

Detailed Scheme of Delegation August 2018

Wiltshire Clinical Commissioning Group

Purpose and Scope

The Scheme of Delegation is a key document which defines the delegated responsibilities across the organisation. It supports the delivery of the CCG's Prime Financial Policies, which are contained within the Constitution.

The CCG is governed by the Governing Body and is supported by the CCG's Management Team and a number of Committees. Certain powers and responsibilities are delegated by the Governing Body to Committees (which are detailed in their Terms of Reference) and to individual employees of the CCG (these are outlined in this Scheme of Delegation). The CCG's Scheme of Reservation shows the responsibilities retained by the Governing Body and Committees.

Only the following committees can make decisions for the CCG, in line with their Terms of Reference, the Scheme of Reservation and the Scheme of Delegation:

1. Governing Body
2. Audit and Assurance Committee
3. Primary Care Commissioning Committee
4. Exceptions and Prior Approvals Committee
5. Finance and Performance Committee
6. Quality and Governance Committee

The following committees have delegated powers to make recommendations, as outlined in the following text:

1. Clinical Executive Committee
2. Remuneration Committee.

The Accountable Officer is the lead officer of the organisation and retains the CCG accountability for delegated functions. During periods of absence (annual leave, sickness, etc.), the functions and decisions delegated to the Accountable Officer, can be taken by the Chief Operating Officer (COO) or Chief Financial Officer (CFO). Similarly, in the absence of the CFO, decisions are delegated to the Deputy Chief Financial Officer, with the support of the Accountable Officer.

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

The CCG structure is designed to enable the CCG to discharge its responsibilities. It is divided into a number of separate directorates:

Executive

Finance and Information

Corporate Services

Quality

Acute Commissioning

Primary and Urgent Care

Community and Joint Specialist Commissioning

The head of each directorate reports directly to the Chief Operating Officer, who, in turn, reports to the Accountable Officer, and will have delegated responsibilities. The exception to this is the Chief Financial Officer, who reports directly to the Accountable Officer. In the scheme of delegation which follows, the directorate head is referred to as the "Executive Director". Where the scheme of delegation refers to GPs, it is intended that only executive GPs with employment contracts with the CCG will be given delegated authority under the scheme of delegation.

On call managers

Where a member of staff is nominated as being on-call in response to out of hours health incident's for the CCG for that period, if they do not already have an expenditure approval limit, they will be authorised to commit up to £25,000 of non-pay expenditure in order to resolve an urgent out of hours need. This limit is increased to £100,000 during a declared major emergency or system escalation.

| GENERAL AREA | DELEGATED MATTER | DELEGATED TO: |
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| (1) BUDGET MANAGEMENT | Production of balanced, annual budget | Chief Financial Officer |
| | Agreement of assumptions and guidance to be used in the construction of the annual budget | Finance and Performance Committee |
| | Production of annual Operating Plan | Accountable Officer |
| | Approve annual operating plan, budget, medium term financial plan, and other relevant plans | Retained by Governing Body |
| | Responsibility to keep expenditure within budgets and to ensure that budgets are only used for the type of expenditure for which they have been set: <ol style="list-style-type: none"> 1. At individual budget level (Pay and Non Pay) 2. At directorate level 3. All Other Areas | <ol style="list-style-type: none"> 1. Budget Holder, as defined by the Executive Director 2. Executive Director 3. Chief Financial Officer |
| | Achievement of annual Operating Plan | Accountable Officer |
| | Budget virements for income and expenditure >£500,000 | Chief Financial Officer, and notified to Governing Body |
| | Budget virements for income and expenditure between £25,000 and £500,000 | Chief Financial Officer or Deputy Chief Financial Officer or Accountable Officer or Chief Operating Officer. |
| | Budget virements for income and expenditure below £25,000 | Executive Director |

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| | Movements from reserves/ assignment of allocations to directorate budgets. | Chief Financial Officer |
| (2) MAINTENANCE AND OPERATION OF BANK ACCOUNTS | Approval of banking arrangements | Chief Financial Officer (Notified to Audit and Assurance Committee) |
| | Variation to approved signatories | 2 of Accountable Officer, Chief Financial Officer or Deputy Chief Financial Officer |
| | Approving payments from GBS bank account (RFT and BACS payments) | 1 of Chief Financial Officer, Deputy Chief Financial Officer, Chief Accountant or Financial Accountant. |
| | Approving cheque payments from GBS Bank account | 1 of Chief Financial Officer, Deputy Chief Financial Officer, Chief Accountant or Financial Accountant. |
| | Drawdown of cash to meet CCG requirements (monthly) | Chief Financial Officer or Deputy Chief Financial Officer |
| | Approval of same-day urgent payments | Chief Financial Officer or Deputy Chief Financial Officer |
| (3) PETTY CASH | Issuing of petty cash up to £50 per claim | Petty Cash Holder (as delegated by Chief Financial Officer) |
| | Issuing of petty cash above £50 per claim | Chief Financial Officer |
| (4) NON PAY REVENUE EXPENDITURE | Approval of business cases to support service pilots, new services or investment up to £150,000 (for implementation within the year or from the next financial year) | Accountable Officer or Chief Financial Officer |
| | Approval of business cases to support service pilots, new services or investment up from £150,000 to | Initial Approval – Executive Management Team |

