

Staffordshire and Stoke-on-Trent ICB - Scheme of Financial Delegation (Delegated Limits)

The values stated in the table below are per individual CCG

Definitions	
Line Manager	Must be a minimum Band 8c based upon the Agenda for Change Pay Bands
Designated Budget Holder (if not specifically mentioned they are identified by their Agenda for Change Pay Band)	Identified through the Authorised Signatory List signed by Executive Director or Managing Director. Approval Limit to a maximum limit by Agenda for Change Pay Band
Pay Band 6	<£1,000
Pay Band 7	<£5,000
Pay Band 8a	<£10,000
Pay Band 8b	<£25,000
Pay Band 8c	<£50,000
Pay Band 8d	<£75,000
Pay Band 9	<£100,000
Finance Business Partner	Defined as Deputy Chief Finance Officer, Head of Commissioning Finance, Financial Controller, Head of Financial Planning and Head of Contracted Commissioning Finance

REF	Delegated To	Financial Limit (excluding VAT)
1	QUOTATION AND TENDER LIMITS	
	In accordance with the CCG's Standing Financial Instructions, quotations and tenders should be obtained for goods and services in accordance with the following limits:	
	Informal Price Testing	Designated Budget Holder/Deputy Chief Finance Officer Up to £20,000
	2 Competitive Quotations Required	Designated Budget Holder/Deputy Chief Finance Officer £20,001 - £50,000
	3 Competitive Quotations Required	Designated Budget Holder/Deputy Chief Finance Officer £50,001 - £100,000
	In accordance with Procurement Legislation/Compliant Framework - Formal Tendering unless exclusion by special arrangements negotiated with NHSE/I, Tender Waiver or Supplier registered to a compliant framework	Chief Finance Officer and Chief Executive £100,001 - £500,000
	In accordance with Procurement Legislation/Compliant Framework - Formal Tendering unless exclusion by special arrangements negotiated with NHSE/I, Tender Waiver or Supplier registered to a compliant framework	ICB Board approval - Chief Finance Officer or Chief Executive allowed to sign if ICB Board approval given. Over £500,000
2	WAIVING OF TENDERING / QUOTATIONS	
	Delegated authority to waive the requirement to seek tenders for goods/services, or to obtain quotations, or to accept a tender or quotation which is not the lowest	Chief Finance Officer/Chief Executive Up to £500,000
	The reasons for seeking a single tender waiver must be documented using the CCG single tender waiver form. The Audit Committee will receive a periodic report of all single tender waiver requests approved.	ICB Board approval - Chief Finance Officer or Chief Executive allowed to sign if ICB Board approval given. Over £500,000
3	CONTRACT AWARD (INCLUDING GRANT AWARDS)	
	Providing all the conditions set out in the Prime Financial Policies relating to procurement have been met, formal approval and awarding of a contract may be undertaken in accordance with the delegated limits specified. (The limits are total contract values)	Designated Budget Holder Up to £100,000 dependent upon Agenda for Change Banding of Budget Holder Executive Director/Managing Director Up to £500,000 Chief Finance Officer Up to £2,000,000 Chief Executive and Chief Finance Officer acting jointly Up to £4,000,000 ICB Board Over £4,000,000
4	CONTRACT SIGNATURE	
	Delegated authority to sign contracts on behalf of the CCG, within the CCG's approved revenue budget (The limits are total contract values)	Executive Director of Commissioning & Operations/Managing Director/Chief Transformation Officer/Chief Delivery Officer Up to £10,000,000 Chief Finance Officer/Chief Executive Over £10,000,000
	Delegated authority to sign primary care medical contracts approved by the Primary Care Committee, within the delegated budget from NHSE and the CCG's approved revenue budget.	Chief Finance Officer/Chief Executive/Executive Director of Primary Care and Medicines Optimisation/Chief Transformation Officer Unlimited
5	APPROVAL OF HEALTHCARE CONTRACT MANDATE PAYMENTS	
	Delegated authority to approve monthly mandate payments against Provider service level agreements and other healthcare contracts.	Finance Business Partner/Senior Financial Accountant/Managing Director/Executive Director 1/12 of annual contract value Chief Finance Officer Unlimited

