

Attachment 4

**North East Lincolnshire CCG**

|  |  |
| --- | --- |
|  |  |
| **Report to:** | NEL CCG Governing Body |
| **Presented by:** | Cathy Kennedy, Deputy Chief Executive |
| **Date of Meeting:** | 10 March 2016 |
| **Subject:** | CCG Scheme of Delegation |
| **Status:** | OPEN  CLOSED |

|  |
| --- |
| **OBJECT OF REPORT:** |
| The CCG is required to review its Scheme of Delegation annually and this paper is brought to the Governing Body to notify them of any proposed changes. |

|  |
| --- |
| **STRATEGY:** |
| The CCG’s scheme of delegation underpins all aspects of the Governance of the CCG and hence the delivery of the strategy. |

|  |
| --- |
| **IMPLICATIONS:** |
| There are 3 components to the CCGs scheme of delegation:-   1. Scheme of delegation within the constitution 2. Financial scheme of delegation 3. Operational scheme of delegation.   Scheme of delegation within the constitution  The changes that have been made in year are detailed in the Constitution Refresh paper (Agenda item 7) brought to the Governing Body today.  Financial Scheme of delegation  The CCGs scheme of delegation of financial limits (Appendix i) was reviewed at the Finance Assurance Subgroup on the 22nd February 2016. There were no changes made to the existing limits.  Operational Scheme of delegation  There are minor proposed changes to the operational scheme of delegation (Appendix ii), to reflect changes in responsibilities within the Senior Management Team (SMT), these have been highlighted in yellow for ease of reference  Potential Changes during 2016/17  The Governing Body is asked to delegate the authority to the Partnership Board to make a decision with regard to the establishment of a Joint Committee as part of the development of an Accountable Care Organisation, which may be required during 2015/16. |

|  |  |
| --- | --- |
| **RECOMMENDATIONS (R) AND ACTIONS (A) FOR AGREEMENT:** | |
|  | The Governing body is asked to :-   1. note the changes made to the scheme of delegation 2. delegate the authority to the Partnership Board to make a decision with regard to the establishment of a Joint Committee as part of the development of an Accountable Care Organisation , which may be required during 2015/16 |

|  |  | **Yes/**  **No** | **Comments** |
| --- | --- | --- | --- |
|  | Does the document take account of and meet the requirements of the following: |  |  |
| i) | Mental Capacity Act | n/a |  |
| ii) | CCG Equality Impact Assessment | n/a |  |
| iii) | Human Rights Act 1998 | n/a |  |
| iv) | Health and Safety at Work Act 1974 | n/a |  |
| v) | Freedom of Information Act 2000 / Data Protection Act 1998 | Yes |  |
| iv) | Does the report have regard of the principles and values of the NHS Constitution?  [www.dh.gov.uk/en/Publicationsandstatistics/Publications/PublicationsPolicyAndGuidance/DH\_113613](http://www.dh.gov.uk/en/Publicationsandstatistics/Publications/PublicationsPolicyAndGuidance/DH_113613) | Yes |  |

**Appendix (i)**



**Appendix ii**

**North East Lincolnshire CCG**

**Operational Scheme of Delegation**

*(items not covered as part of the Constitution or the scheme of delegation of Financial Limits)*

