

FINANCIAL SCHEME OF DELEGATION AND LIMITS POLICY

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Authors:	Hugh Groves, Chief Finance Officer Emma Greenslade, Head of Corporate Governance Duncan Haddrell, Project Accountant
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Equality Impact Assessment				
Who does the proposed piece of work affect?	Staff	X		
	Patients			
	Carers			
	Public	X		
Have the legal implications been considered?	Yes			
			Yes	No
1. Will the proposal have any impact on discrimination, equality of opportunity or relations between groups?				X
2. Is the proposal controversial in any way (including media, academic, voluntary or sector specific interest) about the proposed work?				X
3. Will there be a positive benefit to the users or workforce as a result of the proposed work?			X	
4. Will the users or workforce be disadvantaged as a result of the proposed work?				X
5. Is there doubt about answers to any of the above questions (e.g. there is not enough information to draw a conclusion)?				X
If the answer to any of the above questions is yes (other than question 3) or you are unsure of your answers to any of the above you should provide further information using Screening Form One				
If an equality assessment is not required briefly explain why and provide evidence for the decision. Internal control document.				

NEW Devon CCG has made every effort to ensure this policy does not have the effect of discriminating, directly or indirectly, against employees, patients, contractors or visitors on grounds of race, colour, age, nationality, ethnic (or national) origin, sex, sexual orientation, marital status, religious belief or disability. This policy will apply equally to full and part time employees. All NEW Devon CCG policies can be provided in large print or Braille formats if requested, and language line interpreter services are available to individuals of different nationalities who require

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Linked strategies, policies and other documents	Anti-Fraud & Bribery Policy (draft) NHS NEW Devon CCG Constitution (final) See website for up to date copies: http://www.newdevonccg.nhs.uk/who-we-are/100069
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Financial Scheme of Delegation: Authority Limits

Ref	Matters delegated	Delegated to
1	<p><u>Bank accounts</u></p> <p>Maintenance and operation in accordance with mandates approved by the Board</p>	Chief Finance Officer (CFO)
2	<p><u>Budget management</u></p> <p>Responsibility for maintaining expenditure with approved budgets:</p> <ul style="list-style-type: none"> (a) at individual budget level (pay and non-pay) (b) at service level (c) for the totality of services covered by the directorate (d) for all other areas (e) In line with 5x5 matrix major concern of non-compliance of over 10% over project budget <p>All financial limits in this schedule of matters delegated are subject to adequate budgets (and balances remaining within budgets) being available</p>	<ul style="list-style-type: none"> (a) Designated budget holder (b) Service manager (c) Leadership Team members (d) CFO (e) Designated budget holder
3	<p><u>Business cases</u></p> <ul style="list-style-type: none"> (a) up to £249,999 (b) up to £499,999 	<ul style="list-style-type: none"> (a) Managing Directors and LCFO (b) Leadership Team

	(c) £500,000 and above	(c) Full business case for Governing Body approval in line with terms of reference

4	<p><u>Capital schemes</u></p> <p>(a) Appointment of architects, quantity surveyors, consultant engineers and other professional advisors within EU regulations:</p> <p>(i) up to £100,000</p> <p>(ii) £100,000 and above</p> <p>(b) Granting, terminating or extending leases with an annual charge of:</p> <p>(i) up to £99,999</p> <p>(ii) £100,000 and above</p> <p>(c) Capital works orders:</p> <p>(i) up to £9,999</p> <p>(ii) £10,000 to £74,999</p> <p>(iii) £75,000 to £249,999</p> <p>(iv) £250,000 and above</p>	<p>(a)(i) Leadership Team members</p> <p>(ii) LT (2 signatures CO & CFO or nominated deputy)</p> <p>(b)(i) CFO or nominated deputy</p> <p>(ii) LT member and LCFO or equivalent</p> <p>(c) (i) LT member</p> <p>(ii) LCFO & MDs or equivalent</p> <p>(iii) Leadership Team member and LCFO or equivalent</p> <p>(iv) Leadership Team or Governing Body approval in line with terms of reference</p>
5	<p><u>Administrative Spend on Goods and Services (Non Commissioning Spend) – Limits for Requisition and Invoice approval</u></p> <p>(a) up to £14,999</p>	<p>(a) Delegated Business Manager / PA</p>

