

## APPENDIX D- SCHEME OF DELEGATION

### 1. SCHEDULE OF MATTERS RESERVED TO THE CLINICAL COMMISSIONING GROUP AND SCHEME OF DELEGATION

- 1.1. The arrangements made by the group as set out in this scheme of reservation and delegation of decisions shall have effect as if incorporated in the group's constitution.
- 1.2. The clinical commissioning group remains accountable for all of its functions, including those that it has delegated.

### SCHEME OF RESERVATION AND DELEGATION PART A

Decision/Duties	Reserved to the Membership	Reserved or delegated to Governing Body	Accountable Officer	Chief Finance Officer	Other (Stated)
<b>Regulation and Control</b>					
Determine the arrangements by which the members of the Group approve those decisions that are reserved for the membership	Y				
Consideration and approval of applications to NHS England on any matter concerning changes to the CCG's constitution	Y				
Approval of the CCG's overarching Scheme of Reservation and Delegation	Y				
Approval of the CCG's operational scheme of delegation that underpins the CCG's		Y			

Decision/Duties	Reserved to the Membership	Reserved or delegated to Governing Body	Accountable Officer	Chief Finance Officer	Other (Stated)
overarching Scheme of Reservation and Delegation (Detailed Financial Limits)					
Exercise or delegation of those functions of the Clinical Commissioning Group which have not been retained as reserved by the CCG, delegated to the Governing Body or other committee or subcommittee or specified member or employee			Y		
Recommend approval to the members to vary, amend or suspend the Standing Orders		Y			
Approval of variations and amendments to the standing orders	Y				
Review any decisions made to suspend standing orders					Audit Committee
Establish terms of reference and reporting arrangements of all committees and sub-committees that are established by the Governing Body		Y			
Approval of appointments to each of the committees which it has formally Constituted.		Y			
Authorise use of the seal			Y	Y	Governing Body Chair or other individuals as authorised by the Governing Body
Execute document on behalf of the group through a signature			Y	Y	Governing Body Chair or other individuals as authorised by the Governing Body
Discipline members of the Governing Body or employees who are in breach of statutory		Y			

Decision/Duties	Reserved to the Membership	Reserved or delegated to Governing Body	Accountable Officer	Chief Finance Officer	Other (Stated)
requirements or standing orders					
Ensure there is an effective internal audit function				Y	
Review the work and findings of the external auditor					Audit Committee
Review the Clinical Commissioning Groups' constitution for compatibility with statute					Audit Committee
Review and approval of the internal audit strategy, operational plan and more detailed programme of work, ensuring that this is consistent with the audit needs of the organisation, as identified in the assurance framework					Audit Committee
Annual review of the CCG's standing orders, standing financial instructions and scheme of delegation					Audit Committee
Review of all risk and control related disclosure statements (in particular the governance statement), together with any appropriate independent assurances, prior to endorsement by the clinical commissioning group.					Audit Committee
Duty to ensure that proper constitutional, governance and development arrangements are put in place to assure the members (through the governing body) of the organisation's ongoing capability and capacity to meet its duties and responsibilities. This will include arrangements for the ongoing developments of its members and staff			Y		
Approve procedures for declarations of Conflict					Audit Committee

Decision/Duties	Reserved to the Membership	Reserved or delegated to Governing Body	Accountable Officer	Chief Finance Officer	Other (Stated)
of Interests and Gifts and Hospitality					
Approve arrangements for dealing with complaints					Clinical Executive Committee
Discharge of the Public Sector Equality Duty		Y			
Publication of evidence demonstrating compliance against the Public Sector Equality Duty on an annual basis			Y		
Promote education and training for persons who are employed, or who are considering becoming employed, in an activity which involves or is connected with the provision of services as part of the health service in England			Y	Y	
<b>Appointments of Practice Member Representatives and Members of Governing Body</b>					
Approve the arrangements for: <ul style="list-style-type: none"> <li>Identifying Practice Members to represent practices in matters concerning the work of the CCG;</li> <li>Appoint the Chair and Vice Chair of the Governing Body; and</li> <li>Appointing clinical leaders to represent the CCG's membership on the CCG's Governing Body, for example through election (if desired)</li> </ul> (appointment of Clinical Chair is subject to approval by NHSE)	Y				
Approve the appointment of non-elected Governing Body Members other than the Accountable Officer, the process for recruiting and removing non-elected members to the	Y				

