

NHS Wiltshire Clinical Commissioning Group
Governing Body
Paper Summary Sheet
Date of Meeting: 24 September 2013

For: Decision Discussion Noting

Agenda Item and title:	GOV/13/09/11 Review of Scheme of Delegation
Author:	Steve Perkins, Deputy Chief Financial Officer
Lead Director/GP from CCG:	Simon Truelove, Chief Financial Officer
Executive summary:	Following the establishment of the CCG and individual staff roles and responsibilities, this paper expands upon the detail already contained within scheme of delegation to provide further clarity on delegated limits and responsibilities.
Evidence in support of arguments:	n/a
Who has been involved/contributed:	Finance and Corporate Affairs Directorates, Audit Committee
Cross Reference to Strategic Objectives:	n/a
Engagement and Involvement:	n/a
Communications Issues:	To be updated within the Constitution document and circulated to staff.
Financial Implications:	Unclear arrangements may lead to staff committing resource which are outside of their remit with potential significant implications.
Review arrangements:	Annual
Risk Management:	The scheme of delegation complies with the risk management of the organisation.

National Policy/ Legislation:	n/a
Equality & Diversity:	n/a
Other External Assessment:	n/a
What specific action do you wish the Governing Body to take?	The Governing Body are asked to agree the changes to the scheme of delegation.

NHS Wiltshire Clinical Commissioning Group
Audit and Assurance Committee
Review of Scheme of Delegation
24th September 2013

1 Introduction

NHS Wiltshire Clinical Commissioning Group (WCCG) was established on the 1st April 2013. As part of the authorisation process the organisation developed a constitution which included a scheme of delegation.

The scheme of delegation was formulated prior to the final structures of the CCG being agreed and has been reviewed to ensure that the identified staff groups with delegated authority are both appropriate and able to be related back to the CCG structure.

2 Delegated authorities

The current scheme of delegation makes reference to specific roles within the organisation e.g. Group Directors but also includes some generic descriptions e.g. Head of Service.

As part of the review of the scheme of delegation clarity over the identified roles has been provided and can be seen within table 1 below:

Table 1: Identified roles within scheme of delegation

Area	Sub area	Group Executive	Exec Director	Heads of Service	Senior Lead	Other
Executive			CO		Business Manager to Chief Officer	Clinical chair
Finance and Information			CFO	Deputy CFO Head of Information Chief Accountant		
Corporate Services			Director of Planning, Performance and Corporate Affairs	Head of PMO Head of Communications		
Quality and Patient Safety			Director of Quality and Patient Safety	Head of CHC Head of Medicines Management	CHC Business Manager Head of Referral Support Service Prior Approvals & Exceptions Manager	Medical Director CHC panel chair
Groups	WWYKD	WWYKD Director WWYKD Chair and GP members	WWYKD Director	Associate Director of Commissioning (Urgent Care) Associated Director of Commissioning (Mental Health)	Commissioning Manager	
	NEW	NEW Director NEW Chair and GP members	NEW Director	Associate Director of Commissioning	Commissioning Manager	
	SARUM	SARUM Director SARUM Chair and GP members	SARUM Director	Associate Director of Commissioning	Commissioning Manager	

Appendix 1 contains the scheme of delegation exert showing the current delegated authorities and the proposed updated delegated authorities along with an updated introductory narrative to go with the scheme of delegation.

The update includes one change from the previous scheme of delegation to provide an out of hours on-call manager with the ability to commit resources to support the CCG's response in an emergency situation.

The updates to the scheme of delegation have been provided to the audit committee who have agreed them in principle.

3 Recommendation

The Governing Body are asked to agree the revisions to the scheme of delegation for incorporation into the WCCG constitution.

4 Appendices

Appendix 1: Scheme of delegation comparison and introductory narrative.

Appendix 1: Scheme of delegation comparison and introductory narrative

The Scheme of Delegation is a key document which defines the delegated responsibilities across the organisation. The Scheme of Delegation should be read alongside the Scheme of Reservation which sets out those powers reserved to the Governing Body and its Sub-Committees. The Scheme of Delegation supports delivery of CCG Standing Financial Instructions and Standing Orders. All these documents are available on the CCG Intranet and are part of the CCG Constitution.

All powers delegated by the Chief Officer can be re-assumed by him/her should the need arise. The Chief Officer retains the CCG accountability for delegated functions.