6 CONTRACT OVERPERFORMANCE			
Any Over performance activity for contracts where SLA in place and offset by financial under performance within the same portfolio. This includes overperformance against an Expected Annual Contract Value i.e. Any Qualified Provider Service	Executive Director/Managing Director	Up to 2.5% of total contract value	
	Chief Executive and Chief Finance Officer acting jointly	Up to 2.5% of total contract value	
Any Over performance activity for contracts where SLA in place and not offset by financial under performance within the same portfolio. This includes overperformance against an Expected Annual Contract Value i.e. Any Qualified Provider Service	ICB Board	Unlimited	
7 APPROVAL OF REVENUE EXPENDITURE (excluding CHC)			
These delegated limits relate to approval of expenditure that is Business as Usual – this excludes any new or novel expenditure and excludes approval of significant variations to existing expenditure. For all new investments refer to the Business Case section. Note : • Authority limits of individual officers must be set out in an approved Accountability Card. • Expenditure must be covered by a relevant budget • These expenditure limits can only be exercised when all other relevant and applicable conditions and circumstances as set out in the CCG's Prime Financial Policies have been complied with. For example, obtaining quotations or tenders.	Designated Budget Holder	Up to £100,000 dependent upon Agenda for Change Banding of Budget Holder	
	Executive Director/Managing Director	Up to £2,000,000	
	Chief Finance Officer/Chief Executive - subject to approval by ICB Board	Over £2,000,000	
8 APPROVAL OF CAPITAL EXPENDITURE			
Capital Schemes – Following Governing Body Approval of the Capital Programme	Chief Executive and Chief Financial Officer to approve and delegate to Project Leads for the approved Capital Schemes.	All Amounts	
9 ENGAGEMENT OF CONSULTANCY AND AGENCY SUPPORT STAFF			
Delegated authority to engage consultancy support and agency staff. Amounts specified are in respect of any one individual, firm or role, and are cumulative in the case of extensions. Tendering processes highlighted in this document (ref 1 & 2) must be adhered to. (The limits are total contract values) Current NHS England guidance relating to engagement of Agency & Consultancy support must be adhered to: NHSE approval is required for: - consultancy engagements exceeding £50k in value; - agency or contractor staff exceeding £600 per day or 6 months in contract duration.	Executive Director/Managing Director	Up to £50,000 where affordable within non pay budgets	
	Executive Director/Managing Director and Chief Executive/Chief Finance Officer	Over £50,000 where affordable within non pay budgets	
	ICB Board	Unlimited where Consultancy Input is required and not affordable within non pay budgets	
10 APPROVAL OF CONTINUING HEALTHCARE PACKAGES			
Delegated authority to approve continuing healthcare packages with third party providers for individual patients. Note: 1.the delegated authority can only be actioned following approval by the CCG that the patient is eligible for CHC funding. 2.the limits apply to both care home and domiciliary care and are for weekly values 8am - 6pm Monday - Friday			
	Midlands and Lancashire Designated Officer	Up to £3,000	
	Deputy Director of Commissioning & Operations/Deputy Director of Commissioning - Partnerships and Integration	£3,000 - £7,500	
	Chief Executive and Chief Finance Officer acting jointly following recommendation from Executive Director of Commissioning and Operations/Chief Transformation Officer	Over £7,500	
	8am - 6pm Saturday - Sunday	Midlands and Lancashire Designated Officer	Up to £3,000
	CCG Gold on Call	£3,000 - £7,500	
		Gold on Call after which Executive Director of Commissioning and Operations/Chief Transformation Officer will correspond with both the Chief Executive/Chief Finance Officer to seek retrospective approval at the earliest opportunity during the subsequent working week.	Over £7,500
	6pm - 8am Weekdays and Weekends	CCG Gold on Call	Up to £7,500
		Gold on Call after which Executive Director of Commissioning and Operations/Chief Transformation Officer will correspond with both the Chief Executive/Chief Finance Officer to seek retrospective approval at the earliest opportunity during the subsequent working week.	Over £7,500

