000	3 written quotes						○			
	>£100,000	3 written competitive tenders				●	●				
	>£113,000 (OJEU)			●		●	●				

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	Approving expenditure > tender price up to 10% or £15,000, whichever is the higher						○			
	Approving expenditure > tender price >10% or >£15,000.					○				
	Waiving of quotations & tenders subject to PFPs									
	Up to £100,000					○				
	>£100,000				●	●				
5.2	Opening tenders and quotations (officers opening tenders must be independent of the tendering process)									
	Up to £500,000			●			●			
	>£500,000			●	●					
5.3	Signing of contracts <i>(post section 5.4 below)</i>									
	Up to £150,000						○			
	£150,001 to £500,000					○				
	>£500,000				○					
5.4	Service agreements and contracts									
	a) For the commissioning of healthcare services with: NHS bodies, foundation trusts, local authorities and voluntary organisations									
	Up to £1,000,000					○				
	£1,000,001 to £3,000,000				○					
	>£3,000,000				●	●				
	b) For the purchase of all other services:									
	Up to £1,000,000				○					
	£1,000,001 to £3,000,000				●	●				
	>£3,000,000	GB			●	●				

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6	Capital schemes									
	a) Appointment of architects, quantity surveyors, consultant engineer and other professional advisors within EU regulations				●	●				
	b) Financial monitoring and reporting on all capital scheme expenditure					○				
	c) Granting and termination of leases with annual rent				●	●				
	d) Capital works orders:									
	Up to £250,000					○				
	> £250,000				●	●				
7	Setting of fees and charges									
	Price of NHS contracts					●	*●			
		*Director of Commissioning								
8	Engagement of staff not in the funded establishment									
	a) Fixed term/temporary staff and all permanent positions				●	●	●			
	b) Engagement of solicitors						*○			
		*Director of Quality and integrated Governance								
9	Agreements/licences									
	a) Preparation and signature of all tenancy agreements/licences for all staff subject to policy on accommodation for staff				●	●				
	b) Extensions to existing leases				●	●				

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10.5	Leave									
	a) Annual leave (including carry forward leave up to max 5 days)							○		
	b) Annual leave carry over in excess of 5 days						○			
	c) Compassionate/special leave (e.g. carers leave)						○			
	d) Leave without pay							○		
	e) Paid and unpaid leave in excess of 5 days				●	●				
	f) Maternity leave - paid and unpaid <i>(Automatic approval with guidance)</i>								○	
10.6	Sick leave									
	a) Extension of sick leave on half pay up to six months				●		●			
	b) Return to work part-time on full pay to assist recovery				●		●			
	c) Extension of sick leave on full pay				●		●			
10.7	Study leave						○	○		
10.8	Removal expenses, excess rent and house purchases									
	Payment of removal expenses incurred by officers taking up new appointments (providing consideration was promised at interview) up to £5,000				●		●			
10.9	Grievance									
	All grievances must be dealt with strictly in accordance with the grievance procedure and the advice of a HR Officer must be sought when the grievance reaches the level of Director							○		
10.10	Authorised car, mobile phone or IPAD users									
	New posts to be authorised as car users				●	●				
	New posts to be authorised as mobile telephone or IPAD users						●	●		
10.11	Renewal of fixed term contract					●	●	●		

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10.12	Extensions of contract beyond normal retirement age in exceptional circumstances						●	●		
10.13	Redundancy	RC	●		●	●	●			
10.14	Premature retirement	RC	●		●	●	●			
10.15	Ill health retirement	RC	●		●	●	●			
10.16	Dismissal				●	●	●			
11	Losses, write-offs & compensation									
11.1	Losses									
	Losses and cash due to theft, fraud, overpayment etc - up to £50,000	AC				O				
	Losses and cash due to theft, fraud, overpayment etc - over £50,000	GB								
	Fruitless payments (including abandoned capital schemes) - up to £250,000	AC			●	●				
	Fruitless payments (including abandoned capital schemes) - over £250,000	GB								
	Bad debts and claims abandoned.	AC				O				
	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	AC			O	O				
	Compensation payments made under legal obligation				O					
	Extra contractual payments to contractors									
	Up to £50,000				O	O				
	Over £50,000	GB								
11.2	Ex-gratia payments									
	Patients and staff for loss of personal effects									

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	Up to £10,000					O				
	£10,001 to £20,000				O					
	> £20,000	GB								
	For clinical negligence									
	Up to £250,000 (negotiated settlements including claimant's costs)				●	●				
	> £250,000	GB								
	For personal injury claims involving negligence where legal advice obtained and guidance applied									
	Up to £250,000 (including plaintiff's costs)				●	●				
	> £250,000	GB								
	Other, except cases of maladministration where no financial loss by claimant				●	●				
	Crediting of NHS debtors									
	Up to £2,000,000	AC			●	●				
	> £2,000,000	GB								
	Writing off non-NHS debtors									
	Up to £250,000	AC				●				
	> £250,000	GB								
12	Receiving hospitality									
	Applies to both individual and collective hospitality receipt items									
12.1	In excess of £25 per item received			O				O		
		All staff to notify one of delegated officers								

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12.2	Maintaining register of hospitality			O						
13	Register of sealings									
	Attestation of sealings in accordance with SOs				●	●				
	Maintaining register of sealings			O	O	O				
14	Declaration of interests register									
	Maintaining register of declarations of interest				O					
15	Petty cash disbursements									
	Expenditure up to £50 per item as per procedure									*O
		* Petty Cash Holder								
	Reimbursement of patients monies up to £100							O		
	Reimbursement of patients monies in excess of £100					O				
16	Monitoring and reporting of new drugs									
	Estimated total yearly cost up to £75,000	MMC						O		
	Estimated total yearly cost in excess of £75,000	S&F					*O			
		*Director of Commissioning								
17	Patients' & relatives' complaints									
	Overall responsibility for ensuring that all complaints are dealt with effectively									
	Responsibility for ensuring complaints relating to a directorate is investigated thoroughly						*O			
	Co-ordination of management of medico-legal complaints									
		*Director of Quality and Integrated Governance								

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18	Relationships with press						*O			
	Dealing with enquiries within hours									
		*Director of Quality and Integrated Governance								
	Dealing with enquiries outside hours						O	*O		
		*On call Officer								
19	Reporting of incidents to the police									
	Where a criminal offence suspected:									
	violent						O			
	other							O		
	Where fraud suspected					*O				
		*Through the Local Counter Fraud Specialist								
20	Other									
20.1	Condemning & disposal of equipment including IT					O				
20.2	Maintenance of financial procedures					O				
20.3	Insurance policies and risk management				O	O				
20.4	Implementation of internal and external audit recommendations						*O			
		*Relevant to the report in question								
20.5	Management of infectious diseases & notifiable outbreaks				O					