For the purpose of this document the phrase 'employee' includes all employees of the CCG, clinicians, bank and agency staff and contractors including management consultants employed by the CCG. Those employing contractors or agency staff or management consultants are required to make them aware of the provision of this Scheme of Delegation.

Delegation to Groups

This document reflects the likelihood that the majority of transactions will take place within the Group structure and the following paragraphs should be read within this context.

Where the scheme of delegation refers to GPs, it is intended that only executive GPs with employment contracts, or similar, with the CCG will be given delegated authority under the scheme of delegation.

Under the Integrated Single Financial Environment (ISFE) each cost centre may have one or more Heads of Service or Senior leads acting as a budget manager – a list of current commissioning and contracting managers per cost centre is available from the finance department. For all matters the commissioning lead may delegate signing powers to authorised signatories however the commissioning lead retains responsibility for ensuring that signatories work within this scheme of delegation. Commissioning leads have a responsibility to flag any issues around their budgets to their Group Director and ultimately to Chief Financial Officer or Chief Officer.

The Chief Officer, Chief Financial Officer and Deputy Chief Financial Officer may act as a budget signatory in the absence of any Head of Service or Senior Lead. Group Directors have ultimate responsibility for ensuring that Commissioning and Contracting Managers are compliant with these procedures.

Delegations to other members of the CCG Management Team

The CCG structure contains other departments which will support the CCG to discharge its responsibilities. These departments are summarised as:

Quality and Patient Safety
Corporate Services
Finance and Information

The head of each department reports directly to the Chief Officer and will have delegated responsibilities in line with the Group Director posts who also report directly to the Chief Officer.

Within each department there are senior members of staff, some with line management responsibilities, who will have comparable delegated responsibilities to those associated with the Associate Directors of Commissioning identified throughout this document, referred to as Heads of Service.

There is another group of staff identified as Senior Leads who, due to their function and position in the organisation (and not exclusively their status), require delegated authority to perform certain duties.

The table below identifies the different groups of staff specified in this scheme of delegation and post which are associated with them.

On call managers

Where a member of staff is nominated as being on-call in response to out of hours health incident responses for the CCG for that period, if they are not already identified as being a Head of Service they will be authorised to spend in line with section 3.3 of the scheme of delegation and can commit up to £25k of non-pay expenditure.

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Area	Sub area	Group Executive	Exec Director	Heads of Service	Senior Lead	Other
Executive			CO		Business Manager to Chief Officer	Clinical chair
Finance and Information			CFO	Deputy CFO Head of Information Chief Accountant		
Corporate Services			Director of Planning, Performance and Corporate Affairs	Head of PMO Head of Communications		
Quality and Patient Safety			Director of Quality and Patient Safety	Head of CHC Head of Medicines Management	CHC Business Manager Head of Referral Support Service Prior Approvals & Exceptions Manager	Medical Director CHC panel chair
Groups	WWYKD	WWYKD Director WWYKD Chair and GP members	WWYKD Director	Associate Director of Commissioning (Urgent Care) Associated Director of Commissioning (Mental Health)	Commissioning Manager	
	NEW	NEW Director NEW Chair and GP members	NEW Director	Associate Director of Commissioning	Commissioning Manager	
	SARUM	SARUM Director SARUM Chair and GP members	SARUM Director	Associate Director of Commissioning	Commissioning Manager	

General area	Delegated matter	Current delegated authority	Proposed delegated authority
1. FINANCIAL CONTROL (1.1)	Approving Standing Orders, Standing Financial Instructions, Scheme of Delegation and Reservation	CCG Governing Body	CCG Governing Body
(1.2)	Advice on interpretation of above	Chief Financial Officer	Chief Financial Officer
(1.3)	Ensuring financial procedures are in place	Chief Financial Officer	Chief Financial Officer
(1.4)	Maintaining records of financial procedures and ensuring these are disseminated	Deputy Chief Financial Officer	Deputy Chief Financial Officer
(1.5)	Ensuring staff are aware of financial procedures and their responsibilities under them	Group Finance and Information Managers	Group Finance and Information Managers
(1.6)	Compliance with financial procedures	All staff	All staff
(1.7)	Ensuring staff job descriptions include responsibilities under the scheme of delegation	Accountable Officer	Chief Officer
(1.8)	Ensuring staff are appropriately trained in financial and where necessary contractual matters and are competent to undertake their roles effectively	Group Director through PDP and Appraisal / Directors and Heads of Departments	Exec Directors and Heads of Service through PDP and Appraisal
(1.9)	Ensure the dissemination of all contractual information is appropriate to all relevant staff	Commissioning and Contract Manager	Commissioning and Contract Manager
(1.10)	Ensuring via their Group Director that they have the skills to manage responsibilities under the Scheme of Delegation	All staff	All staff
(1.11)	Ensuring that there are appropriate budget holders for each	Group Directors, and other Directors / Head of	Exec Directors and Heads of Service