|  |  |  |
| --- | --- | --- |
| **Task / Issue** | **Authority** | **Comments** |
| **Organisational Authority** |  |  |
| Approval of solicitors, contractors and consultants on approved list | Care Contracting Committee |  |
| Approval of use of seal | Partnership Board Members | Seal kept by the Executive Office and only used under the Board’s authority. |
| **Regulation and Control** |  |  |
| Engagement of solicitors for cases costing up to £10,000 | Any member of the SMT |  |
| Engagement of CCG’s solicitors for cases costing > £10,000 | DCFO/ CFO |  |
| Management of insurance policies | DCFO |  |
| Management and monitoring of complaints against the CCG | Director of Quality & Nursing |  |
| Reporting of incidents to the Police where a criminal offence is suspected | Any member of the SMT |  |
| Reporting of incidents to the Police where fraud is suspected | CFO and Counter Fraud Service |  |
| Maintenance of a CCG Hospitality register for items in excess of £25 received | Governance Team |  |
| Authorisation of sponsorship deals | Any member of the Executive team |  |
| Authorisation of research projects | Director of Quality & Nursing |  |
| Review of fire precautions | Planning Manager |  |
| Review of all statutory compliance legislation and Health & Safety requirements | Planning Manager |  |
| Review of Medicines Inspectorate Regulations | Medicines Management Team (via the LPF contract) |  |
| Review of compliance with the Data Protection Act | CFO |  |
| Review of compliance with the Access to Records Act | CFO |  |
| Maintenance of a register of sealing | DCFO |  |
| **Finance and Administration** |  |  |
| Treasury Management strategy | CFO | Subject to Finance Assurance Committee recommendation |
| Monthly finance reporting to the DoH | CFO/ DCFO |  |
| **Information Technology** |  |  |
| IT strategy | AO/ CFO | Subject to approval of relevant Committee |
| IT security planning | CFO | Within agreed policy |
| Set up of new operators | CFO | Within agreed policy |
| New passwords | CFO | Within agreed policy |
| Access rights | CFO | Within agreed policy |
| Email/internet set up | CFO | Within agreed policy |
| New software | CFO | Within agreed policy |
| Internet maintenance | CFO | Within agreed policy |
| Website maintenance | CFO | Within agreed policy |
| Support contracts | CFO | Within budget |
| **Management of Budgets** |  |  |
| Approval of new Budget Holders or of changes to existing Budget Holders | CFO | Members of the SMT – for staff within their teams |
| **Contracts, Tenders and Payments** |  |  |
| Approval of procurement of goods and services;   * Quotations in writing if value in excess of £25,000 * Tender threshold – in line with the OJEU limits | Various | As set out in the Procurement Policy |
| Opening of tenders | One Senior Manager and one member of the Executive Team | As set out in the Procurement Policy |
| **Non Pay Expenditure/ Requisitioning/Ordering/**  **Payment of Goods & Services** |  |  |
| Procurement ("Contract/Call off order" value)   * Single Quote up to £25,000 * Written quotations from a minimum of at least 3 firms/individuals: between £25,000 and OJEU limit * Tender Required over £100,000   Issuing invitations to tender(which must be sent to at least 3 firms /individuals)  up to £250,000  over £500,000  Opening Tenders / Accepting Tenders   * up to £500,000 * over £500,000 up to £750,000 * over £750,000 | Various  Various  Two approved persons (Assistant Directors)  Two approved persons, one of whom must be a member of the Board  Two approved persons, one of whom must be a full member of the Board. | As set out in the  Procurement Policy.  Procurement includes:  - goods, supplies and services  - appointment of agency and consultancy staff  - leases ( via NHS Property Services)  - individual contracts, not for healthcare, which over a period of 3 years or the life of the contract (if longer) will cost over £100k |
| **Approval for Write-Offs; Disposals; Losses & Condemnations** |  |  |
| Special payments – special severance payments that exceed legal or contractual obligations | Any cases to be approved by Department of Health & Treasury |  |
| Compensation payments for NHS Continuing Healthcare restitution, in line with CCG policy on NHS Continuing Healthcare Redress:   * Up to £250,000 * > £250,000 | CFO / DCFO  Partnership Board |  |
| Ex gratia payments:   * Staff for loss of personal effects up to £1,000 * Staff for loss of personal effects > £1,000 * Other payments | Members of the SMT  AO and CFO  AO and CFO |  |
| **Approval of Business Cases** |  |  |
| Business case value – investment/dis-investment (Via the Service Proposal Management Tool )  There are different levels of detail required depending on the value of the proposal.  Revenue Funding   * under £10,000 per annum * between £50,000 and £200,000 per annum * over £200,000 * over £1,000,000 | Endorsement Panel  Exec Team  Care Contracting Committee  Partnership Board |  |
| **Capital Schemes (excluding NHS Property Services)** |  |  |
| Authorising, granting & termination of leases for equipment (value = annual commitment):  ALL leases | DCE/ CFO |  |

|  |  |  |
| --- | --- | --- |
| **Human Resources** |  |  |
| Staff establishment | Partnership Board |  |
| Authority to fill funded post on the establishment with permanent staff | Member of Exec team | Subject to budget approval |
| Authority to appoint staff to post not on formal establishment | AO or CFO | Subject to budget approval |
| Engagement of permanent staff | Members of the SMT | Subject to budget approval |
| Engagement of temporary / interim staff where funded within existing budgets | Budget Holders | Subject to budget approval |
| Overtime payments | Immediate Supervisor and CFO | Subject to budget approval |
| Approval to authorise travel and subsistence expenses | Budget Holders |  |
| Approval of requests for upgrading / regrading, to be dealt with in line with CCG Procedure | Member of Exec team |  |
| Approval of annual leave, including approval of carry forward of up to 5 days to a subsequent annual leave year | Line Managers |  |
| Approval of special leave, in line with CCG policy and procedure (includes carer’s leave, parental leave, maternity/paternity leave, unpaid leave) | Line Managers |  |
| Approval of study leave, in line with CCG policy and procedure | Members of the SMT |  |
| **Cash** |  |  |
| Petty cash disbursements up to £50 per item | Signatory delegated by Budget Holder |  |
| Petty cash disbursements > £50 | Not Allowed |  |
| Approval of petty cash authorised signatories | DCFO |  |

Key to abbreviations in “Authority” column:

CCO Chief Clinical Officer

CFO Chief Financial Officer

DCE Deputy Chief Executive

DCFO Deputy Chief Finance Officer

SMT Senior Management Team