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| | £500,000 (for implementation within the year or from the next financial year) | Recommendation for approval -- Clinical Executive Group, with the Accountable Officer and Chief Financial Officer in attendance and voting (or nominated deputies) Final approval – Accountable Officer and Chief Financial Officer. |
| | Approval of business cases to support service pilots, new services or investment up over £500,000 (for implementation within the year or from the next financial year) | Initial Approval -Executive Management Team, Recommendation for approval -- Clinical Executive Group, with the Accountable Officer and Chief Financial Officer in attendance and voting (or nominated deputies) Final approval - Governing Body. |
| | Negotiation of annual contracts, taking into account new services and investments, and assuming achievement of Value For Money. | Executive Directors to lead with final sign off by Chief Financial Officer |
| | Approval of purchase orders and invoices with no purchase order >£150,000 | Accountable Officer or Chief Operating Officer or Chief Financial Officer or Deputy Chief Financial Officer |
| | Approval of purchase orders and invoices with no purchase order <£150,000 | Executive Directors |
| | Authority to delegate approval of purchase orders and invoices without purchase order is delegated to Executive Directors. Executive Directors are authorised to delegate | Executive Directors |

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| | <p>the following approval limits to staff within their directorate as appropriate and in line with directorate need: Level 4 <£50k Level 3 <£25k Level 2 <£5k Level 1 <£1k</p> | |
| | <p>Approval of Continuing Healthcare Packages, Adult Personal Health Budget packages and Mental Health/LD placements, up to £50,000 annually per patient (£960 a week)</p> | <p>Associate Director Safeguarding , CHC and Specialist Placements</p> |
| | <p>Approval of Continuing Healthcare Packages, Adult Personal Health Budget packages and Mental Health/LD placements, between £50,000 and £150,000 per patient (from £960 a week to £2,880 per week)</p> | <p>Director of Nursing and Quality and Associate Director Safeguarding, CHC and Specialist Placements</p> |
| | <p>Approval of Continuing Healthcare Packages, Adult Personal Health Budget packages and Mental Health/LD placements, over £150,000 annually per patient (over £2,880 per week)</p> | <p>Director of Nursing and Quality and Accountable Officer or Chief Operating Officer or Chief Financial Officer or Deputy Chief Financial Officer</p> |
| | <p>Approval of Children’s Personal Health Budgets: - up to £50,000 annually (£960 per week) - Over £50,000 annually (£960 per week)</p> | <ul style="list-style-type: none"> - Director of Community and Joint Specialist Commissioning. - Director of Community and Joint Specialist Commissioning and |

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| | | Chief Financial Officer |
| | Commitment to fund exceptional treatments or care up to £100,000 per case | Exceptions and Prior Approvals Panel |
| | Commitment to fund exceptional treatments or care over £100,000 per case | Exception and Prior Approvals Panel and Chief Financial Officer or Deputy Financial Officer |
| | Approval of prepayments, as part of year end process (excluding subscriptions and training course fees) | Chief Financial Officer or Deputy Chief Financial Officer |
| | Payments including payroll deductions, Pension Pay overs & other payroll deductions (known as balance sheet payments). | Chief Financial Officer or Deputy Chief Financial Officer or Chief Accountant or Financial Accountant |
| (5) CAPITAL SCHEMES AND PROPERTY ARRANGEMENTS | Approval of capital schemes or property arrangements, with financial or service implications for the CCG: <ul style="list-style-type: none"> - All values up to £500,000 - Over £500,000 | Chief Financial Officer Chief Financial Officer and Governing Body |
| | Disposal of property, plant and equipment | Chief Financial Officer |
| | Authorisation, granting and termination of leases for all leases – All values | Chief Financial Officer |
| (6) QUOTATION, TENDER and CONTRACT PROCEDURES | Establishment of a contract or SLA for all commissioned services of the CCG, which provide value for money and reflect CCG intentions. | Executive Directors. |
| | Maintenance of a contracts register | Executive Directors. |
| | Where no suitable nationally | No requirement to obtain quotes or |