	budget and that they are aware of their budgetary responsibilities and have appropriate training	Service	
(1.12)	Ensuring that there are appropriate authorised signatories for each budget and that authorised signatories are aware of their budgetary responsibilities and have appropriate training	Group Directors, and other Directors / Head of Service	Exec Directors and Heads of Service
(1.13)	Committing expenditure only where authorised to do so and within scheme of delegation and budget	All Commissioning and Contracting Managers and authorised signatories	All staff
(1.14)	Informing Chief Accountant of changes to authorised signatories	Commissioning and Contracting Manager, Group Director, other Directors and Head of Service	Exec Directors and Heads of Service
(1.15)	Maintenance of authorised signatory files including communication	Financial Accountant	Chief Accountant and CSU
(1.16)	Sealing of documents		Chief Officer / Chief Financial Officer
2. BUDGET MANAGEMENT	Ensuring expenditure and income is within budget	Budget Holders	Budget Holders
(2.1)			
(2.2)	Review and monitoring of all revenue schemes above £100,000	Chief Financial Officer	Chief Financial Officer
(2.3)	Ensuring budgets are only used for type of expenditure for which they have been set	Commissioning and Contracting Manager / Head of Service	Exec Director / Head of Service
(2.4)	Participating in budget setting process and agreeing annual budgets	Commissioning and Contracting Manager / Head of Service	Exec Director, Heads of Service,
(2.5)	Delivery of agreed savings targets	Commissioning and	Exec Director, Heads of

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		Contracting Manager / Head of Service	Service,
(2.6)	Use of non-recurring budgets to fund recurring expenditure	Chief Financial Officer	Chief Financial Officer
(2.7)	Approval of expenditure where there is no budget	Accountable Officer	Chief Officer
(2.8)	Delivery of in year initiatives within the required financial envelope	Commissioning and Contracting Manager / Head of Service	Exec Director, Heads of Service,
(2.9)	Budget virements for expenditure above £500,000	Chief Financial Officer, notified to CCG Governing Body	Chief Financial Officer, notified to CCG Governing Body
(2.10)	Budget virements for expenditure below £500,000 and above £150,000	Chief Financial Officer or Deputy Chief Financial Officer and Accountable Officer	Chief Financial Officer or Deputy Chief Financial Officer and Chief Officer
(2.11)	Budget virements for expenditure below £150,000 and above £25,000	Chief Financial officer and Accountable Officer	Chief Financial Officer or Deputy Chief Financial Officer and Chief Officer
(2.12)	Budget virements for income and expenditure below £25,000	Group Executive and Head of Service	Group Executive and Head of Service
(2.13)	Budget virements which assume additional income or reduce income above £25,000	Deputy Chief Financial Officer Above £100k – Chief Financial Officer	Deputy Chief Financial Officer Above £100k – Chief Financial Officer
(2.14)	Budget virements from Group inflation or other Group reserves	Group Executive and Head of Service	Group Executive and Head of Service
(2.15)	Month end – signoff that Governing Body reporting is the same as the general ledger	Deputy Chief Financial Officer	Deputy Chief Financial Officer
3. NON PAY EXPENDITURE (3.1)	General orders for goods or services < £1,000	Commissioning and Contracting Manager	Heads of Service

