

Decisions, Authorities and Duties Delegated to Officers of the CCG Governing Body

	RESPONSIBILITY	DELEGATION ARRANGEMENTS	FURTHER INFORMATION
1.	Capital Projects and Assets		
1.1	Approval of capital business cases including leases All PFI schemes and other schemes greater than £250,000 Up to £250,000	Governing Body Strategy & Planning Committee	This includes cases that may receive external funding. These powers may not be further delegated. In the absence of the appropriate officer authorisation must be obtained from the level above. In urgent cases- joint approval by the Accountable Officer and Chief Finance Officer required (up to limits of approval by the Strategy & Planning Committee)
1.2	Capital expenditure variations Variation over the original business case figure: Greater than £100,000 Greater than £25,000 and less than £100,000 or greater than 5% of the original business case whichever is the lower Less than £25,000 or less than 5% of the original business case whichever is the lower	Governing Body Strategy & Planning Committee Chief Finance Officer	In urgent cases- joint approval by the Accountable Officer and Chief Finance Officer required (up to limits of approval by the Strategy & Planning Committee)
1.3	Maintenance of the capital asset register	Chief Finance Officer	Head of Financial Accounts

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1.4	Approval of asset disposals: Land and buildings Other Assets, where asset has a residual value: Greater than £100,000 £50,000 and up to £100,000 £10,000 but less than £50,000 Less than £10,000 Other – where the asset has no residual value	Governing Body Governing Body Accountable Officer Chief Finance Officer Executive Directors Head of Financial Accounts	Head of Finance Accounts must always be informed to enable the asset register to be updated

2	Contracts		
2.1	Financial appraisal of companies identified as potential tenders	Chief Finance Officer	Delegated to Chief Finance Officer
2.2	Authorisation of less than the requisite number of tenders / quotes: For all contracts of £250,000 and above For all contracts less than £250,000 Including Capital projects / Works Goods and Services	Accountable Officer Chief Finance Officer	

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2.3	Authorisation of single tender / single quote action: For all contracts of £250,000 and above (Illegal under EU Regulations) For all contracts less than £250,000 but above £4,000 (illegal under EU Regulations if above EU Threshold) including Capital projects / Works Goods and services	Accountable Officer Chief Finance Officer	
2.4	Single tender / single quote action for maintenance or other support contracts for existing goods or assets where the CCG is contractually tied to specific companies.	Chief Finance Officer	Delegated to Head of Financial Accounts who will maintain a register of contracts approved
2.5	Monitoring of the use of single tender / single quote action A CCG Waiver must be completed and forward to the Head of Financial Accounts	Audit Committee on behalf of Governing Body	Appropriate records to be maintained by the Chief Finance Officer as the basis for reporting, delegated to Head of Financial Accounts
2.6	Advertising of contracts/awards Must be advertised The CCG Procurement Manager will co-ordinate this via the appropriate web portal	Accountable Officer	Delegated to the CCG Procurement lead

2.7	Opening of tenders (will be automatic once web portal is being used for advertising of all tenders)	Any two from "List of CCG officers authorised to open tenders" where tender is over £50,000. Any one from list where tender is below £50,000.	
2.8	Permission to consider late tenders	Accountable Officer	

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2.9	<p>Tender ratification and award, including authorisation of any actions resulting from post tender negotiations:</p> <p>All types of tenders greater than £500,000 All types £250,000 and up to £500,000 Capital Projects/Works less than £250,000: Goods and Services less than £250,000</p>	<p>Governing Body Accountable Officer Chief Finance Officer Chief Finance Officer</p>	
2.10	<p>Signing of service provision contracts including letters of intent. This includes NHS, independent care placements, private sector and non-healthcare contracts, but not contracts that relate to the running costs of the CCG.</p> <p>Greater than £100 million Greater than £1 million and up to £100 million Less than £1 million</p>	<p>Governing Body Accountable Officer Chief Finance Officer</p>	<p>All Works contracts of £500,000 and above should be sealed; other contracts should be sealed if in the interests of the CCG.</p>
2.11	<p>Approval of variations or extensions to contracts: All types of contract variations greater than £500,000</p> <p>All types £250,000 and up to £500,000</p> <p>All type less than £250,000</p>	<p>Governing Body</p> <p>Integrated Performance & Assurance Committee</p> <p>Accountable Officer or Chief Finance Officer</p>	<p>In all contracts the CCG should endeavour to obtain best value for money.</p>

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2.12	Sealing of documents	Chair (or Vice-Chair in the absence of the Chair) and one Executive Director	Subsidiary pages of Works contracts to be signed in accordance with Power of Appointment procedure
3	Income Generation and Research and Development Contracts		
3.1	Approval of income generation contracts and variations or extensions to income generation contracts: Greater than £500,000 £250,000 and up to £500,000 Less than £250,000	Governing Body Accountable Officer Chief Finance Officer	These powers may not be further delegated; in the absence of the appropriate officer authorisation must be obtained from the level above
3.2	Approval of research and development contracts (including variations or extensions) Greater than £500,000 £250,000 and up to £500,000 Up to £250,000	Governing Body Accountable Officer Chief Finance Officer	These powers may not be further delegated. In the absence of the appropriate officer authorisation must be obtained from the level above