Decision/Duties	Reserved to the Membership	Reserved or delegated to Governing Body	Accountable Officer	Chief Finance Officer	Other (Stated)
Governing Body (subject to any regulatory requirements) and succession planning (Appointment of Accountable Officer is reserved for NHS England)					
Appoint and dismiss other committees that are directly accountable to the Governing Body		Y			
Confirm appointment of members of any committee of the CCG as representatives on outside bodies		Y			
<b>Strategy and Planning</b>					
Approve the vision, values and overall strategic direction of the group	Y				
Agree the strategic aims and objectives of the group		Y			
Approve the calling of emergency Governing Body meetings					Chair/Accountable Officer/Chief Operating Officer, by consulting one other GB Member
Approve any urgent decisions taken at emergency Governing Body meetings, in line with standing orders		Y			
Approve plans in respect of the application of available financial resources to support the agreed annual commissioning plan		Y			
Approve proposals for ensuring quality and developing clinical governance in services provided by the CCG or its constituent practices, having regard to any guidance issued by the Secretary of State		Y			
Receive and approve outline business cases for					Clinical Executive

Decision/Duties	Reserved to the Membership	Reserved or delegated to Governing Body	Accountable Officer	Chief Finance Officer	Other (Stated)
proposed developments and service changes, ensuring appropriate clinical input and challenge has been part of the development process;					
Sign off Clinical Policies and Strategies					Clinical Executive
Receive and approve HR policies and reports					Clinical Executive
Ratify the Group's strategies as recommended by committees or the employee members of the Governing Body		Y			
Ratify proposals for acquisition, disposal or change of use of land or buildings		Y			
Approve individual compensation payments		Y			
Approve Group policies as defined for Governing Body Approval		Y			
Act with a view to promoting integration of both health services with other health services and health services with health-related and social care services where the group considers that this would improve the quality of services or reduce inequalities			Y		Director of Strategy
For joint commissioning arrangements, provide a quarterly written report to the governing body and hold at least annual engagement events to review aims, objectives, strategy and progress and publish an annual report on progress made against objectives.			Y		
Receive quarterly reports from the Area Prescribing Committee on the use of drugs in					Clinical Executive

<b>Decision/Duties</b>	<b>Reserved to the Membership</b>	<b>Reserved or delegated to Governing Body</b>	<b>Accountable Officer</b>	<b>Chief Finance Officer</b>	<b>Other (Stated)</b>
Worcestershire and where necessary make decisions in relation to drug use and the utilisation of resources;					
Ratify decisions taken at Alliance Board level (pending introduction of integrated governance mechanisms which will ultimately support devolved decisions making at individual Alliance Board level)					Clinical Executive
Decisions relating to the transition to future STP commissioning arrangements					Herefordshire and Worcestershire Joint Commissioning Committee
Strategic decision making relating to the implementation of STP programmes					Herefordshire and Worcestershire Joint Commissioning Committee
<b>Annual Reports and Accounts</b>					
Review and endorse the CCG's annual report for approval by the Governing Body					Audit Committee
Approval of the CCG's Annual Report and annual accounts		Y			
Approval of the arrangements for discharging the CCG's statutory financial duties		Y			
Ratify the appointment (and where necessary) dismissal of External Auditors including arrangements for the separate audit of funds held on trust )		Y			
Receive the annual management letter from		Y			

Decision/Duties	Reserved to the Membership	Reserved or delegated to Governing Body	Accountable Officer	Chief Finance Officer	Other (Stated)
the External Auditor taking account of the advice, where appropriate, of the Audit Committee					
Receipt of such reports as the Governing Body sees fit from the committees in respect of its exercise of powers delegated		Y			
<b>Financial Planning and Management</b>					
Approval of the CCG's Prime Financial Policies					Audit Committee
Approval of detailed Financial Policies					Audit Committee
Review and approve schedules of non NHS losses and compensations					Audit Committee
Prepare detailed financial policies that underpin the clinical commissioning group's prime financial policies and schedule annual reviews				Y	
Approve arrangements for managing exceptional funding requests		Y			
Approve budgets		Y			
Approval of variations to the approved budget where variation would have a significant impact on the approved levels of income and expenditure or the CCG's ability to achieve its agreed strategic aims		Y			
Approval of banking arrangements					Audit Committee
Agreement of the approach to identifying the further QIPP schemes necessary to resolve any financial gaps on a recurrent basis					Financial Recovery Board
Approve the necessary reports and information to be taken to the Governing body to provide					Financial Recovery Board



Decision/Duties	Reserved to the Membership	Reserved or delegated to Governing Body	Accountable Officer	Chief Finance Officer	Other (Stated)
assurance on the sufficiency of financial recovery actions, progress on delivery, risk and mitigations together with recommendations for additional actions required.					
Advise the Governing Body on the effective, efficient and economic use of its allocation, to remain within that allocation and deliver required financial targets and duties;				Y	
Ensure its expenditure does not exceed the aggregate of its allotments for the financial year				Y	
Ensure its use of resources (both its capital resource use and revenue resource use) does not exceed the amount specified by the NHS Commissioning Board for the financial year				Y	
Take account of any directions issued by the NHS Commissioning Board, in respect of specified types of resource use in a financial year, to ensure the group does not exceed an amount specified by the NHS Commissioning Board				Y	
Publish an explanation of how the group spent any payment in respect of quality made to it by the NHS Commissioning Board				Y	
Agree how STP wide financial control total is delivered					Herefordshire and Worcestershire Joint Commissioning Committee