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(3.2)	General orders for non-capital goods or services £1,000 - £5,000	Commissioning and Contracting Manager / Head of Service	Head of Service
(3.3)	General orders for non-capital goods or services £5,000 - £25,000	Group Director or Group Chair / Head of Service	Group Director / Group Chair / Head of Service / Senior Lead
(3.4)	General orders for goods or services £25,000-£150,000	Group Director or Group Chair and CFO / Head of Service	Group Director / Group Chair / Chief Financial Officer
(3.5)	General orders for non-capital goods or services £150,000 - £500,000	Accountable Officer/CFO/Group Chair	Chief Officer, Chief Financial Officer, Group Chair
(3.6)	General orders for non- capital goods or services above £500,000	CCG Governing Body	CCG Governing Body
(3.7)	Drug orders up to £50,000	Head of Medicine Management	Head of Medicine Management
(3.8)	Drug orders above £50,000	Chief Financial Officer	Chief Financial Officer
(3.9)	Utilities contracts	Group Director / Head of Service	Director of Planning, Performance and Corporate Affairs
(3.10)	Continuing Health Care (CHC) packages above £150,000 annually		Chief Officer, Chief Financial Officer
(3.11)	Continuing Health Care (CHC) packages up to £150,000 annually	Nursing Lead	Director of Quality and Patient Safety
(3.12)	Continuing Healthcare (CHC) packages up to £50,000 annually		Head of CHC / Panel Chair
(3.13)	Legal services where budget is available	Director of Planning, Performance and Corporate Affairs	Director of Planning, Performance and Corporate Affairs
(3.14)	Legal services where no budget is available	Chief Financial Officer or Accountable Officer	Chief Financial Officer or Chief Officer
(3.15)	Consultancy services <£20,000 full cost where budget is	Chief Financial Officer	Chief Financial Officer

	available		
(3.16)	Consultancy services > £20,000 or where no budget is available	Accountable Officer	Chief Officer
(3.17)	Orders from other NHS organisations within an SLA	Commissioning and Contracting Manager / Head of Service	Head of Service
(3.18)	Approval of prepayments excluding subscriptions and training course fees	Chief Financial Officer	Chief Financial Officer
(3.19)	Balance sheet payments including payroll deductions, GMS/PMS Pay overs, Pension Pay overs FHS & other payroll deductions.	Financial Accountant	Chief Accountant and CSU
(3.20)	Commitment to fund exceptional treatments or care up to £100,000	Director of Quality and Patient Safety or Clinical Chair	Director of Quality and Patient Safety or Clinical Chair
(3.21)	Commitment to fund exceptional treatments or care above £100,000	Director of Quality and Patient Safety or Clinical Chair countersigned by Accountable Officer	Director of Quality and Patient Safety or Clinical Chair countersigned by Chief Officer
(3.22)	Non recurrent budgets should not be used to finance recurrent expenditure without prior approval	Chief Financial Officer	Chief Financial Officer
4. TENDERING AND CONTRACTING			
(4.1)	Contract signature (all)	Chief Financial Officer	Chief Financial Officer
(4.2)	Contracts up to £1,000	No formal requirement to tender but best value must be demonstrated by Commissioning and Contracting Manager	No formal requirement to tender but best value must be demonstrated by Heads of Service
(4.3)	Contracts between £1,000 and £5,000	2 written quotations by Commissioning and Contracting Manager	2 written quotations by Heads of Service

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(4.4)	Contracts over £5,000	3 formal quotations by Purchasing and Supplies	3 formal quotations by Purchasing and Supplies
(4.5)	Contracts over £25,000	3 formal tenders by Purchasing and Supplies	3 formal tenders by Purchasing and Supplies
(4.6)	Contracts above EU OJEU limits	EU OJEU process by Purchasing and Supplies	EU OJEU process by Purchasing and Supplies
(4.7)	Waiving or varying tendering or quotation requirements including where commissioned from an NHS provider as a contract variation	Chief Financial Officer after agreement with Purchasing and Supplies	Chief Financial Officer after agreement with Purchasing and Supplies
(4.8)	Approval to accept tender/quote other than the lowest that meet the award criteria	Chief Financial Officer	Chief Financial Officer
(4.9)	Approval to go to tender	Chief Financial Officer for contract of <£100,000, Governing Body for contract over £100,000	Chief Financial Officer for contract of <£100,000, Governing Body for contract over £100,000
5. PETTY CASH 5.1	Up to £35 per item reimbursement of patient monies or petty cash	Commissioning and Contracting Manager, Head of Service	Business manager to Chief Officer
5.2	Above £35	Chief Financial Officer	Chief Financial Officer
6. PARTNERSHIP ARRANGEMENTS INCLUDING SLAS AND CONTRACTS (6.1)	Ensuring there is a contract or SLA in place for commissioned services by the CCG, ensuring these correctly reflect CCG intentions and provide value for money. Ensuring these are on the CCG contracts register	Group Directors	Exec Directors
(6.2)	Overall lead for all partnership arrangements within the Wilts CCG including preparing partnership strategy and ensuring monitoring arrangements	Group Director with lead for Partnerships	Director of Planning, Performance and Corporate Affairs
(6.3)	Agreeing strategy for contracts	Chief Financial Officer	Chief Financial Officer

