

## **AUTHORISATION LIMITS**

### **1. SCHEME OF DELEGATION TO EMPLOYEES**

#### **1.1. Introduction**

**1.2.** The Scheme of Delegation covers matters delegated by the CCG to its employees. It details where approval is required by the CCG's Governing Body, Committee and/or Sub-Committee.

**1.3.** Further delegation may be given:

- by the CCG's Governing Body in approving specific management policies
- by the CCG's Governing Body in approving the terms of references for Committees

**1.4.** Each employee will need to consider the arrangements for authorisation of expenditure against budgets that are within their responsibility and the further delegation of management/professional responsibilities where applicable.

**1.5.** Employees representing the CCG on committees and at external meetings must adhere to the authorisation limits within the Scheme of Delegation and act in line with the relevant Terms of References for the relevant committees once ratified by the CCG's governance structures. If decisions are required which will commit CCG resources that exceeds the CCG staff members' personal delegation, the pre-approval should be sought.

**1.6.** The Accountable Officer is the lead officer of the organisation and retains the CCG accountability for delegated functions. During periods of absence, the functions and decisions delegated to the Accountable Officer can be taken by a nominated deputy. Similarly, in the absence of the Chief Financial Officer, decisions are delegated to their nominated deputy with support from the Accountable Officer.

The following abbreviations apply:

BSW Executive	AO	Accountable Officer – BSW Chief Executive
	CFO	Chief Financial Officer
	BSWE	BSW Executive Director (Any)
	EDS	Executive Director of Strategy and Transformation
	DON	Executive Director of Nursing and Quality
	EDW	Executive Director of Workforce
	LD	Locality Director
	EMT	BSW Executive Management Team
Finance	DFO	Deputy Chief Financial Officer
	ADF	Associate Director Finance
Other	CCG	Clinical Commissioning Group
	AD	Associate Director
	SBC	Swindon Borough Council
	CSU	South Central and West CSU
	DH	Department of Health

**1.5.** The CCG's Governing Body exercises overall financial supervision and control by:

- Authorising the annual financial plan
- Requiring the submission and approval of budgets within the CCG's overall allocation
- Defining and approving essential procedures and systems
- Defining specific responsibilities placed on members of the BSW Executive Management Team.

1.6. Once the CCG's Governing Body has reviewed and approved its annual plan it will delegate responsibility

to its employees to commit resources in year in line with the plan subject to the financial thresholds set out in this scheme of delegation.

1.7. For the avoidance of doubt this delegation includes:

- i. Awarding of Contracts including the signing of appropriate contract documentation
- ii. Payment of sums due against approved contracts
- iii. Agreement of contract variations and subsequent amendments to contract payments
- iv. Operation of appropriate procurement processes within agreed financial thresholds
- v. Budgetary delegation including approval of non-pay single orders and payroll expenditure
- vi. Governing Body, Committees / Sub-Committee members and employees as indicated in the Scheme of Delegation; and
- vii. Approving provision of shared services

## BSW: Financial Scheme of Delegation

All financial limits in this schedule apply to each of BaNEs, Swindon and Wiltshire CCGs.

	Area	Ref	Matters delegated	Limit	Delegated to
1	Maintenance and operation of bank accounts	1.1	Maintenance and operation of bank account in accordance with mandates approved by the Government Banking Service	N/A	CFO
		1.2	Authority to operate day to day banking services	N/A	NHS Shared Business services in accordance with 1.1
		1.3	Authority to determine bank signatory panel	N/A	AO
		1.4	Authority to establish direct debits and standing orders	N/A	Bank signatory panel (2 or 3 signatures required depending on account set up)
		1.5	Authority to sign cash draw down requests to DH subject to maximum cash drawdown limits	N/A	CFO or DFO or ADF
		1.6	Authority to release preauthorized payment files on ISFE (BACS, RFT and CHEQUES)	N/A	Finance function
		1.7	Authority to allow SBS to release the deductions payments to HMRC and NHS Pensions	N/A	Finance function
		1.8	Approval of same-day urgent payments	N/A	CFO or DFO or ADF
2	Petty Cash	2.1	Reimbursement of purchases from	£50	Petty Cash holder