Decision/Duties	Reserved to the Membership	Reserved or delegated to Governing Body	Accountable Officer	Chief Finance Officer	Other (Stated)
<b>Human Resources</b>					
Recommends to the Governing Body the terms and conditions, remuneration, and travelling or other allowances for Governing Body and Executive members, including pensions and gratuities					Remuneration Committee
Approves the terms and conditions, remuneration, and travelling or other allowances for Governing Body and Executive members, including pensions and gratuities		Y			
Approve terms and conditions of employment for all employees of the CCG including pensions, remuneration, fees, and travelling or other allowances payable to employees and to other persons providing services to the CCG					Remuneration Committee
Determine and approve the terms and conditions of employment for all employees of the CCG					Remuneration Committee
Approve disciplinary arrangements for employees, including the Accountable Officer, (where they are an employee and/or member of the Clinical Commissioning Group, and for other persons working on behalf of the Group)					Remuneration Committee
Review disciplinary arrangements where the Accountable Officer is an employee or member of another clinical commissioning group					Remuneration Committee
Consider the severance payments of the Accountable Officer and other senior staff, and recommend seeking HM Treasury approval as appropriate in accordance with the guidance					Remuneration Committee

Decision/Duties	Reserved to the Membership	Reserved or delegated to Governing Body	Accountable Officer	Chief Finance Officer	Other (Stated)
"Managing Public Money" (HM Treasury.gov.uk)					
Agree any significant changes to the number of sessions of Governing Body Members.					Remuneration Committee
Approval of the arrangements for the discharging the CCG's statutory duties as an employer					Remuneration Committee
Authority to fill funded post on the establishment with permanent staff in accordance with Human Resources recruitment/selection procedure.			Y	Y	
Approve human resources policies for employees and for other persons working on behalf of the CCG					Clinical Executive
Approve annually the CCG proposed organisational development proposals		Y			
<b>Quality &amp; Patient Safety</b>					
Approve arrangements, including supporting policies, to minimise clinical risk, maximise patient safety and to secure continuous improvement in quality and patient outcomes					Quality, Performance and Resources Committee
Approve arrangements for supporting NHS England in discharging its responsibilities in relation to securing continuous improvement in the quality of general medical services		Y			
Monitoring and reviewing of the quality and safety of all services (primary, secondary and tertiary care, including the independent sector) commissioned by the CCG for its total					Quality, Performance and Resources Committee

Decision/Duties	Reserved to the Membership	Reserved or delegated to Governing Body	Accountable Officer	Chief Finance Officer	Other (Stated)
population					
Receive and scrutinise independent investigations reports relating to patient safety issues and agree publication plan					Quality, Performance and Resources Committee
Duty to exercise its functions with a view to securing continuous improvement in the quality of services provided to individuals for, or in connection with, the prevention, diagnosis or treatment of illness			Y		
Act with a view to secure continuous improvement to the quality of services for patients and in outcomes, with particular regard to clinical effectiveness, safety and patient experience					Chief Nursing Officer/Director of Quality
Ensure the CCG has appropriate arrangements in place to meets its safeguarding responsibilities					Chief Nursing Officer/Director of Quality
Approval of any CHC packages exceeding £2,000 per week or £200,000 per year					QPR Committee
Assist and support the NHS Commissioning Board in relation to improving the quality of primary medical services		Y			
<b>Operational and Risk Management</b>					
Approve arrangements for risk sharing and or risk pooling with other organisations (for example arrangements for pooled funds with other clinical commissioning groups or pooled budget arrangements under section 75 of the NHS Act 2006)		Y			
Approve the CCG's policies and procedures for					Audit Committee

Decision/Duties	Reserved to the Membership	Reserved or delegated to Governing Body	Accountable Officer	Chief Finance Officer	Other (Stated)
the management of risk					
Approval of the establishment and maintenance of an effective system of integrated governance, risk management and internal control across the whole of the group's activities (both clinical and non-clinical) that supports the achievement of the group's objectives					Audit Committee
Approve proposals for action on litigation against or on behalf of the Clinical Commissioning Group		Y			
Approve the CCG's arrangements for business continuity and emergency planning		Y			
Approve the group's counter fraud and security management arrangements					Audit Committee
Identify the key strategic risks, evaluate them and ensure adequate processes are in place and are monitored		Y			
<b>Information Governance</b>					
Approval of the arrangements for ensuring appropriate safekeeping and confidentiality of records and for the storage, management and transfer of information and data					Audit Committee

