

NHS NENE SCHEDULE OF MATTERS DELEGATED TO OFFICERS

Delegated matters in respect of decisions which may have a far-reaching effect must be reported to the Chief Executive Officer. **The delegation shown below is the lowest level to which authority is delegated.** Delegation to lower levels is only permitted with written approval of the Chief Executive Officer who will, before authorising such delegation consult with other Senior Officers as appropriate. All items concerning Finance must be carried out in accordance with the Standing Financial Instructions and Standing Orders. All financial limits in this schedule of matters delegated to officers are subject to sufficient budget being available.

Policy Area	Ref	Delegated Matter	Financial Value	Delegated to
Bank Accounts	1	Maintenance and operation in accordance with mandates approved by the Governing Body	n/a	Chief Finance Officer
Management of Budgets	2	Responsibility of keeping expenditure within budgets at individual budget level (pay and non-pay)	n/a	Budget Holder
	3	Responsibility of keeping expenditure within budgets for the totality of services covered by Head of Service / Department	n/a	Budget Holder
	4	Responsibility of keeping expenditure within budgets for the totality of service covered by directorate or locality	n/a	Director or Clinical Director
	5	Responsibility for committing Reserves and centrally held/non delegated budgets	n/a	Chief Finance Officer or Accountable Officer
	6	Approving expenditure where the total tender price:	Less than £20,000	Director
			Up to £75,000	Chief Finance Officer and Director
Up to £250,000			Accountable Officer and Chief Finance Officer	
Up to £250,000			Board of Directors	

Policy Area	Ref	Delegated Matter	Financial Value	Delegated to
Non Pay Expenditure (excluding Commissioning Expenditure)	7	Authorisation of orders, requisitions and invoices	Up to £1,000	Authorised Signatory
			Up to £5,000	Designated Budget Holder
			Up to £10,000	Deputy ,Associate or Assistant Director
			Up to £20,000	Director
			Up to £50,000	Deputy Chief Finance Officer or Director
			Up to £100,000	Chief Finance Officer
			Up to £150,000	Accountable Officer
			Over £150,000	Finance & Performance Committee
	8	Authorisation of orders, requisitions and invoices for the purchase of IT equipment	Up to £20,000	Director
		Over £20,000	Accountable Officer	

Policy Area	Ref	Delegated Matter	Financial Value	Delegated to
	9	Authorisation of orders, requisitions and invoices not included within delegated budgets	Up to £20,000	Deputy Chief Finance Officer
			Up to £75,000	Chief Finance Officer
			Up to £100,000	Accountable Officer
			Over £100,000	Accountable Officer and Chief Finance Officer
	10	Non budgeted items where the order exceeds a 12 month period including call off orders and IT infrastructure orders	n/a	Accountable Officer or Chief Finance Officer
Management Consultants	11	Obtaining written quotations for commitments in any one year	Up to £5,000	Budget Manager
			Up to £25,000	Director
	12	Obtaining at least three competitive tenders for commitments in any one year	Over £25,000	Director
	13	Authorisation of contracts of engagement	Up to £25,000	Director
Over £25,000			Accountable Officer or Chief Finance Officer	

Policy Area	Ref	Delegated Matter	Financial Value	Delegated to
Quotation, Tendering and Contract Procedures	14	Authority to award or sign contract for goods/services	2 verbal quotes: Up to £5,000	Budget Holder
			2 written quotes: Up to £20,000	Director
			3 written competitive tenders: Up to £75,000	Chief Finance Officer and Director
			4 written competitive tenders: Up to £250,000	Accountable Officer and Chief Finance Officer
		4 competitive tenders: Over £250,000	Board of Directors	
	15	Issuing requests for tenders	n/a	Director or nominated manager
16	Receiving tenders	n/a	Director	
17	Maintaining register of tenders received	n/a	Accountable Officer	
18	Opening tenders	n/a	Two Directors not related to the tender	
19	Post tender negotiations	n/a	Nominated senior manager	

Policy Area	Ref	Delegated Matter	Financial Value	Delegated to
	20	Approving expenditure in excess of tender price	Up to 10% or Up to £15,000	Director
			Over 10% or £15,000	Accountable Officer
	21	Waiving of Standard Orders and Standing Financial Instructions	Up to £20,000	Chief Finance Officer
			From £20,000 to £75,000	Accountable Officer and Chief Finance Officer
			Over £75,000	GP Chair and Accountable Officer
Commissioning	22	Approval of development and commissioning business cases	Up to £10,000	SLM or Budget Manager
			Up to £100,000	Chief Finance Officer or Chief Commissioning Officer
			Up to £1,000,000	Board of Directors
			Over £1,000,000	Governing Body
	23	Awarding of commissioning tenders (subject to appropriate business case approval)	Up to £100,000	Chief Commissioning Officer
		Up to £1,000,000	Board of Directors	
		Over £1,000,000	Governing Body	