	(where applicable)		petty cash	>£50	CFO or DFO or ADF	
3	Capital schemes and property arrangements	3.1	Approval of capital schemes or property arrangements with financial or service implications	£250k	CFO	
			Approval of capital schemes or property arrangements with financial or service implications	>£250k	CFO and Governing Body	
		3.2	Disposal of property plant and equipment and writing out of fully depreciated assets.		CFO notified to the Audit Committee	
		3.3	Authorisation, granting and termination of leases	All values	CFO	
		3.4	Authority to sign PID documentation to NHS England	All values	CFO or AO	
4	Budget management	4.1	Authority to approve spend where the CCG is not expected to deliver its control total for a financial year or does not have a balanced Financial Plan for the year.  If such circumstances are declared by the CFO and AO, then a panel will be set up to approve spend.  The panel will continue until the CFO and AO agree it is no longer required.	All non-contracted and discretionary spend	Discretionary spend panel (to include CFO and AO).  Terms and membership to be determined when and if convened.	
			4.2	Production of a balanced annual budget		CFO
			4.3	Production of annual operating plan		AO
			4.4	Approve annual operating plan and annual budget		Governing Body
			4.5	Achievement of annual operating plan for CCG		AO
			4.6	Achievement of individual directorate	CFO to determine	BSWE

		or locality budget where set	budget	
	4.7	Achievement of individual budget within directorate or locality budget where set	BSWE to determine notifying CFO of levels set	Budget holder as defined by BSWE
	4.8	Achievement of all other budgets		CFO
	4.9	Negotiation of annual contracts, considering new services, investments and assuming achievement of VFM		BSWE with final sign off per 10.6 and to be notified to CFO prior to agreement.
	4.10	Approve adjustments to budgets for allocation changes in year as advised by NHS E	Budgets will be adjusted to reflect the nature and quantum of allocation received	CFO or DFO or ADF
	4.11	Approval of business cases to support service pilots or new investments in year where investment was part of approved annual operating plan and annual budget	Limited to value approved by Governing Body in plan	EMT
	4.12	Approval of expenditure in year where investment was <b>not</b> part of approved annual operating plan and annual budget or the proposed investment exceeds the amount approved by the Governing Body. <i>Expenditure and investment requests to be supported by a business case.</i>	£50k	ADF
£100k			DFO	
£250k			AO or CFO	
>£250k			Governing Body	
	4.13	Approval of expenditure on goods or services <b>within</b> existing budgets approved by Governing Body or where spend matches ringfenced allocations received in year. Sign off of contracts to be in accordance with 10.6	Lower of £20k and BSWE designated budget (see 4.7)	Budget holder as defined by BSWE
£50k			ADF	
Lower of £150k and designated budget (see 4.6)			BSWE	
£150k			DFO	

				>£150k	AO or CFO
		4.14	Contingency release (via ISFE) to maintain financial balance during the year		ADF or DFO
		4.15	Approval to use contingency to make specific investments rather than to manage risks/overperformance		CFO
5	Consultancy spend	5.1	Authority to approve expenditure on consultancy services	£50k (inc VAT)	AO or CFO
				>£50k (inc VAT)	NHS England via business case
6	Emergency spend (on call)	6.1	Where a major incident has been declared	£50k	On call director but with notification to CFO and record in incident log
		6.2	Where a major incident has been declared	>£50k	AO or CFO
		6.3	Urgent out of hours need identified but not as part of a major incident	£25k	On call director can agree reallocation of existing resources
		6.4	Approval of OOA transport	N/A	On call director
7	Primary Care	7.1	Submission of GP payment schedules to PCSE	No single payment >£50k	ADF
			Submission of GP payment schedules to PCSE	Where a single payment >£50k	DFO or CFO
8	Personnel and Pay	8.1	Authority to approve Recruitment Requisition Forms	* BSWE may delegate approvals to staff managers and their Executive PA at their discretion.	BSWE* & CFO or DFO or ADF
		8.2	Authority to approve Staff Appointment Forms		BSWE* & CFO or DFO or ADF
		8.3	Authority to approve Change of Assignment Forms		BSWE* & CFO or DFO or ADF
		8.4	Authority to approve positive reporting forms		BSWE*
		8.5	Authority to authorize overtime		BSWE*
		8.6	Authority to authorize travel and		BSWE*