Decision/Duties	Reserved to the Membership	Reserved or delegated to Governing Body	Accountable Officer	Chief Finance Officer	Other (Stated)
<b>Tendering and Contracting</b>					
Approval of the Group's contracts for any commissioning support					Clinical Executive Committee
Approval of the Group's contracts for corporate support (for example finance provision)					Clinical Executive Committee
Review of written quotations and competitive tenders			Y	Y	Chief Operating Officer or any nominated deputies
Approval of contract and procurement awards (subject to value - see detailed scheme of delegation)		Y	Y		Clinical Executive Committee
Approval of procurements relating to primary care					Primary Care Commissioning Committee
<b>Partnership Working</b>					
Approve decisions that individual members or employees of the Group participating in joint arrangements on behalf of the Group can make. Such delegated decisions must be disclosed in this Scheme of Reservation and Delegation		Y			
Approve decisions delegated to joint committees established under section 75 of the 2006 Act		Y			
<b>Commissioning and Contracting of Clinical Services</b>					
Approval of the arrangements for discharging the CCG's statutory duties associated with its commissioning functions, including but not limited to promoting the involvement of each		Y			

<b>Decision/Duties</b>	<b>Reserved to the Membership</b>	<b>Reserved or delegated to Governing Body</b>	<b>Accountable Officer</b>	<b>Chief Finance Officer</b>	<b>Other (Stated)</b>
patient, patient choice, reducing inequalities, improvement in the quality of services, obtaining appropriate advice and public engagement and consultation					
Approve arrangements for co-ordinating the commissioning of services with other CCGs and/or with the local authority (ies), where appropriate		Y			
Approve arrangements for contracting where there is or may be a conflict of interest with CCG members as potential providers		Y			
Approve arrangements in relation to the commissioning of primary medical services under section 83 of the NHS Act					Primary Care Commissioning Committee
Undertake reviews of primary medical care services in the CCG area					Primary Care Commissioning Committee
Manage the budget for commissioning of primary medical care services in the CCG area					Primary Care Commissioning Committee
<b>Communications</b>					
Approving arrangements for handling Freedom of Information Requests					Audit Committee
Review the CCG Communications and Engagement Strategy prior to submission to Governing Body					Clinical Executive

**NHS SOUTH WORCESTERSHIRE CLINICAL COMMISSIONING GROUP (CCG)**

**DETAILED SCHEME OF DELEGATION – PART B**

Delegated matters in respect of decisions that may have a far-reaching effect must be reported to the Chief Officer or Chief Finance Officer. The delegation shown below is the lowest level to which authority can be delegated. Delegation to lower levels is only permitted with written approval of the Chief Officer who will, before authorising such delegation, consult with other senior officers as appropriate.

AREA OF RESPONSIBILITY		AUTHORITY DELEGATED TO
1.	<p><b>Management of Budgets</b> Responsibility of keeping expenditure within budgets.</p> <p>a) At individual budget level (Pay and Non Pay)</p> <p>b) For the totality of services covered by the CCG.</p> <p>c) Approving expenditure &gt;tender price by up to 10%, or &gt; £25k whichever is the higher.</p> <p>d) Approving expenditure &gt;tender price by &gt; 10%, or &gt; £25K. Up to a maximum of £50k.</p>	<p>Budget Holder</p> <p>Accountable Officer <b>or</b> Chief Operating Officer <b>or</b> Chief Finance Officer</p> <p>Accountable Officer <b>or</b> Chief Operating Officer <b>or</b> Chief Finance Officer</p> <p>Accountable Officer <b>or</b> Chief Operating Officer <b>or</b> Chief Finance Officer</p>
2.	<p><b>Maintenance/Operation of Bank Accounts</b></p>	<p>Chief Finance Officer</p>
3.	<p><b>Non Pay Revenue and Capital Expenditure/Requisitioning/Ordering/Payment for Goods and Services outside the NHS Limits quoted are per annum when ordering services to be provided over a period of time. Fragmentation of orders in order to remain within delegated limits is not acceptable.</b></p> <p>a) Approval of expenditure/requisitioning/ordering</p> <p>Up to and including £1,000</p> <p>Above £1,000 and up to £25,000</p>	<p>Executives or delegated deputies</p> <p>Executives or delegated deputies</p>