	>£100,000		
(6.4)	Negotiating and managing contract or SLA for services commissioned or provided by the CCG and ensuring these correctly reflect the CCG's commissioning intentions and provide value for money and that reporting is provided on performance including corrective action if required. Ensuring contracts are on the contracts register	Group Commissioning and Contract Managers	Exec Directors, Heads of Service
(6.5)	Signing contracts and SLAs for services commissioned by the CCG within the NHS	Accountable Officer or Chief Financial Officer	Chief Officer or Chief Financial Officer
(6.6)	Signing contracts for services commissioned by the CCG to non-NHS purchasers	Accountable Officer or Chief Financial Officer	Chief Officer or Chief Financial Officer
(6.7)	Renewal of contracts for services provided by or commissioned by the CCG	Accountable Officer or Chief Financial Officer	Chief Officer or Chief Financial Officer
(6.8)	Termination of contracts	Accountable Officer or Chief Financial Officer	Chief Officer or Chief Financial Officer
(6.9)	Ensuring that contract variations are prepared for all significant over performance >£50,000	Group Commissioning Managers	Heads of Service
(6.10)	Authority to provide services without contract	Accountable Officer or Chief Financial Officer	Chief Officer or Chief Financial Officer
(6.11)	Delivery of stakeholder partnership agreements	Group Director with Lead for Partnership Arrangements	Director of Planning, Performance and Corporate Affairs
(6.12)	Ensuring that contracts are effectively managed and deliver VFM. Ensuring all authorisations of invoices is in line with the thresholds detailed in the Scheme	Group Commissioning Managers	Exec Directors, Associate Directors and Senior Managers

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(6.13)	Approval of contract variations. Over performance against budget forecast exceeds the plan by either £10,000 or 1% of budget whichever is the least	Chief Financial Officer	Chief Financial Officer
(6.14)	Approval of grant and private sector funding applications for R & D and signing R&D indemnity forms	Accountable Officer or Chief Financial Officer	Chief Officer or Chief Financial Officer
(6.15)	Authorisation of clinical trials	Chair	Clinical Chair
7. INCOME (7.1)	Ensuring that income due to the CCG is collected via an invoice request	Manager providing the service for which income is due	Manager providing the service for which income is due
(7.2)	Request to raise an invoice	Budget Holder or Financial Accountant	Budget holder
(7.3)	Cancellation of invoices <£5,000 relating to current financial year; NB. cancellation of invoices relates to where invoices were incorrectly raised. Where payment will not be forthcoming even though the invoice was correctly raised this is a bad debt (see below)	Deputy CFO on recommendation of Invoice Originator	Deputy CFO on recommendation of Invoice Originator
(7.4)	Cancellation of invoices >£5,000 relating to current financial year or prior financial year	Deputy CFO on recommendation from Invoice Originator	Deputy CFO on recommendation from Invoice Originator
(7.5)	Cancellation of invoices >£75,000 relating to the current financial year	Chief Financial Officer	Chief Financial Officer
(7.6)	Cancellation of invoices relating to prior year and more than £5,000	Chief Financial Officer	Chief Financial Officer
(7.7)	Authority to pursue legal action for bad debts	Chief Financial Officer	Chief Financial Officer
(7.8)	Write off of bad debt in year < £5,000 Write off of bad debt in year > £5,000	Deputy CFO CFO	Deputy CFO CFO
(7.9)	Approval of write-offs relating to	Deputy CFO	Deputy CFO

	overpayments of salary < £1000		
(7.10)	Approval of write-offs relating to overpayments of salary > £1000	Chief Financial Officer	Chief Financial Officer
(7.11)	Maximise income opportunities	Commissioning and Contracting Manager / Head of Service	Commissioning and Contracting Manager, Head of Service
8. PROCEDURAL DOCUMENTS		CCG Governing Body	CCG Governing Body
(8.1)			
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(8.16)			
(8.17)			
(8.19)			
(8.20)			
(8.1)	CCG Constitution, Scheme of Reservation and Delegation of Powers, Standing Orders and Prime Financial Policies.	CCG Governing Body	CCG Governing Body
(8.2)	Approval of CCG Strategies	CCG Governing Body	CCG Governing Body
(8.3)	Health and Safety Policy	CCG Governing Body	CCG Governing Body