11 BUSINESS CASES (EXCLUDING PRIMARY CARE DELEGATED COMMISSIONING)		
These are defined as new investments not classed as business as usual. (The limits are annual contract values and can be recurrent or non-recurrent)	Finance and Performance Committee	Up to £1,000,000
	ICB Board	Over £1,000,000
12 BUSINESS CASES - PRIMARY CARE DELEGATED COMMISSIONING		
Delegated authority to approve business cases for procurement or re-procurement of Primary Care services (The limits are annual contract values and can be recurrent or non-recurrent)	Chief Transformation Officer	Nil or Net Neutral cost
	Chief Transformation Officer and Chief Finance Officer acting jointly	Up to £1,000,000
	Finance and Performance Committee	£1,000,000 - £5,000,000
	ICB Board	Over £5,000,000
13 BUDGET VIREMENT LIMITS		
Approval of budget virements / movements within approved revenue budgets.	Designated Budget Holder and Finance Business Partner	Up to £100,000 within own Cost Centre
	Finance Business Partner and Executive Director/Managing Director	Up to £5,000,000
	Chief Finance Officer	Unlimited
14 BALANCE SHEET LIMITS		
Delegated authority to approve balance sheet transactions eg. Creation and utilisation of provisions	Senior Financial Accountant	Up to £1,000,000
	Financial Controller	Up to £5,000,000
	Chief Finance Officer	Unlimited
15 APPROVAL OF PETTY CASH		
Delegated authority to approve purchases from petty cash.	Senior Financial Accountant/Financial Controller	Up to value of petty cash float (currently £250)
16 LOSSES AND SPECIAL PAYMENTS		
Delegated authority to approve special payments as per Losses and Special Payments Policy. Delegated authority to approve losses as per Losses and Special Payments Policy. Note: a summary of losses and special payments must be reported to the Audit Committee at least annually	Chief Finance Officer	Up to £95,000
	Chief Finance Officer	Up to £300,000
	NHS England	Special Payments Over £100,000
		Losses Over £300,000
17 FEES AND CHARGES		
Overseas visitors, Income generation and other patient related services In line with Local and National Policies	Deputy Chief Finance Officer and Executive Director/Managing Director	Unlimited
18 CREDIT NOTES		
Raising of credit notes following the issue of an original invoice	Designated Budget Holder	Up to £25,000
	Deputy Chief Finance Officer	£25,001 - £150,000
	Chief Finance Officer	Over £150,000
19 CLINICAL SUPPORT PAYMENTS/EXECUTIVE BOARD PAYMENTS OUTSIDE OF PAYROLL		
Clinical Support Proforma to be completed- Recording Role Requirements and agreed sessions in accordance with Remuneration agreed rate and within overall Budget resource as per individual cost centre. Remuneration Committee agrees rates for reimbursement/sessions Payment of GP/Practice Manager Executive Invoices for Governing Body roles - Invoices submitted in accordance with Remuneration Committee Rate and agreed Sessions. Where not on payroll i.e. Practice Manager Executive. All such roles should now be paid through the payroll.	Designated Budget Holder	Up to £25,000
	Executive Director of Corporate Services, Governance and Communications/Chief Medical Officer	£25,001 - £75,000
	Executive Director of Corporate Services, Governance and Communications/Chief Medical Officer and Chief Finance Officer	Over £75,000
	Chief Finance Officer/Chief Executive	Unlimited