AREA OF RESPONSIBILITY		AUTHORITY DELEGATED TO
<p>Above £25,000</p> <p>In relation to Continuing Healthcare Packages:</p> <p>Up to £1,000 per week for normal packages</p> <p>Up to £1,500 per week for end of life packages</p> <p>Up to £2,000 per week for all packages and up to £200,000 for annual packages</p> <p>Anything over these values to be formally reviewed and agreed through the CCG Quality, Resources and Performance Committee</p>	<p>Accountable Officer <b>or</b> Chief Operating Officer <b>or</b> Chief Finance Officer or delegated deputies</p> <p>CHC Team Leaders <b>or</b> Associate Director of Quality <b>or</b> Chief Nurse and Director of Quality or delegated deputies</p> <p>CHC Team Leaders <b>or</b> Associate Director of Quality <b>or</b> Chief Nurse and Director of Quality or delegated deputies</p> <p>Associate Director of Quality <b>or</b> Chief Nurse and Director of Quality or delegated deputies</p> <p>QPR Committee</p>	
<p>a) Order exceeding 12 month period.</p> <p>b) Contracts and other approvals of expenditure with other NHS organisations and contractors such as General Practitioners.</p> <p>Up to £10,000 (per annum)</p> <p>Up to £500,000 (per annum)</p> <p>£501,000 - £1 million</p>	<p>Accountable Officer or Chief Operating Officer or Chief Finance Officer</p> <p>Accountable Officer <b>or</b> Chief Operating Officer <b>or</b> Chief Finance Officer</p> <p>Accountable Officer <b>or</b> Chief Operating Officer <b>or</b> Chief Finance Officer</p> <p>Accountable Officer and reported to the Governing Body</p>	

AREA OF RESPONSIBILITY		AUTHORITY DELEGATED TO
4	<p><b>Capital Schemes</b> Selection of architects, quantity surveyors, consultant engineer and other professional advisors within EU regulations.</p> <p>a) Financial monitoring and reporting on all capital scheme expenditure.</p> <p>b) Granting and termination of leases with annual rent &lt;£100k per annum and term of &lt;5 years.</p> <p>c) Granting and termination of leases of &gt;£100k per annum and term of &gt;5 years.</p>	<p>Accountable Officer <b>or</b> Chief Operating Officer <b>or</b> Chief Finance Officer</p> <p>Chief Finance Officer</p> <p>Accountable Officer <b>or</b> Chief Operating Officer <b>or</b> Chief Finance Officer</p> <p>Accountable Officer <b>or</b> Chief Operating Officer <b>or</b> Chief Finance Officer</p>
5	<p><b>Procurement and contract awards for healthcare services</b></p> <p>a) Up to an overall contractual value of £1m</p> <p>b) Overall contractual value between £1.01m to £2m</p> <p>c) Overall contractual value exceeding £2m</p> <p>d) All procurement exercises relating to primary care</p>	<p>Accountable Officer</p> <p>Clinical Executive Committee</p> <p>Governing Body</p> <p>Primary Care Commissioning Committee</p>
6.	<p><b>Quotation, Tendering and Contract Procedures</b></p> <p>a) Inviting a minimum of <b>two written quotations</b> for goods/services from £25,001 to £100,000</p> <p>b) Inviting a minimum of <b>three written quotations</b> for goods/services from £100,001 to £181,000.</p> <p>c) Inviting a minimum of <b>three written competitive tenders</b> for goods/services £181,001 and</p>	<p>Accountable Officer <b>or</b> Chief Operating Officer <b>or</b> Chief Finance Officer <b>or</b> nominated deputies</p> <p>Accountable Officer <b>or</b> Chief Operating Officer <b>or</b> Chief Finance Officer or nominated deputies</p> <p>Accountable Officer <b>or</b> Chief Operating Officer <b>or</b> Chief Finance Officer or nominated deputies</p>

AREA OF RESPONSIBILITY		AUTHORITY DELEGATED TO
	<p>above.</p> <p>d) Waiving of quotations and tenders.</p> <p>e) Opening quotations for goods/services above £181,001.</p> <p>f) Opening all tenders.</p>	<p>Accountable Officer <b>or</b> Chief Operating Officer <b>or</b> Chief Finance Officer to be reported to the Audit Committee.</p> <p>Accountable Officer or Chief Operating Officer or Chief Finance Officer or nominated deputies</p> <p>Accountable Officer <b>or</b> Chief Operating Officer <b>or</b> Chief Finance Officer <b>or</b> nominated deputies</p>
7.	<p><b>Setting of Fees and Charges</b></p> <p>a) Price of NHS contracts.</p> <p>Charges for all NHS contracts, be they block, cost per case, cost and volume, spare capacity.</p> <p>b) Professional fees for architects, engineers, surveyors and related professions.</p> <p>c) All other fees and charges. Private patients, overseas visitors, income generation and all other patient related services.</p> <p>d)</p>	<p>Chief Finance Officer or nominated Deputy.</p> <p>Chief Operating Officer</p> <p>Chief Finance Officer or nominated Deputy.</p>