(8.4)	Risk Management Policy	CCG Governing Body	CCG Governing Body
(8.5)	Major Incident Policy	CCG Governing Body	CCG Governing Body
(8.6)	Remaining Procedural Documents (including Polices, Protocols and Procedures)	Quality & Clinical Governance Committee Audit and Assurance Committee Finance and Information Committee	Quality & Clinical Governance Committee Audit and Assurance Committee Finance and Information Committee
(8.7)	Ensure all strategies and procedural documents follow CCG prescribed format and approval mechanism.	Lead Executive	Lead Executive
(8.8)	Ensure all approved documents are appropriately and effectively communicated to staff and, where appropriate, CCG Stakeholders.	Lead Executive	Lead Executive
(8.9)	Ensure staff are appropriately trained to reflect the roles and responsibilities of approved procedural documents.	Lead Executive	Lead Executive
(8.10)	Ensure that procedural documents are reviewed and, where necessary, updated after the agreed time period.	Lead Executive	Lead Executive
9. BUSINESS PLANNING			
(9.1)	Approve 3 year business plan and medium term financial strategy, workforce, capital and IT plans	CCG Governing Body	CCG Governing Body
(9.2)	Approve annual business plan, budget and LDP	CCG Governing Body	CCG Governing Body
(9.3)	Develop and deliver Group business plans for activity, workforce, quality and finance to deliver Wilts CCG objectives	Group Directors	Group Directors
(9.4)	Monitor delivery of business plans and take corrective action where required	Director of Planning Performance & Corporate	Director of Planning Performance &

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		Services/CFO	Corporate Services/CFO
10. RECRUITMENT OF STAFF			
(10.1)	Approval of vacancy forms	Group Director / Head of Service	Exec Directors, Head of Service
(10.2)	Authority to appoint staff to post not on the establishment	Accountable Officer	Chief Officer
(10.3)	Appointment of staff	Group Director / Head of Service	Exec Director, , Head of Service, Senior Managers
(10.4)	Ensuring that staff on fixed term contracts are reviewed prior to their appointment coming to an end	CFO/Group Director	Exec Directors
(10.5)	Authorising overtime and accrual of Time off in Lieu	Group Director / Head of Service	Exec Director, Head of Service
(10.6)	Authorising use of bank	Group Director / Head of Service	Exec Director / Head of Service
(10.7)	Authorising employment of locum or agency staff together with associated timesheets	Group Director / Head of Service	Exec Director / Head of Service
(10.8)	Identifying whether a member of staff is an <i>employee</i> or contractor	Group Director / Head of Service	Exec Director / Head of Service
(10.9)	Provision of induction for all staff including statutory and mandatory training		Exec Director
(10.10)	Up keep of personal files in line with current guidance		Line managers
11. EXPENSES			
(11.1)	Authorise travel expenses including parking and exam fees	Group Director	Exec Director, , Head of Service
(11.2)	Submission of travel expenses within 3 months of incurring expenditure (or recognise risk of non-payment)	All employees	All employees
(11.3)	Authorise travel expenses over 3 months' old or relating to the previous	Chief Financial Officer	Chief Financial Officer

	financial year		
(11.4)	Authorise overseas travel funded by Wilts CCG	CFO	Chief Financial Officer
(11.5)	Authorise non travel and subsistence claims	CFO	Chief Financial Officer
(11.6)	Authorise removal expenses up to £6,000	Accountable Officer	Chief Officer
(11.7)	Authorise removal expenses over £6,000 up to £8,000	Accountable Officer	Chief Officer
(11.8)	Authorise interview expenses in exceptional circumstances	Director of Planning, Performance and Corporate Services	Exec Director
12. PAY	Approval of national NHS pay changes to budgets	CFO	Chief Financial Officer
(12.1)	Approval of increase in pay relating to achievement of recognised training role	CFO	Chief Financial Officer
(12.2)	Approval of increase in pay relating to achievement of recognised training role	CFO	Chief Financial Officer
(12.3)	Approve to upgrade or re-grade staff within agreed procedure	Accountable Officer	Chief Officer, Chief Financial Officer
(12.4)	Agreeing policy for any payments to be made to staff outside Agenda for Change terms and conditions	Accountable Officer	Chief Officer
(12.5)	Submission of absence/salary returns and other positive reporting	Group Director / Head of Service	Exec Director / Head of Service
(12.6)	Approval for advances of salary	Chief Financial Officer	Chief Financial Officer
(12.7)	Authorising payments of pay outside the payroll system eg time sheet late change of assignment form	Deputy CFO	Deputy CFO
(12.8)	Starter forms	Group Director / Head of Service	Exec Director, Head of Service
(12.9)	Termination form (following receipt of resignation letter)	Group Director / Head of Service	Exec Director, Head of Service
(12.10)	Termination form (following capability and disciplinary policies)		In line with policy details