			subsistence expenses		
		8.7	Recommendation of performance related pay assessment (VSM only)		Remuneration Committee
		8.8	Approval of annual leave and study leave		BSWE*
		8.9	Approval of annual leave carry forward beyond 5 days		BSWE*
		8.10	Compassionate leave up to 6 days		BSWE*
		8.11	Special leave up to 6 days		BSWE*
		8.12	Time off in Lieu		BSWE*
		8.13	Leave without pay		BSWE*
		8.14	Authorise mobile phone		Policy
		8.15	Authority to approve a lease car		CFO or AO
		8.16	Authority to approve relocation packages – staff member		AO
			Authority to approve relocation packages - BSWE		Remuneration Committee
		8.17	Special severance payments made to staff that are not made under either legal or contractual obligation		Department of Health Governance and Assurance Committee
		8.18	Other severance payment regarding BSWE		Remuneration Committee
			Other severance payment regarding Staff member		AO
		8.19	Authority to use debt recovery specialist to recover salary overpayments		CFO
		8.20	Approval of salary advances		CFO or DFO or ADF
		8.21	Maintenance of authorized signatory list (for CSU action)		ADF or nominated deputy
		8.22	Application for ill health retirement		AO



		8.23	Decisions on suspension and dismissal		BSWE in line with disciplinary policy
		8.24	Review and approval of release of monthly BACs report via email to Payroll (to generate pay slips and pay files)		ADF or CSU
9	Off payroll engagements	9.1	Authority to approve off payroll staff/agency resource	<£720 per day including VAT and less than six months	BSWE and CFO or DFO or ADF
				More than size months	NHS England via Agency approval form
				>£720 per day including VAT	NHS England via Agency approval form
				Office holder role	NHS England via Agency approval form
10	Procurement and Contracting	10.1	Establishment of a contract or SLA for the all commissioned services of the CCG which provide value for money and reflect CCG intentions		BSWE
		10.2	Maintenance of a contracts register		BSWE
		10.3	Purchase of goods or service contract where no suitable nationally negotiated framework agreements are available	Contract value up to £5k	Written quote demonstrating VFM to be approved by DFO or ADF
				Contract value up to £50k	3 written quotes with recommendation to BSWE and CFO or DFO or ADF
				Contract value over £50k	3 formal tenders involving procurement

				specialists approved by EMT
			Contract value exceeds OJEU limit	Formal OJEU tendering process approved by Governing Body
	10.4	Waiver of quotation and tender		CFO reported to Audit Committee  Single Tender Waiver action not EMT
	10.5	Decision to terminate a contract before term has ended		EMT
	10.6	Contract signature and variation		BSWE may sign for contracts within their designated areas of responsibility or where they are the responsible budget holder per 4.6. <b>In all other cases CFO or AO will be required to sign as one signatory.</b> Where two signatures are required the DFO or ADF may sign as second signatory.
	10.7	Place physical orders for approved spend using purchase orders		See 11.4
	10.8	Place physical orders for approved spend via the Non- Purchase order route.		See 4.12 and 4.13

11	ISFE	11.1	Approve journals uploaded to Non ISFE (Actual and Budget)	CCG staff must not self- approve journals.	Finance staff (8a and above)
		11.2	Self -approve journals uploaded to Non ISFE		NHS SBS staff under their contract with NHS England are allowed to self-approve journals.
		11.3	Authorise NHS NCA invoices for payment	£1k	Finance staff as agreed by CFO
			Authorise Non- NHS NCA invoices for payment	£200	Finance staff as agreed by CFO
			Authorise overperformance invoices	All values	CFO
			Authorise invoices relating to Consultancy and Agency spend	All values	CFO
			Authorise other invoices for payment	£20k	AD, BSWE (note invoice approval must not be delegated)
		11.4	Authorise other invoices for payment	>£20k	CFO, DFO, ADF
			Approval of purchase orders where spend was part of annual budget approved by Governing Body (4.4) or has been approved by EMT	£150k	BSWE or DFO
		11.5	Approval of all other purchase orders		AO or CFO
			Approval of sales orders		Finance staff (8a and above)
		11.6	Approval of credit notes		CFO or DFO or ADF
		11.7	Approval of manual payments (inc salary payments)	£20k	ADF
				>£20k	CFO or DFO
12	Losses and special payments	12.1	Approval to write off bad debt	£1k	CFO reported to Audit Committee
		12.2	Approval to write off other losses	>£1k	Audit Committee
		12.3	Losses where the nature is novel, contentious, involves important		NHS England to be consulted prior to