20 EMPLOYMENT RELATED TRANSACTIONS - PERSONAL & PAY		
Authority to fill funded posts within establishment	Chief Executive/Chief Finance Officer/Executive Director/Managing Director. Can be delegated to nominated Deputy Directors	
Authority to appoint staff to post without establishment post if not affordable within Pay financial envelope	Chief Executive	
Changes to Grade/WTE MIX not in line with establishment but affordable within Pay financial envelope	Chief Executive/Chief Finance Officer/Executive Director/Managing Director	
Appointment of posts - where Market payment required outside normal A4C conditions	Remuneration Committee	
Authority to complete standard forms for Starters	Chief Executive/Chief Finance Officer/Executive Director/Managing Director	
Authority to complete standard forms for leavers	Chief Executive/Chief Finance Officer/Executive Director/Managing Director	
Authority to authorise overtime excluding Urgent Care Team	Chief Finance Officer/Chief Executive	
Authority to authorise overtime Urgent Care Team only	Deputy Director of Commissioning and Operations	
Authority to authorise Travel and Subsistence expenses	Line Manager	
Authority to authorise Leave	Line Manager, can be delegated to Band 8a	
Approval Study leave	Line Manager	
Approval Compassionate/Special Leave < 5 days	Line Manager	
Approval Compassionate /Special Leave >5 days	Line Manager	
Time off in Lieu	Line Manager	
Maternity Leave - Paid and Unpaid	As per HR Guidance	
Authorisation of Sick Leave	Line Manager	
Extensions to Sick leave pay arrangements i.e. Full pay on phased return etc.	Line Manager in conjunction with advice from HR	
Salary Advances	Line Manager	
Nominal Role	Line Manager	
Travel Request Forms	Line Manager	
Training Approval Forms	Line Manager	
Lease Car Authorisation	Line Manager	
21 PERSONAL HEALTH BUDGETS		
Delegated authority to approve Personal Health Budget packages with third party providers for individual patients. Note: 1.The delegated authority can only be actioned following approval by the CCG that the patient is eligible for PHB funding. 2.the limits are for weekly values per package of care	Deputy Director of Commissioning & Operations/Deputy Director of Commissioning - Partnerships and Integration	Up to £7,500
	Chief Executive and Chief Finance Officer acting jointly following recommendation from Executive Director of Commissioning and Operations/Chief Transformation Officer	Over £7,500
22 SECTION 117s		
Delegated authority to approve Joint Funded packages for individual patients. Note: 1.The delegated authority can only be actioned following approval by the CCG that the patient is eligible for Section 117 funding. 2.the limits are for weekly values per package of care	Midlands and Lancashire Designated Officer	Up to £2,000
	Deputy Director of Commissioning & Operations/Deputy Director of Commissioning - Partnerships and Integration	£2,000 - £7,500
	Chief Executive and Chief Finance Officer acting jointly following recommendation from Executive Director of Commissioning and Operations/Chief Transformation Officer	Over £7,500

23 PRIOR APPROVALS/INDIVIDUAL PACKAGES OF CARE		
Delegated authority to approve packages of care outside of commissioning policy/core services with third party providers for individual patients. Note: 1.the limits are for weekly values per package of care	Deputy Director of Commissioning & Operations/Deputy Director of Commissioning - Partnerships and Integration and Managing Director	Up to £7,500
	Chief Executive and Chief Finance Officer acting jointly following recommendation from Executive Director of Commissioning and Operations/Chief Transformation Officer	Over £7,500
24 INDIVIDUAL FUNDING REQUESTS		
Delegated authority to approve packages of care outside of commissioning policy/core services with third party providers for individual patients. Note: 1.the limits are for annual values per package of care	Executive Director of Commissioning and Operations/Chief Transformation Officer following panel review	Up to £250,000
	Chief Executive and Chief Finance Officer acting jointly following recommendation from Executive Director of Commissioning and Operations/Chief Transformation Officer	Over £250,000
25 CHILDREN AND YOUNG PEOPLE COMPLEX CASES		
Delegated authority to approve packages of care at individual patient level to make a contribution to the delivery of care to meet identified health needs of a Child or Younger Person following a panel review. Note: 1.the limits are for weekly values per package of care	Senior Strategic Lead	Up to £1,000
	Head of Strategic Commissioning	£1,000 - £3,000
	Deputy Director of Commissioning- Partnership and Integration	£3,000 - £7,500
	Chief Executive and Chief Finance Officer acting jointly following recommendation from Executive Director of Commissioning and Operations	Over £7,500
26 DISPOSAL OF ASSETS		
Sale or Gifting of any Assets	Chief Finance Officer and reported to Audit Committee	Unlimited

	Officer	Deputy Officer
In the event of the Officer identified in the table opposite being unavailable (eg. annual leave or sickness) then the relevant deputy officer, as identified in the table, may assume the delegated authority of that post holder.	Chief Executive	Chief Finance Officer and Deputy Accountable Officer or Executive Director if nominated by Accountable Officer
In the event that both the Accountable Officer and the Chief Finance Officer are unavailable at the same time then the Deputy Chief Finance Officer will not be able to assume the delegated authority of the Accountable Officer. Approval must be held until either the Chief Executive or Chief Finance Officer become available, or interim management arrangements have been put in place.	Chief Finance Officer	Deputy Chief Finance Officer