AREA OF RESPONSIBILITY		AUTHORITY DELEGATED TO
8.	<p><b>Management of Staff not on the Establishment</b></p> <p>a) Non-medical staff and medical staff: Where aggregate commitment in any one year (or total commitment) is more than £10,000.</p> <p>b) Engagement of CCG's solicitors.</p> <p>c) Booking of bank or agency staff subject to aggregate commitment above:</p> <ul style="list-style-type: none"> <li>• Medical Locums</li> <li>• Nursing</li> <li>• Admin and Clerical</li> <li>• Consultancy Staff</li> </ul>	<p>Accountable Officer <b>or</b> Chief Operating Officer <b>or</b> Chief Finance Officer</p> <p>Accountable Officer <b>or</b> Chief Operating Officer <b>or</b> Chief Finance Officer <b>or</b> Director of Partnership and Change</p> <p>Accountable Officer <b>and</b> Chief Finance Officer</p>
9.	<p><b>Agreements/Licences</b></p> <p>a) Extensions to existing leases.</p> <p>b) Letting of premises to outside organisations.</p> <p>c) Approval of rent based on professional assessment.</p>	<p>Accountable Officer or Chief Operating Officer</p> <p>Accountable Officer or Chief Operating Officer</p> <p>Accountable Officer or Chief Operating Officer</p>

AREA OF RESPONSIBILITY	AUTHORITY DELEGATED TO
<p><b>10. Condemning and Disposal</b></p> <p>a) Items obsolete, obsolescent, redundant, irreparable or cannot be repaired cost effectively:</p> <p>    i) With current estimated purchase price &lt;£250.</p> <p>    ii) With current purchase new price &gt; £250.</p> <p>    iii) Disposal of mechanical and engineering plant (subject to estimated income of less than £1,000 per sale).</p> <p>    iv) Disposal of mechanical and engineering plant (subject to estimated income exceeding £1,000 per sale).</p>	<p>Member of Senior Management Team</p> <p>Member of Senior Management Team</p> <p>Member of Senior Management Team and Chief Finance Officer</p> <p>Chief Finance Officer</p> <p>Chief Finance Officer</p>
<p><b>11. Losses, Write-off and Compensation</b></p> <p>a) Losses and cash due to theft, fraud, overpayment and others – up to £5,000 per incident or connected group of incidents.</p> <p>b) Fruitless payments (including abandoned Capital Schemes) – up to £25,000 each.</p> <p>c) Bad debts and claims abandoned, private patients, overseas visitors and other – up to £5,000 each.</p> <p>d) Damage to buildings, fittings, furniture and equipment and loss of equipment and property in stores and in use due to culpable causes (e.g. fraud, theft, arson) or other – up to £5,000 per</p>	<p>Chief Finance Officer <b>and</b> reported to Audit Committee.</p> <p>Chief Finance Officer <b>and</b> reported to Audit Committee.</p> <p>Chief Finance Officer <b>and</b> reported to Audit Committee.</p> <p>Chief Finance Officer <b>and</b> reported to Audit Committee.</p>

AREA OF RESPONSIBILITY		AUTHORITY DELEGATED TO
	<p>claim.</p> <p>e) Compensation payments made under legal obligation.</p> <p>f) Extra contractual payments to contractors – up to £5,000 each.</p>	<p>Accountable Officer, Chief Operating Officer <b>or</b> Chief Finance Officer <b>and</b> reported to Audit Committee.</p> <p>Accountable Officer, Chief Operating Officer <b>or</b> Chief Finance Officer <b>and</b> reported to Audit Committee.</p>