			questions of principle or could create a precedent for other government departments		any write off
		12.4	Maintenance of losses and special payments register		CFO
		12.5	Special severance payments made to staff that are not made under either legal or contractual obligation		Department of Health Governance and Assurance Committee
		12.6	Writing out of fully depreciated assets from the statement of financial position.		CFO or nominated deputy in accordance with DOH Manual of Accounting
13	Insurance and legal	13.1	Ensuring appropriate insurance cover is in place for: Property and assets, Public liability and employee liability		CFO
		13.2	Reporting and handling insurance claims		BSWE
		13.3	Management of legal claims and advice, including the signing of legal documents (admission, waivers, settlements, court order response)		BSWE
		13.4	Engagement of CCG's solicitors		BSWE
		13.5	Sealing documents		AO or CFO ratified by Governing Body
		13.6	Approval of compensation payments to staff or patients		AO or CFO reported to Audit Committee
		13.7	Approve spend on legal services providers		See 4.11 – 4.13
14	Procurement cards	14.1	Approval of procurement card transactions up to £1,500 per item	£15k per month	Cardholder

15	Reporting of incidents to the police	15.1	Where a fraud is involved		CFO or AO
		15.2	All other cases where a criminal offence is suspected		BSWE
16	IFR	16.1	Commitments to fund exceptional treatments or care	£100k	Exceptions and Prior Approvals Panel
				>£100k	CFO
17	Other	17.1	Approval of CCG constitution	N/A	Governing Body
		17.2	Approval of scheme of delegation		Governing Body
		17.3	Approval of prime financial policies		Governing Body
		17.4	Approval of Annual Report and Accounts		Audit Committee
		17.5	Approval annual work plans for external audit, internal audit and counter fraud service		Audit Committee
		17.6	Delivery of annual work plans for external audit, internal audit and counter fraud service		Audit Committee
		17.7	Implementation of audit or counter fraud service recommendations		Audit Committee
		17.8	Oversight of register of interests, and register of gifts, hospitality and sponsorship		Audit Committee

## BaNEs: Financial Scheme of Delegation

All financial limits in this schedule apply to BaNEs only.

Ref	Area		Matters delegated	Limit	Delegated to
B4	Budget management	B4.1	Approval of CHC assessment of eligibility		Continuing Health Care Commissioning Manger
		B4.2	Approval of Continuing Healthcare Packages	£900 per week	Provider CHC nursing team
				>£900 per week	Chair of a single funding panel
		B4.3	Approval of Fast Track CHC patients	£1,100 per week	Continuing Health Care Commissioning Manager
				>£1,100 per week	Chair of a single funding panel
		B4.4	Approval of CHC PHB	£650 per week	Continuing Health Care Commissioning Manager
			Approval of CHC PHB	>£650 per week	Chair of a single funding panel

## Swindon: Financial Scheme of Delegation

All financial limits in this schedule apply to Swindon CCG only.

Ref	Area		Matters delegated	Limit	Delegated to
S4	Budget management	S4.1	Authority to agree eligibility for NHS funding for a mental health placement		CCG clinical representative on MH Funding panel
		S4.2	Authority to approve MH package funding	£1k per week or £52k per patient	Deputy MH Commissioner
				£2k per week or £104k per patient	MH Commissioner
				>£2k per week or £104k per patient	MH Commissioner and CFO, DFO, ADF
		S4.2	Authority to approve MH package reduction		MH Commissioner or Deputy MH Commissioner
		S4.3	Authority to approve ADHD assessment		MH commissioner
		S4.4	Authority to agree eligibility for NHS contribution towards children's placement funding		CCG clinical representative at Multidisciplinary funding panel
		S4.5	Authority to approve level of NHS funding contribution towards children's placement where joint funding matrix completed	£750 per week for a maximum of 6 months (£20k)	Children's commissioner
				Above £750 per week	Children's commissioner and CFO, DFO, ADF
S4.6	Authority to approve level of NHS funding contribution towards children's placement		CFO and DON		