	<ul style="list-style-type: none"> (b) from £15,000 to £49,999 (c) from £50,000 to £249,999 (d) from £250,000 above (e) from £500,000 	<ul style="list-style-type: none"> (b) Budget Holder (c) LT member and LCFOs or equivalent (d) LT (2 signatures including CO/CFO or nominated deputy) (e) Governing Body
6	<u>All Legal Costs</u>	Head of Corporate Governance and CFO approval
7	<p><u>Commissioning expenditure in line with agreed budgets for the procurement of services</u></p> <ul style="list-style-type: none"> (a) up to £499,999 (b) from £500,000 to £25 million (based on 10% of total budget) (c) £25 million and above or where a CCG wide decision of any material value is required 	<ul style="list-style-type: none"> (a) LT member (b) Locality Board or Partnerships Board approval (c) 2 signatures including either CO or CFO following Governing Body approval in line with Terms of Reference
8	<p>Programme Spend: Commissioning contracts with Providers including other NHS bodies, contracts with Foundation Trusts, and partnership agreements</p> <ul style="list-style-type: none"> (a) For the commissioning of NHS healthcare services: <ul style="list-style-type: none"> (i) £999,999 (contract variation up to £99,999) up to £50m (contract variation £500,000-£999,999) (ii) above £50m (contract variation £1m or more) 	<p>For (a)(b)</p> <ul style="list-style-type: none"> (i) LT and Head of Contracting & Business Intelligence or Managing Director Delivery (ii) CO and CFO, after Governing Body approval in line with the terms of reference

	<p>*If any localities financial contribution is less than 20% of the total contract value then the contract can be authorised on their behalf by another locality.</p> <p>(b) For the commissioning of non-NHS healthcare services:</p> <ul style="list-style-type: none"> (i) £99,999 (contract variation up to £9,999) up to £5m (contract variation £100,000-£500,000) (ii) above £5m (contract variation above £500,000) <p>*If any localities financial contribution is less than 20% of the total contract value then the contract can be authorised on their behalf by another locality.</p> <p>(c) For the provision of non-healthcare services:</p> <ul style="list-style-type: none"> (i) up to £14,999 (contract variation up to £999) (ii) from £15,000 to £99,999 (contract variation £1,000-£4,999) up to £499,999 (contract variation £5,000-£24,999) (iii) above £500,000 (contract variation above £25,000) <p>*If any localities financial contribution is less than 20% of the total contract value then the contract can be authorised on their behalf by another locality.</p>	<p>For (c)</p> <ul style="list-style-type: none"> (i) Leadership Team member (ii) LT member and Head of Contracting & Business Intelligence, Managing Director of Delivery and LCFO or equivalent (iii) CO and CFO, after Governing Body approval in line with the terms of reference
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9	<p><u>Condemning and disposal</u></p> <p>(a) Condemning or disposal of unserviceable items (other and IT equipment) with an estimated replacement cost:</p> <ul style="list-style-type: none"> (i) up to £99 (ii) £100 and above <p>(b) Condemning or disposal of all unserviceable IT equipment</p>	<p>(a)</p> <ul style="list-style-type: none"> (i) Designated budget holder (ii) Locality Head of Finance or equivalent <p>(b) MD Delivery and LCFO or equivalent</p>
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10	<p><u>Hospitality or Benefit</u></p> <p>Declaration in line with Register of Interests policy where value of any hospitality or benefit received exceeds £25 per individual per instance</p>	Recipient to notify Head of Corporate Governance (HOCG)
11	<p><u>Professional Advice and consultancy</u></p> <p>(a) Where aggregate commitment in any one year or total commitment is £4,999 to £24,999 (b) Where aggregate commitment in any one year is £25,000 or above</p>	<p>(a) Designated Budget Holder and LCFO or equivalent (b) LT member with 2 signatories</p>
12	<p><u>Petty Cash</u></p> <p>Petty cash disbursements up to £50 per item Petty cash float replenishment up to £500 per week</p>	<p>Designated Budget holder LCFO or equivalent</p>
13	<p><u>Losses, write-offs and compensation</u></p> <p>(a) Losses of cash due to theft, fraud, overpayment etc – up to £50,000 (b) Fruitless payments (including abandoned capital schemes) – up to £250,000 (c) Write-off or bad debts up to £10,000 (d) Claims abandoned and other – up to £50,000 (e) Damage to buildings, fittings, furniture and equipment, loss of property and equipment in stores or in use due to culpable causes (fraud, theft, arson etc) or other – up to £50,000 (f) Compensation payments made under legal obligation (excluding clinical negligence) – up to £50,000</p>	<p>(a) CO & CFO (b) CO & CFO (c) CFO (d) CO & CFO (e) CO & CFO (f) CFO & CNO</p>