AREA OF RESPONSIBILITY	AUTHORITY DELEGATED TO
<p><b>12. Reporting of Incidents to the Police</b></p> <p>a) Where a criminal offence is suspected:</p> <p style="padding-left: 40px;">i) Criminal offence of a violent nature.</p> <p style="padding-left: 40px;">ii) Other.</p> <p>b) Where a fraud is involved.</p>	<p>Member of Senior Management Team</p> <p>Advice to be sought from a member of Senior Management Team</p> <p>Chief Finance Officer <b>and</b> Counter Fraud Specialist</p>
<p><b>13. Petty Cash Disbursements (not applicable to central Cashier's Office)</b></p> <p>a) Expenditure up to £50 per item.</p>	<p>Petty Cash Holder on receipt of authorisation from member of Senior Management Team.</p>
<p><b>14. Receiving Hospitality</b></p> <p>a) Gifts from potential suppliers in excess of £6.00 per item received.</p> <p>b) Gifts in excess of £50</p> <p>c) Hospitality between £25-£75</p>	<p>Declaration required in CCG Gifts and Hospitality Register.</p> <p>Declaration required in CCG Gifts and Hospitality Register</p> <p>Declaration required in CCG Gifts and Hospitality Register</p>
<p><b>15. Implementation of Internal and External Audit Recommendations</b></p>	<p>CCG Lead</p>
<p><b>16. Personnel and Pay</b></p> <p>a) Authority to fill funded post on the establishment with permanent staff in accordance with Human Resources recruitment/selection procedure.</p> <p>b) Authority to appoint staff to post not on the formal establishment.</p> <p>c) Additional increments: The granting of additional increments to staff within budget</p> <p>d) Upgrading and re-grading:</p> <p>All requests for upgrading/re-grading shall be dealt with in accordance with Human Resources</p>	<p>Accountable Officer <b>and</b> Chief Finance Officer</p> <p>Accountable Officer <b>and</b> Chief Finance Officer</p> <p>Accountable Officer <b>and</b> Chief Finance Officer upon the advice of Human Resources</p> <p>Accountable Officer and Chief Finance Officer</p>

AREA OF RESPONSIBILITY	AUTHORITY DELEGATED TO
procedures.	



AREA OF RESPONSIBILITY	AUTHORITY DELEGATED TO
<ul style="list-style-type: none"> <li>e) Establishments               <ul style="list-style-type: none"> <li>i) Additional staff to the agreed establishment with specifically allocated finance</li> <li>ii) Additional staff to the agreed establishment without specifically allocated finance</li> </ul> </li> <li>f) Pay               <ul style="list-style-type: none"> <li>i) Authority to complete standing data forms effecting pay, new starters, variations and leavers.</li> <li>ii) Authority to complete and authorise turnaround document.</li> <li>iii) Authority to authorise overtime</li> <li>iv) Authority to authorise travel and subsistence expenses</li> <li>v) Approval of Agenda for Change incremental progression</li> </ul> </li> <li>g) Leave               <ul style="list-style-type: none"> <li>i) Approval of annual leave</li> <li>ii) Annual leave – approval of carry forward (up to maximum of five days)</li> <li>iii) Compassionate leave up to three days.</li> <li>iv) Compassionate leave up to six days.</li> </ul> </li> </ul>	<p>Accountable Officer <b>and</b> Chief Finance Officer</p> <p>Accountable Officer <b>and</b> Chief Finance Officer</p> <p>Accountable Officer <b>and</b> Chief Finance Officer</p> <p>Accountable Officer <b>and</b> Chief Finance Officer</p> <p>Member of the Senior Management Team</p> <p>Line Manager</p> <p>Line Manager</p> <p>Line Manager</p> <p>Line Manager</p> <p>Line Manager</p> <p>Line Manager</p> <p>Line Manager</p> <p>Line Manager</p>

AREA OF RESPONSIBILITY	AUTHORITY DELEGATED TO
<p>v) Special leave arrangements.</p> <ul style="list-style-type: none"> <li>• Paternity leave</li> <li>• Carers leave <ul style="list-style-type: none"> <li>- up to three days</li> <li>- up to five days</li> </ul> </li> </ul> <p>vi) Leave without pay.</p> <p>vi) Time off in lieu.</p> <p>viii) Maternity Leave – paid and unpaid.</p> <p>h) Sick Leave</p> <p>i) Study Leave</p> <p>i) Study leave outside the UK.</p> <p>ii) Medical staff study leave (UK).</p> <p>iii) All other study leave (UK).</p> <p>j) Removal Expenses, Excess Rent and House Purchases</p> <p>Authorisation of payment of removal expenses incurred by officers taking up new appointments (providing consideration was promised at interview).</p>	<p>Member of Senior Management Team</p> <p>Member of Senior Management Team Member of Senior Management Team</p> <p>Member of Senior Management Team</p> <p>As per Policy</p> <p>As per Policy</p> <p>Line Manager</p> <p>Chief Operating Officer</p> <p>Chief Operating Officer</p> <p>Chief Operating Officer</p>