		where joint funding matrix <u>not</u> completed		
	S4.7	Authority to agree eligibility for NHS funding towards a joint package of care with SBC relating to an adult.		CCG clinical representative on Joint Funding Panel
	S4.8	Authority to approve contribution to adult package of care where joint funding matrix completed	£2k per week or £104k per patient	Commissioner for MH or Commissioner for LD
			Above £2k per week or £104k per patient	Commissioner for MH or Commissioner for LD and CFO, DFO ADF
	S4.9	Authority to approve contribution to adult package of care where joint funding matrix has <u>not</u> been completed		CFO and DON
	S4.10	Authority to agree eligibility for CHC funding (adults)		Continuing Healthcare Panel in accordance with its terms of reference
	S4.11	Authority to approve costs of adult CHC domiciliary care packages	Up to £264 per week for a maximum of 12 weeks (£3,166)	SBC brokerage team member
			Above £264 per week up to a maximum of £2k per week for a maximum of £104k	CHC Service Lead or Team Leader
			Above £2k per week	CHC Service Lead or Team Leader and CFO, DFO, ADF
	S4.12	Authority to agree eligibility for children's CHC funding		CCG representative as part of a multiagency panel



		S4.13	Authority to approve costs of packages children's CHC funding	£750 per week for a maximum of £20k	Children's commissioner
				>£750 per week	Children's commissioner and CFO, DFO, ADF
		S4.14	Authority to approve a package reduction		Designated Nurse for Children or Children's commissioner
		S4.15	Authority to agree funding contribution under the Blue Light Protocol	Up to £2k per week	CCG representative at Blue Light Protocol meeting.
S7	Primary Care	S7.1	Approval of activity to support financial claims (QOF, LES, Reimbursements)	N/A	AD Primary Care
		S7.2	Approval of automatic payment upload files	N/A	ADF/DFO/CFO
		S7.3	Approval of pension pay-overs	N/A	ADF/DFO/CFO
		S7.4	Upload of automatic payment upload files	N/A	Primary Care Accountant

## Wiltshire: Financial Scheme of Delegation

All financial limits in this schedule apply to Wiltshire CCG only.

Ref	Area		Matters delegated	Limit	Delegated to
W4	Budget management	W4.1	Approval of Continuing Healthcare Packages	£960 per week or £50k annually	AD Safeguarding, CHC and Specialist placements
				£2,880 per week or £150k per patient	DON <b>and</b> AD Safeguarding, CHC and Specialist placements
				Over £2,880 per week or £150k per patient	DON and CFO or DFO or ADF
		W4.2	Approval of Adult PHB Packages	£960 per week or £50k annually	AD Safeguarding, CHC and Specialist placements
				£2,880 per week of £150k per patient	DON <b>and</b> AD Safeguarding, CHC and Specialist placements
				Over £2,880 per week or £150k per patient	DON <b>and</b> CFO or DFO or ADF
		W4.3	Approval of Mental Health and LD placements	£960 per week or £50k annually	AD Safeguarding, CHC and Specialist placements
				£2,880 per week of £150k per patient	DON <b>and</b> AD Safeguarding, CHC and Specialist placements
				Over £2,880 per week or £150k per patient	DON <b>and</b> r CFO or DFO or ADF

		W4,4	Approval of Children's PHB	£960 per week or £50k per patient	Director of Community and Joint Specialist Commissioning
				Over £960 per week of £50k per annum	Director of Community and Joint Specialist Commissioning and CFO
W7	Primary Care	W7.1	Approval of expenditure in line with Statement of Financial Entitlement for GP Contracts (relating to locum reimbursement, clinical waste, rent)		Deputy Director Primary Care
		W7.2	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 the start of absence period)		Deputy Director of Primary and Urgent Care
		W7.3	Approval of decisions relating to the commissioning of primary medical services – including (but not limited to) design of contracts, decision on practice mergers, establishment of new GP practices etc.		Business Case reviewed by EMT, Approval by Primary Care Committee with Final Approval by CFO