	<ul style="list-style-type: none"> (g) Extra contractual payments to contractors – up to £50,000 (h) Ex-gratia payments to staff for loss of personal effects: <ul style="list-style-type: none"> (i) up to £99 (ii) £100-£499 (iii) £500-£999 (iv) £1,000 to £50,000 (i) Ex gratia payments for personal injury claims involving negligence where legal advice obtained and followed – up to £250,000 including claimant’s legal costs (j) Other ex gratia payments except cases of maladministration where there was no financial loss to the claimant – up to £50,000 (k) Any of the above (a) – (j) limits exceeded required approval by Governing Body with 2 signatures (CO or CFO or nominated deputies) 	<ul style="list-style-type: none"> (g) CO & CFO (h)(i) Designated Budget holder (ii) SMT Member (iii) CFO (iv) MD and CFO (i) CNO and CFO (j) MD and LCFO (k) Governing Body approval with 2 signatures (CO or CFO or nominated deputies)
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14	<p><u>Personnel & Pay</u></p> <ul style="list-style-type: none"> (a) Authority to fill funded post on the establishment with permanent staff (b) Authority to appoint staff to post not on the formal establishment (c) The granting of additional increments to staff with budget (d) All requests for upgrading/regrading (e) Additional staff to agreed establishment within specifically allocated finance (f) Additional staff to agreed establishment without specifically allocated finance (g) Pay <ul style="list-style-type: none"> (i) Authority to complete standing data forms affecting pay, new starters, variations and leavers (ii) Authority to complete and authorise positive reporting forms (iii) Authority to authorise overtime (iv) Authority to authorise travel and subsistence expenses (v) Recommendation of performance related pay assessment (VSM only) (h) Leave 	<ul style="list-style-type: none"> (a) LT Member (b) LT Member (c) LT Member (d) LT Member & LCFO (e) LT Member with Locality CFO or equivalent (f) LT with 2 signatures (CO or CFO) (g) (i) Budget holder (ii) LT member (iii) LT member (iv) Line manager, in line with policies (v) Remuneration Committee
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	<ul style="list-style-type: none"> (i) Approval of annual leave and study leave (ii) Annual leave – approval of carry forward (up to maximum of 5 days in the case of ancillary and maintenance staff, as defined in their initial conditions of service) (iii) Annual leave – approval of carry over in excess of 5 days (iv) Compassionate leave up to 3 days (v) Compassionate leave up to 6 days (vi) Special leave arrangements: carers leave – up to 3 days (vii) Special leave arrangements: carers leave – up to 6 days (viii) Leave without pay (ix) Time off in lieu (x) Maternity leave – paid and unpaid <ul style="list-style-type: none"> (i) Sick Leave <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 	<ul style="list-style-type: none"> (h) (i) Line manager, in line with policies (ii) Line manager, in line with policies (iii) LT member (iv) Line Manager, in line with policies (v) Line Manager, in line with policies (vi) Line Manager, in line with policies (vii) Line Manager, in line with policies (viii) Line Manager, in line with policies (ix) Line Manager, in line with policies (x) Automatic approval with guidance <ul style="list-style-type: none"> (i) (i) LT member in line with policies (ii) LT member in line with policies (iii) LT member in line with policies
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