(12.11)	Change of personal information inc personal bank details	All employees	All employees
(12.12)	Approval of change of personal information (if required via change of assignment form) relating to contract and/or terms and conditions		Exec Director
(12.13)	Approval of payroll monthly run	Employee Services Assistant Director	Exec Director
13. LEAVE (13.1)	Approval of annual leave within policy	Group Director/Line Managers	Line managers with attention to local arrangements for service cover.
(13.2)	Approval to carry forward up to 5 days annual leave in exceptional circumstances	Group Director	Chief Financial Officer
(13.3)	Approval of leave without pay	Group Director / Head of Service	Exec Director,
(13.4)	Approval of special leave or compassionate leave < 3 days, maternity leave, Carers leave < 5 days and paternity	Group Director / Head of Service	Exec Director, Head of Service
(13.5)	Approval of time off in lieu	Group Director / Head of Service	Exec Director, Head of Service Senior Manager
(13.6)	Approval to return to work part time on full pay	Group Director	Chief Financial Officer
(13.7)	Approval of study leave < 10 days, within budget and training policy	Group Director, except finance qualification training where the Deputy DOF may authorise up to 16 days	Exec Director, except finance qualification training where the Deputy DOF may authorise up to 16 days
(13.8)	Approval of study leave over 10 days	Accountable Officer/Chief	Chief Officer/Chief

		Financial Officer	Financial Officer
(13.9)	Application for ill health retirement	Accountable Officer	Chief Officer
(13.10)	Ensuring all staff are appropriately qualified and registered	CFO/Director of Nursing	CFO/Director of Nursing
(13.11)	Homeworking as part of agreed HR contract	Accountable Officer	Exec Director, Group Director
(13.12)	Homeworking as part of a return to work programme	Group Director / Head of Service	Exec Director, Group Director
(13.13)	Ad-hoc instances of working from home	Group Director / Head of Service	Exec Director, Group Director, Head of Service
(13.14)	Approval of Flexible working application		Head of Service
14. PRIVATE MATTERS CARRIED OUT IN NHS TIME/USING NHS RESOURCES (14.1)	Ensuring that private work is appropriately recorded and paid back where it is carried out in NHS time	All employees	All employees
(14.2)	Ensuring that any Wilts CCG resources used to undertake private work are appropriately recorded and arrangements made to pay back to the Wilts CCG	All employees	All employees
(14.3)	Ensuring that the cost of any mobile phone calls made on Wilts CCG mobile phones are paid back to the Wilts CCG	All employees	All employees
15. CONDUCT AND RAISING CONCERNS (15.1)	Breaches of SFIs, SOs etc	All employees	All employees
(15.2)	Public Interest Disclosures	All employees	All employees
(15.3)	Identification of potential fraud	All employees to alert the	All employees to alert

		counter fraud specialist/ whistleblowing representative on the Governing Body or ring the National NHS Counter Fraud Phone Line or contact the Director of Finance	the counter fraud specialist/ whistleblowing representative on the Governing Body or ring the National NHS Counter Fraud Phone Line or contact the CFO
(15.4)	Investigation of potential fraud		Counter Fraud Service
(15.5)	Approval to involve police in criminal offence other than fraud	AO who would contact the Local Security Management Specialist	Chief Officer who would contact the Local Security Management Specialist
(15.6)	Approval to involve police in any fraud investigation. It is the responsibility of all employees to alert relevant agencies re possible corruption, ie LCFS/NHSCFS/NHS Fraud and Corruption Phone Line	Chief Financial Officer	Chief Financial Officer
(15.7)	Compliance with all CCG policies and procedures including equality and diversity, and information governance	All staff	All staff
(15.8)	Authority to dismiss and other disciplinary matters (in line with HR advice and support).		In line with disciplinary and capability and capacity policies
16. ASSETS (16.1)	Security of all Wilts CCG Assets including stock	All employees	All employees
17. OTHER (17.1)	Declaration of gifts and hospitality	All employees	All employees
(17.2)	Declaration of interests.	All employees and Governing Body members	All employees and Governing Body