AREA OF RESPONSIBILITY	AUTHORITY DELEGATED TO
<ul style="list-style-type: none"> <li>i) Up to £7,500.</li> <li>ii) Over £7,500 to £15,000.</li> <li>iii) Over £15,000 and above.</li> </ul> <p>k) Grievance Procedure</p> <p>All grievance cases must be dealt with strictly in accordance with the Grievance Procedure and the advice of a Human Resources Officer must be sought as appropriate.</p> <p>l) Authorised Car and Mobile Phone Users</p> <ul style="list-style-type: none"> <li>i) Requests for new posts to be authorised as car users.</li> <li>ii) Requests for new posts to be authorised as mobile telephone users.</li> </ul> <p>m) Renewal of Fixed Term Contract.</p> <p>n) Authorisation of extensions of contract beyond normal retirement age in exceptional circumstances.</p> <p>o) Redundancy.</p> <p>p) Decision to pursue retirement on the grounds of ill-health.</p> <p>q) Dismissal</p>	<p>Accountable Officer <b>or</b> Chief Finance Officer</p> <p>Accountable Officer <b>or</b> Chief Finance Officer</p> <p>Remuneration Committee</p> <p>Member of Senior Management Team and other officers trained in handling grievance issues.</p> <p>Member of Senior Management Team</p> <p>Member of Senior Management Team</p> <p>Accountable Officer <b>or</b> Chief Finance Officer</p> <p>Accountable Officer <b>or</b> Chief Finance Officer</p> <p>Accountable Officer <b>and</b> Remuneration Committee</p> <p>Accountable Officer <b>or</b> Chief Finance Officer</p> <p>Dismissing officers in line with policy</p>

AREA OF RESPONSIBILITY		AUTHORITY DELEGATED TO
17.	<p><b>Authorisation of New Drugs</b></p> <p>Procedure for the Adoption of New Medicinal Products applies.</p>	Area Prescribing Committee <b>and</b> Senior Management Team.
18.	<p><b>Authorisation of Sponsorship Deals</b></p>	Clinical Executive
19.	<p><b>Authorisation of Research Projects</b></p>	Clinical Executive
20.	<p><b>Authorisation of Clinical Trials</b></p>	Chief Operating Officer and voting Governing Body member
21.	<p><b>Insurance Policies and Risk Management</b></p>	Accountable Officer <b>or</b> Chief Operating Officer <b>or</b> Chief Finance Officer
22.	<p><b>Patients' and Relatives' Complaints</b></p> <p>a) Overall responsibility for ensuring that all complaints are dealt with effectively.</p> <p>b) Responsibility for ensuring complaints relating to a directorate is investigated thoroughly.</p> <p>c) Co-ordination of the management of medico-legal complaints</p>	<p>Chief Operating Officer</p> <p>Member of Senior Management Team <b>or</b> Complaints Manager</p> <p>Accountable Officer</p>
23.	<p><b>Relationships with Press</b></p> <p>a) Non-Emergency General Enquiries</p> <ul style="list-style-type: none"> <li>• Within hours</li> <li>• Outside hours</li> </ul> <p>b) Emergency</p> <ul style="list-style-type: none"> <li>• Within hours</li> </ul>	In accordance with the CCG's policy on media relations

AREA OF RESPONSIBILITY		AUTHORITY DELEGATED TO
	<ul style="list-style-type: none"> <li>• Outside hours</li> </ul>	
24.	<b>Infectious Diseases and Notifiable Outbreaks</b>	Chief Nursing Officer and Director of Quality
25.	<b>Facilities for staff not employed by the CCG to gain practical experience</b>  Work experience students.	Upon the advice of Human Resources.
26.	<b>Review of fire precautions</b>	Accountable Officer <b>or</b> Chief Operating Officer <b>or</b> Head of Corporate Governance
27.	<b>Review of all statutory compliance legislation and Health and Safety requirements including control of Substances Hazardous to Health Regulations.</b>	Chief Operating Officer
28.	<b>Review of Medicines Inspectorate Regulations.</b>	Head of Medicines Management.
29.	<b>Review of compliance with environmental regulations, for example those relating to clean air and waste disposal.</b>	Chief Operating Officer
30.	<b>Review of CCG's compliance with the Data Protection Act.</b>	Chief Operating Officer
31.	<b>Monitor proposals for contractual arrangements between the CCG and outside non-NHS bodies.</b>	Chief Finance Officer <b>or</b> Head of Corporate Governance
32.	<b>Review the CCG's compliance with the Access to Records Act.</b>	Head of Corporate Governance
33.	<b>Review of the CCG's compliance code of practice for handling confidential information in the contracting environment and the compliance with "safe haven" per EL 92/60.</b>	Head of Corporate Governance
34.	<b>The keeping of a Declaration of Interests Register.</b>	Head of Corporate Governance
35.	<b>Attestation of sealings in accordance with Standing Orders.</b>	As per policies
36.	<b>The keeping of a register of sealings.</b>	Head of Corporate Governance
37.	<b>The keeping of the Gifts and Hospitality Register.</b>	Head of Corporate Governance
38.	<b>Retention of Records (in accordance with HSC)</b>	Head of Corporate Governance
39.	<b>Clinical Audit of commissioned services.</b>	Chief Nursing Officer and Director of Quality