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| | negotiated framework agreements/contracts are available for use: -Purchase of goods or service contracts up to £ £5,000 | tender but best value must be demonstrated |
| | -Purchase of goods or service contracts over £5,000 | 3 written quotations unless less than 3 potential suppliers exist |
| | -Purchase of goods or service contracts over £50,000 | 3 formal tenders through Procurement Team unless less than 3 potential suppliers exist |
| | -Purchase of goods or service contracts above EU OJEU limits | EU OJEU process using Procurement Team |
| | Opening of tenders (if procurement not being managed by CSU procurement) | 2 Members of Executive Management Team |
| | Approval to accept tender/quote other than the lowest that met the award criteria | Chief Financial Officer |
| | Awarding of contract | Contract value <£500,000 – Chief Financial Officer. Contract value >£500,000 – Governing Body |
| | Waiving of quotations and tenders | Chief Financial Officer and reported to Audit and Assurance Committee |
| | Decision to terminate a contract before term has ended | Any 2 of: Accountable Officer, Chief Operating Officer or Chief Financial Officer |
| | Contract signature (all values) | Accountable Officer or Chief Operating Officer or Chief Financial Officer. Where 2 signatories are needed, and one of the delegated officers is unavailable, authority is given to the |

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| | | Deputy Chief Financial Officer. |
| (7) INCOME COLLECTION | Approval of sales orders: Up to £5,000 | Senior Finance Manager – Acute Commissioning |
| | Up to £25,000 | Chief Accountant |
| | Over £25,000 | Chief Financial Officer or Deputy Chief Financial Officer |
| | Cancellation of invoices relating to current financial year and/or previous financial years, where invoice is to be re-raised for the same value, due to errors on original invoice. | Chief Financial Officer or Deputy Chief Financial Officer or Chief Accountant or Senior Finance Manager – Acute Commissioning. |
| | Cancellation of invoices relating to current financial year or previous financial years, where invoice is NOT subsequently re-raised due to the original invoice being incorrectly raised and funds not due to the CCG. | Chief Financial Officer or Deputy Chief Financial Officer |
| | Write off of non-pay bad debt relating to current or previous year all values | Chief Financial Officer or Deputy Chief Financial Officer reported to Audit and Assurance Committee. |
| | Authority to pursue legal action for bad debts | Chief Financial Officer |
| | Write off of salary overpayment debt all values | Chief Financial Officer or Deputy Chief Financial Officer reported to Audit and Assurance Committee. |
| | Approval of bad debt provision annually | Deputy Chief Financial Officer or Chief Financial Officer |
| (8) RECRUITMENT OF STAFF, PAY AND LEAVE | Approval of Recruitment Request forms | Executive Director and Chief Financial Officer or Deputy Chief Financial Officer |

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| | Appointment of staff | Executive Directors |
| | Appointment of staff on paygrade above scale minimum | Chief Financial Officer on receipt of written justification from budget holder/executive director |
| | Changes to staff structure (i.e. new posts, directorate changes). | Executive Management Team following submission of business case |
| | Maintenance of authorised signatory list | Financial Accountant |
| | Authorisation of overtime | Executive Directors |
| | Approval for salary advances | Chief Financial Officer or Deputy Chief Financial Officer |
| | Approval to carry forward in excess of 5 days annual leave in exceptional circumstances | Chief Financial Officer |
| | Approval of application for ill health retirement | Accountable Officer or Chief Operating Officer |
| | Decisions on redundancy | Accountable Officer or Chief Operating Officer and Chief Financial Officer |
| | Decisions on suspension and dismissal | Executive Directors in line with CCG disciplinary policy. |
| (9) ENGAGEMENT OF STAFF NOT ON THE ESTABLISHMENT | Engagement of consultancy services, and off-payroll workers, at a rate of less than £600 per day excluding VAT and expenses | Chief Financial Officer OR Accountable Officer |
| | Engagement of bank or agency staff, outside the criteria outlined below - Authority to engage off-payroll staff who meet any of the following criteria: - Cost greater than £600 per day, excluding VAT and expenses OR | Executive Director or budget holder with responsibility for pay related expenditure within directorate. - Business Case to be submitted to NHS England using standard pro-forma, before engaging. Business Case must be approved by the AO and |