	Directorate administrator will maintain register of staff interests within their directorate.		members to maintain correct status.
(17.3)	Compliance with NHS Standards of Conduct and CCG Standards of Business Conduct policy including conflicts of interest and 'duty of fidelity' to employer	All employees	All employees
(17.4)	Authorising acceptance of sponsorship except for catering for events over £500.00	Accountable Officer	Chief Officer
(17.5)	Reporting of losses through fraud and theft etc	Chief Financial Officer	Chief Financial Officer
(17.6)	Ex gratia payments, patients and staff for loss of personal effects less than £1000	Chief Financial Officer	Chief Financial Officer
(17.7)	Ex gratia payments, patients and staff for loss of personal effects £1000 to £15000	Accountable Officer	Chief Officer
(17.8)	Ex gratia payments, patients and staff for loss of personal effects over £15000	CCG Governing Body	CCG Governing Body
(17.9)	Approval of individual compensation payments (staff and former staff) < £50000	Accountable Officer	Chief Officer
(17.10)	Approval of individual compensation payments (staff and former staff) > £50000	CCG Governing Body	CCG Governing Body
(17.11)	Approval of individual compensation payments (patients and former patients) Non NHSLA <£1k	Director of Planning, Performance and Corporate Services	Director of Planning, Performance and Corporate Services
(17.12)	Approval of individual compensation	Accountable Officer and	Chief Officer and CFO

	payments (patients and former patients) Non NHSLA <£10k	CFO	
(17.13)	Approval of individual compensation payments (patients and former patients) >10k or all NHSLA	CCG Governing Body	CCG Governing Body
(17.14)	Compensation payments made under legal obligation	CCG Governing Body	CCG Governing Body
18. TREASURY MANAGEMENT/ CASH	Maintenance and operation of bank accounts	Chief Financial Officer	Chief Financial Officer
(18.1)			
(18.2)	Approving banking arrangements	CCG Governing Body	CCG Governing Body
(18.3)	Approving payments from bank and PGO accounts	2 Signatories Only 1 on HSBC	2 Signatories Only 1 on HSBC
(18.4)	Approving cheque payments	2 Signatories Only 1 on HSBC	2 Signatories Only 1 on HSBC
(18.5)	Requisition for Special Cheque payment	CFO	CFO
(18.6)	Signing RFTs and GS1 schedule	2 Signatories sign all payments Only 1 on HSBC	2 Signatories sign all payments Only 1 on HSBC
(18.7)	Variation to approved signatories	Chief Financial Officer for PGO, Governing Body for HSBC	Chief Financial Officer for PGO, Governing Body for HSBC
(18.8)	Authorisation to create or remove cost centres	Deputy Chief Financial Officer	Deputy Chief Financial Officer
19. FINANCIAL AUDIT	Approving internal, external, clinical and fraud service provision and annual work plans based on CCG objectives and risks	Audit & Assurance Committee	Audit & Assurance Committee
(19.1)			
(19.2)	Agreeing leads, outline specifications	Chief Financial Officer	Chief Financial Officer

	and timescales for each audit		
(19.3)	Ensuring that audit is delivered within specification, timescale and action plan is prepared and agreed	Chief Financial Officer / Deputy Chief Financial Officer	Chief Financial Officer / Deputy Chief Financial Officer
20. INSURANCE AND LEGAL			
(20.1)	Ensuring appropriate insurance cover is in place relating to property and assets	CFO	CFO
(20.2)	Ensuring appropriate insurance cover for employees	CFO	CFO
(20.3)	Ensuring appropriate insurance cover for Public Liability	CFO	CFO
(20.4)	Day to day service liaison with insurance	Head of Planning, Performance and Corporate Services	Director of Planning, Performance and Corporate Affairs
(20.5)	Reporting and handling insurance claims including clinical negligence	Head of Planning, Performance and Corporate Services	Director of Planning, Performance and Corporate Affairs
(20.6)	Authorising of documents relating to litigation against the Wilts CCG which are filed at court	Accountable Officer	Chief Officer
(20.7)	Management of legal claims and advice	Director of Planning, Performance and Corporate Affairs	Director of Planning, Performance and Corporate Affairs
21. ASSETS			
(21.1)	Security of all Wilts CCG Assets including stock	All employees	All employees