Policy Area	Ref	Delegated Matter	Financial Value	Delegated to
	24	Signing of annual SLAs for the purchase of healthcare with NHS providers	Up to £100,000,000 Over £100,000,000	Chief Finance Officer or Director of Contracts & Procurement Accountable Officer
	25	Signing of annual SLAs for the purchase of healthcare with Non NHS providers including private providers and charities	Up to £10,000,000 Over £10,000,000	Chief Finance Officer or Director of Contracts & Procurement Accountable Officer
	26	Signing of in-year variations to SLAs	n/a	Chief Finance Officer or Director of Contracts & Procurement
	27	Authorisation of monthly invoices with agreed SLA value irrespective of amount	n/a	ACFO Contacting Support and Deputy Director of Contracting
	28	Authorisation of monthly invoices in excess of agreed SLA value	n/a	Deputy Chief Finance Officer
	29	Authorisation of expenditure on NICE/High Cost Drugs, Individual Treatments and any other NHS Healthcare	n/a	Deputy Chief Finance Officer
Continuing Care Packages	30	Signing of contract for placement	n/a	Chief Finance Officer or Director of Contracting & Procurement
	31	Authorisation of monthly invoices within agreed contract value irrespective of amount	Up to £1,000 Up to £10,000 Over £10,000	CHC officers employed by GEM CSU Contract Manager Head of Joint Commissioning

Policy Area	Ref	Delegated Matter	Financial Value	Delegated to
	32	Authorisation of monthly invoices in excess of agreed contract value	n/a	Deputy Chief Finance Officer
Capital Expenditure	33	Financial monitoring and reporting on all capital scheme expenditure	n/a	Deputy Chief Finance Officer
	34	Granting of Capital Grants to local authority / private sector partners	n/a	Board of Directors
Clinical Trials	35	Authorisation of clinical trials	n/a	GP Chair or Board of Directors
Complaints	36	Overall responsibility for ensuring that all complaints are dealt with effectively	n/a	Accountable Officer
	37	Responsibility for ensuring complaints relating to a commissioned service are investigated thoroughly	n/a	Director of Quality & Outcomes
Condemning & Disposal of Assets	38	Items obsolete, obsolescent, redundant and irreparable or cannot be repaired cost effectively (non-capitalised)	n/a	Budget Holder
	39	Items obsolete, obsolescent, redundant and irreparable or cannot be repaired cost effectively (capitalised)	n/a	Chief Finance Officer
	40	Disposal of IT infrastructure	n/a	Chief Finance Officer or Chief Commissioning Officer
Independent Contractors	41	Agreement of contracts for primary care services provided by independent contractors where the countywide commitment is :	Up to £1,000,000	Chief Commissioning Officer and Chief Finance Officer
			Over £1,000,000	Governing Body

Policy Area	Ref	Delegated Matter	Financial Value	Delegated to
	42	Payments to independent contractors for primary care services	Within agreed contract value Up to £20,000 Up to £100,000 Up to £250,000 Over £250,000	Contract lead Assistant Chief Finance Officer Deputy Chief Finance Officer Chief Finance Officer or Chief Commissioning Officer Accountable Officer
Drugs	43	Controlled entry of new drugs	n/a	Northamptonshire Prescribing Advisory Group
Licences & Agreements	44	Extension to existing leases (non estate leases covered by NHS Property Services)	n/a	Chief Finance Officer
	45	Small one off purchases of Software / Licenses	Up to £1,000	Budget Holder
	46	Large purchases of Software / Licenses	n/a	Chief Commissioning Officer
	47	Preparation and signature of all tenancy agreements / licences for all staff subject to CCG policy on accommodation for staff	n/a	Chief Finance Officer
	48	Letting of premises to third parties	n/a	Chief Finance Officer or Chief Commissioning Officer
	49	Approval of rent based on professional assessment	n/a	Chief Finance Officer or Chief Commissioning Officer
Losses, Compensations and Write Offs	50	Losses and cash due to theft, fraud, overpayment etc	n/a	Accountable Officer and Chief Financial Officer
	51	Fruitless payments (including abandoned capital schemes)	n/a	Accountable Officer and Chief Financial Officer
	52	Bad and Doubtful Debts	Up to £20,000	Chief Financial Officer

		Over £20,000	Finance & Performance Committee
53	Claims abandoned	n/a	Accountable Officer and Chief Financial Officer