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| | - Are engaged for a period greater than six months, regardless of cost per day AND Are in roles of significant influence (AO or directors) | CFO before submission. NHS England approves the engagement. |
| | Authority to appoint staff to post not on the establishment | Executive Management Team approval and Chief Financial Officer |
| (10) PROCEDURAL DOCUMENTS | Oversight of the framework of up to date operational policies | Chief Operating Officer |
| | Oversight of the framework of up to date financial policies and procedures | Chief Financial Officer. |
| (11) INSURANCE AND LEGAL | Ensuring appropriate insurance cover is in place for: <ul style="list-style-type: none"> • Property and assets • Public Liability • Employee liability | Chief Financial Officer |
| | Reporting and handling insurance claims | Chief Operating Officer |
| | Management of legal claims and advice, including the signing of legal documents (admission, waivers, settlements, court order response) | Chief Operating Officer |
| | Engagement of CCG's solicitors | Executive Directors via Chief Operating Officer |
| (12) AUDIT | Approval of annual work plans for external audit, internal audit and counter fraud service. | Audit and Assurance Committee |
| | Ensuring that plans are delivered within specification and timescale | Chief Financial Officer |
| | Implementation of audit or counter fraud service recommendations | Appropriate Executive Director and designated officer. |

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| (13) REPORTING OF INCIDENTS TO THE POLICE | Where a fraud is involved | Chief Financial Officer or Accountable Officer or Chief Operating Officer |
| | All other cases where a criminal offence is suspected | Chief Operating Officer |
| (14) PRIMARY CARE | Approval of expenditure in line with Statement of Financial Entitlement for GP contracts (relating to locum reimbursement, clinical waste, rent) | Deputy Director of Primary Care |
| | Approval of non-standard expenditure requests that do not meet the criteria laid out in the Statement of Financial Entitlement for GPs. (e.g. claims for locum reimbursement made after start of absence period). | Deputy Director of Primary Care and Director of Primary and Urgent Care |
| | Approval of decisions relating to the commissioning of primary medical services – including (but not limited to) design of contracts, decisions on practice mergers, establishment of new GP practices, etc. | Business case reviewed by Executive Management Team Approval by Primary Care Commissioning Committee Final approval by Chief Financial Officer. |
| | Approval of payments submitted to Primary Care Support England (PCSE) | Chief Financial Officer or Deputy Chief Financial Officer |
| (15) OTHER | Approval of CCG Constitution, Standing Orders, Prime Financial Policies, Scheme of Delegation, Scheme of Reservation | Retained by Governing Body |
| | Approval of CCG Strategies | Retained by Governing Body |
| | Approval of CCG policies as follows: Health and Safety Risk Management | Audit & Assurance Committee, with ratification by Governing Body |

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| | Major Incident Standards of Business Conduct Commissioning Policies (with legal, budget or public interest implications) | |
| | Approval of other policies and procedures | Audit & Assurance Committee Finance and Information Committee Quality and Clinical Governance Committee Remuneration Committee Primary Care Commissioning Committee |
| | Maintenance of register of interests, and register of gifts, hospitality and sponsorship | Chief Operating Officer |
| | Conflicts of Interest: - reported at Committee meetings - passed on by Committee Chairs and more complex issues, | - Relevant Committee chair - Conflicts of Interest Guardian |
| | Maintenance of Losses and Special Payments Register | Chief Financial Officer |
| | Reporting of losses through fraud and theft etc. | Chief Financial Officer, reported to Audit and Assurance Committee |
| | Ex gratia payments to patients or staff for loss of personal effects, all values | Accountable Officer or Chief Operating Officer or Chief Financial Officer, reported to Audit and Assurance Committee |
| | Approval of individual compensation payments (staff or former staff) | Accountable Officer or Chief Operating Officer or Chief Financial Officer, |

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| | <£50,000 | reported to Audit and Assurance Committee |
| | Approval of individual compensation payments (staff or former staff) >£50,000 | Accountable Officer or Chief Operating Officer or Chief Financial Officer , then ratified by Governing Body |
| | Approval of individual compensation payments (patients or former patients) Non NHS Resolution<£50,000 | Accountable Officer or Chief Operating Officer or Chief Financial Officer, reported to Audit and Assurance Committee |
| | Approval of individual compensation payments (patients or former patients) Non NHS Resolution>£10,000 or all NHS Resolution. | Accountable Officer or Chief Operating Officer or Chief Financial Officer , then ratified by Governing Body |
| | Compensation payments made under legal obligation | Accountable Officer or Chief Operating Officer or Chief Financial Officer , then ratified by Governing Body |
| | Sealing of documents | Accountable Officer or Chief Operating Officer or Chief Financial Officer, ratified by Governing Body |