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4	Purchasing and Payments (excl. Payroll)		
4.1	<p>Non Pay Expenditure for healthcare contracts that have been signed and ratified by the governing body</p> <p>Greater than £100,000</p> <p>Greater than £20,000 £5,000 up to £100,000</p> <p>Greater than £500 up to £20,000 £5,000</p> <p>£500 and below</p>	<p>Accountable Officer, Chief Finance Officer, Deputy Chief Finance Officer</p> <p>Chief Officer Team Members, Deputy Chief Finance Officer (for invoice processing) Associate/Deputy/Assistant Directors, Chief Pharmacist, Head of Complex Cases</p> <p>Budget Holder Deputy Chief Officers (for approval to spend), Programme Senior Responsible Officers (SRO), Associate Directors, Chief Pharmacist, Head of Clinical Services (Complex Cases)</p> <p>Budget Manager Names list at Chief Officer team discretion</p>	
4.2	<p>All Other Non-Pay (Limits include VAT) Authorisation of internal requisitions and invoices:</p> <p>Greater than £500,000</p> <p>Greater than £250,000 and up to £500,000</p> <p>Greater than £100,000 and up to £250,000</p> <p>Greater than £500 and up to £20,000</p> <p>£500 and below</p>	<p>Governing Body</p> <p>Accountable Officer</p> <p>Chief Finance Officer</p> <p>Executive Directors Associate/Deputy/ Assistant Directors, Chief Pharmacist, Head of Complex Cases, Budget Holder</p> <p>Budget Manager</p>	<p>These limits are the maximum limits for each delegated group and at any time, as deemed necessary, the Chief Finance Officer can impose lower limits for each delegated group.</p> <p>For further information please refer to the Authorised Signatory Policy</p>

4.3	Authorisation of official orders	Authorised list "List of CCG officers permitted to authorise official orders" (maintained by Chief Finance Officer)	
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4.4	<p>Authorisation of payments where it has not been possible to follow the normal requisitioning process:</p> <p>Greater than £50,000 Up to £50,000</p>	<p>Governing Body Chief Finance Officer</p>	
4.5	Authorisation of petty cash payments	Authorisation for re-imburement in line with procedures as outlined in the Authorised Signatory Policy	
5	Payroll Expenditure		
5.1	<p>Prior to incurring pay expenditure which includes agency, interim and temporary staff, the CCGs Establishment Vacancy Control Process must be followed as well as the Temporary Staffing Policy incorporating escalation policies for rates outside either framework or NHSE caps. Once approved by the Establishment Control process the following delegated limits apply.</p> <p>Pay including substantive/agency (excluding timesheets) within establishment Substantive staff on VSM contracts</p> <p>Agency / consultancy spend above £50,000</p> <p>Agency / Consultancy spend greater than £20,000 up to £50,000</p> <p>All other pay expenditure up to VSM rates</p>	<p>Remuneration and Terms of Service Committee</p> <p>Governing Body followed by NHSE</p> <p>Accountable Officer, Chief Finance Officer</p> <p>Executive Directors</p>	

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5.2	<p>Authorisation of travel claims (Mileage)</p> <p>Maximum value of any single monthly claim is restricted to £2,500 with no claims being older than 3 months unless approved by either the Chief Finance Officer or Accountable Officer.</p>	<p>Executive Director/ Budget Holder/Budget Manager/Delegated Signatory as outlined in the Authorised Signatory List</p> <p>Authorisation for claims older than 3 months can be delegated to the Deputy Chief Finance Officer</p>	<p>Any expenses claimed by the Chair shall be authorised by the Accountable Officer and any expenses claimed by the Accountable Officer shall be authorised by the Chair of Chief Finance Officer.</p>
5.3	<p>Authorisation of other travel and other allowances outside the CCGs Expenses Policy</p> <p>Authorisation of other travel and other allowances as per the CCGs Expenses Policy</p> <p>Over £300</p> <p>Up to £300</p> <p>Up to £100</p> <p>No claims being older than 3 months unless approved by either the Finance Director or Accountable Officer.</p>	<p>Accountable Officer</p> <p>Accountable Officer/Chief Finance Officer/Directors</p> <p>Budget Holder/Budget Manager</p> <p>Delegated Signatory</p> <p>Can be delegated to the Deputy Chief Finance Officer</p>	<p>See Expenses Policy for details of other allowable expenses.</p>
5.4	<p>Authorisation of payroll timesheets</p> <p>Maximum value of any single monthly claim is restricted to £2,500 with no claims being older than 3 months unless approved by either the Finance Director or Accountable Officer.</p>	<p>Executive Director/Budget Holder/Budget Manager/Delegated Signatory.</p> <p>Authorisation for claims older than 3 months can be delegated to the Deputy Chief Finance Officer</p>	<p>See Authorised Signatory Policy</p>
REF	RESPONSIBILITY	DELEGATION ARRANGEMENTS	FURTHER INFORMATION
6	Income/debt write-off		
6.1	<p>Authorisation of credit notes</p> <p>Greater than £500,000</p>	<p>Governing Body</p>	