Policy Area	Ref	Delegated Matter	Financial Value	Delegated to
	54	Damage to buildings, fittings, furniture and equipment and loss of equipment and property in stores and in use due to; Culpable caused e.g. fraud, theft, arson or other.	n/a	Accountable Officer and Chief Financial Officer
	55	Compensation payments made under legal obligation	n/a	Accountable Officer
	56	Ex gratia payment to staff for loss of personal effects	Up to £1,000 Over £1,000	Chief Finance Officer Audit & Risk Committee
	57	Ex-gratia payments for clinical negligence (negotiated settlements following legal advice)	n/a	Governing Body
	58	Ex gratia payments for personal injury claims involving negligence where legal advice obtained and followed	n/a	Governing Body
	59	Other ex-gratia payments, except cases of maladministration where there is no financial loss by claimant	n/a	Audit & Risk Committee
	60	Power to seek external professional help, whether legal or financial, at the CCGs expense without further recourse to the CCG.	n/a	Audit & Risk Committee
Human Resources	61	Authority to fill funded post on the establishment with permanent staff	n/a	Budget Holder
	62	Authority to appoint staff to post not on the agreed establishment	n/a	Deputy Chief Finance Officer
	63	Authority to approve enablement funding	n/a	Board of Directors
	64	Granting of additional increments to staff within budget	n/a	Budget Holder
	65	Requests for upgrading/regrading in accordance with CCG procedures	n/a	Line Manager via HR
	66	Additional staff to the agreed establishment with specifically	n/a	Budget Holder

	allocated finance		
67	Additional staff to the agreed establishment without specifically allocated finance	n/a	Deputy Chief Finance Officer
68	Approval of the extension of contracts for staff on fixed term contracts	n/a	Deputy Chief Finance Officer

Policy Area	Ref	Delegated Matter	Financial Value	Delegated to
	69	Authority to complete standing data forms affecting pay, new starters, variations and leavers	n/a	Line Manager
	70	Authority to complete and authorise positive reporting forms	n/a	Head of Department
	71	Authority to authorise overtime	n/a	Head of Department
	72	Authority to authorise travel and subsistence	n/a	Line Manager
	73	Approval of annual leave	n/a	Line Manager
	74	Approval to carry forward up to a maximum of 5 days	n/a	Line Manager
	75	Compassionate leave up to 3 days	n/a	Line Manager
	76	Compassionate leave up to 6 days	n/a	Director
	77	Paternity leave up to 10 days	n/a	Line Manager
	78	Carers leave	n/a	Line Manager
	79	Leave without pay	n/a	Director
	80	Time off in lieu	n/a	Line Manager
	81	Extension of sick leave on half pay up to three months	n/a	Director and HR
	82	Extension of sick leave on full pay	n/a	Director and HR
	83	Study leave outside of the UK	n/a	Accountable Officer or GP Chair
	84	All other study leave within the UK	n/a	Line Manager
	85	Authorisation of payment of removal expenses incurred by officers taking up a new appointment as agreed at interview	Up to £8,000 Over £8,000	Director Accountable Officer
	86	Request for new posts to be authorised car users	n/a	Head of Department
	87	Request for new posts to be authorised mobile phone users	n/a	Head of Department
	88	Request for specialist IT equipment and portable devices for	n/a	Director

	new posts to be authorised e.g. Blackberry/iPad/iphone		
89	Renewal of fixed term contracts	n/a	Head of Department

Policy Area	Ref	Delegated Matter	Financial Value	Delegated to
	90	Authorisation to agree voluntary / compulsory redundancy payments in accordance with Agenda for Change for all staff other than Very Senior Managers	Upto £10,000 Up to £50,000 Over £50,000 Extra contractual payments	Director Chief Finance Officer Remuneration Committee Remuneration Committee
	91	Authorisation to agree voluntary / compulsory redundancy payments in accordance with Agenda for Change for Very Senior Managers	n/a	Remuneration Committee and grandparent approval where required
	92	Authorisation of retirement on the grounds of ill health	n/a	Remuneration Committee in conjunction with Chief Finance Officer
Regulation & Control	93	Engagement of non medical contract staff	Annual cost up to £20,000 Annual cost over £20,000	Budget Holder Chief Finance Officer
	94	Engagement of solicitors	Up to £10,000 Over £30,000 Over £30,000	Directors Chief Finance Officer Audit & Risk Committee
	95	Booking of bank or agency staff	Within agreed budget	Budget Holder
	96	Approval of nurses to undertake duties / procedures which can properly be described as beyond the normal scope of nursing practice	n/a	Director of Quality & Outcomes

Policy Area	Ref	Delegated Matter	Financial Value	Delegated to
	97	Facilities for staff not employed by the CCG to gain practical experience – Work experience students	n/a	Director or Clinical Director
	98	Private patients, overseas visitors, income generation and other patient related services	n/a	Chief Finance Officer
	99	Risk Management including Health & Safety, Fire and Security	n/a	Chief Commissioning Officer
	100	Maintenance of Register of Gifts & Hospitality	£25 per item	Head of Corporate Services
	101	Implementation of Internal and External Audit Recommendations	n/a	Chief Finance Officer
	102	Insurances policies	n/a	Chief Finance Officer
	103	Maintenance and update of CCG Financial procedures	n/a	Chief Finance Officer
	104	Authorisation of Research Projects	n/a	Assistant Clinical Chair and Deputy Chief Finance Officer
	105	Maintenance of Register of Interests	n/a	Chief Commissioning Officer
	106	Use of the Seal	n/a	Accountable Officer or Statutory Board Member
	107	Authorisation of sponsorship deals	Up to £5,000 Over £5,000	Budget Holder Chief Finance Officer or Chief Commissioning Officer