	£250,000 and up to £500,000 Greater than £100,000 but less than £250,000 Greater than £10,000 but less than £100,000 Greater than £5,000 but less than £10,000 Up to £5,000	Accountable Officer Chief Finance Officer Deputy Chief Finance Officer Budget Holder Budget Managers	Delegated to Deputy Chief Finance Officer
6.2	Authorisation to refer debts to debt collection agency	Chief Finance Officer	Delegated to Head of Financial Accounts/Deputy Chief Finance Officer
6.3	Authorisation of debt write-off: Individual debts Greater than £10,000 Greater than £5,000 and up to £10,000 Up to £5,000	Governing Body Accountable Officer Chief Finance Officer	All write offs to be sent to the Audit Committee Delegated to Deputy Chief Finance Officer

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7	Losses and special payments		
7.1	Authorisation of losses and special payments, including ex-gratia payments: Greater than £50,000 £10,000 and up to £50,000 Up to £30,000 (Staff Compromise agreements only) Up to £10,000	Governing Body Accountable Officer Chief Officers Losses and Special Payments Committee or in an emergency Finance Director or Deputy Chief Finance Officer	All losses greater than £100,000 must be approved by Treasury. See losses procedure contained in the General Financial Procedures. After advice taken by lawyers.
7.2	Authorisation of clinical negligence payments	Chief Finance Officer	
7.3	Monitoring of losses and special payments	Audit Committee	
7.4	Authorisation of early retirement, redundancy and other termination payments to staff: Greater than £100,000 £50,000 and up to £100,000 Up to £50,000	Governing Body and Remuneration and Terms of Service Committee Accountable Officer Chief Finance Officer	

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8	Budgetary Control		
8.1	Delegation of budgets	Accountable Officer and Chief Finance Officer	
8.2	<p>Approval of budget virements</p> <p>If Virement is the result of an authorised contract variation</p> <p>Greater than £100,000</p> <p>Greater than £25,000 up to £100,000</p> <p>Greater than £500 up to £25,000 £500 and below</p> <p>For other virements</p> <p>Greater than £10,000 Up to £10,000</p>	<p>Accountable Officer, Chief Finance Officer, Deputy Chief Finance Officer</p> <p>Associate Directors /Deputy/ Assistant Directors, Chief Pharmacist, Head of Complex Cases</p> <p>Budget Holder Budget Manager</p> <p>Integrated Performance & Assurance Committee Budget Holder</p>	A Business Case is required.
8.3	Approval of transfers from reserves	Chief Finance Officer	

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8.4.	<p>Approval of Revenue Business Cases (not Capital)</p> <p>Greater than £500,000 Up to £500,000</p>	<p>Governing Body Integrated Performance & Assurance Committee/Strategy & Planning Committee</p>	In urgent cases- joint approval by the Accountable Officer and Chief Finance Officer required (up to limits of approval by the Clinical Executive Committee)
9	Stores		
9.1	<p>Management and control of stores:</p> <p>General Pharmacy</p>	<p>Chief Operating Officer Chief Pharmacist</p>	Delegated to CCG Procurement Manager

10	Bank accounts and payment methods		
10.1	Opening of bank accounts	Chief Finance Officer	
10.2	Signing of cheques for cash, signing of other cheques, and authorisation of electronic payments ,cheque and BACs payment schedules	See authorised signatory list	Lists to be maintained by the Chief Finance Officer
11	Fees and charges		
11.1	Approval of fees and charges	Chief Finance Officer	

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12	Standards of business conduct		
12.1	Maintenance of the CCG Register of Interests	Chief Finance Officer	Maintained by CCG Secretary
12.2	Maintenance of CCG Gifts and Hospitality register	Chief Finance Officer	Maintained by CCG Secretary
13	Insurance		
13.1	Non Clinical Insurance	Chief Finance Officer	
13.2	Clinical Insurance	Chief Finance Officer	
14.0	Fraud and Irregularity		
14.1	Counter fraud and corruption work in accordance with Secretary of State's Directions	Chief Finance Officer	In liaison with Local Counter Fraud Specialist and Counter Fraud Operational Service as appropriate
14.2	Investigation of suspected cases of irregularity not related to fraud or corruption	Chief Finance Officer	
15	Investments		
15.1	Approval of Investment Policy	Governing Body	
15.2	Investment decisions	Chief Finance Officer	
16	Borrowing		
16.1	Approval of loans: All Loans	 Governing Body	