

Governing Body (public) Meeting

DATE: 26 March 2015

Title	Schedule of Matters Update	
Recommended action for the Governing Body	<p>That the Governing Body:</p> <p>APPROVE the amendments to the Schedule of Matters, as laid out in the Executive summary and highlighted in the detailed schedule; as recommended by the Finance Sub-Committee.</p>	
Executive summary	<p>The CCG has taken the opportunity to revise the Schedule of Matters Delegated to Officers to take into account known changes and to ensure that the document is fit for purpose for 2015/16. There are few changes this year.</p> <p>Appendix 1 is the revised Schedule of Matters updated for the required amendments showing track changes. The main reasons for these amendments are listed below:</p> <ul style="list-style-type: none"> • Update of job titles throughout the document. • Section 11 - Change of Medicines Management Group to Medicines Management Sub-Committee. • Section 18 - Update for the changes in internal and external audit management; and appointment of external auditors by the AIAC from 2016. • Section 27 - Update for the fact that all travel claims are approved on Workforce by line managers. • Section 29 - Update for changes to Procurement law. <p>Once approved by the Governing Body, the new Schedule will be shared with the South East CSU and communicated across the CCG so that implementation can take place.</p>	
Which objective does this paper support?	<p>Patients: Improve the health and wellbeing of people in Bexley in partnership with our key stakeholders</p>	N/A
	<p>People: Empower our staff to make NHS Bexley CCG the most successful CCG in (south) London</p>	✓
	<p>Pounds: Delivering on all of our statutory duties and become an effective, efficient and</p>	✓

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	economical organisation		
	Process: Commission safe, sustainable and equitable services in line with the operating framework and which improves outcomes and patient experience		✓
Organisational implications	Key risks <small>(corporate and/or clinical)</small>	The revised Schedule of Matters should consolidate the current arrangements and ensure that there is a clear process for the approval and sign off for key decisions within the organisation.	
	Equality and diversity	N/A	
	Patient impact	N/A	
	Financial	The existence of the Schedule of Matters document should ensure that the risk of financial loss to the organisation is minimised as there is a clear line of accountability for decisions.	
	Legal issues	N/A except where included in the document.	
	NHS constitution	N/A	
Consultation (public, member or other)	N/A		
Audit (considered/ approved by other committees/groups)	This report has been recommended by the March Finance Sub-Committee meeting to the Governing Body for approval.		
Communications plan	After approval, the new Schedule of Matters will be communicated to South East CSU and across the CCG for immediate implementation.		
Author	Theresa Osborne, Chief Financial Officer		
	Clinical lead	Executive sponsor	
	Dr S Deshmukh	Theresa Osborne Chief Financial Officer	
Date	11 March 2015		

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Schedule of Matters Delegated to Officers

This Schedule of Matters has been developed in conjunction with the organisation's Standing Financial Instructions (Prime Financial Policies) and Standing Orders and will provide guidance for both the CCG and the Commissioning Support Unit (CSU), in respect of Bexley CCG. Delegated matters in respect of decisions, which may have a far-reaching effect, must be reported to the Chief Officer. **The Delegation shown below is the lowest level to which authority is delegated. Authority can be delegated upwards with no further action being required.** However, delegation to lower levels is only permitted with written approval of the Chief Officer who may, before authorising such delegation, consult with other Senior Officers as appropriate. All items concerning Finance must be carried out in accordance with the organisation's Standing Orders (~~SOs~~), ~~Standing Financial Instructions~~ Prime Financial Policies (SFIs) and Detailed Financial Procedures. All financial limits in this schedule of matters delegated to officers are subject to sufficient budget being available.

In the absence of the Chief Officer (CO), where a matter cannot wait until their return, the Schedule of Matters shall read Chief Financial Officer (CFO). In the absence of both the CO & CFO, where a matter cannot wait until their return, the Schedule of ~~m~~Matters shall read Director.

In the absence of the Chief Financial Officer (CFO), the ~~Assistant Director of Financial Management~~ CSU Bexley Head of Finance or the Assistant Director of Programme Management & Business Performance will act on their behalf. In the case of signing contracts, where this cannot wait until the CFO's return, these will be signed by another Director. ~~Where there would be a conflict of interest with the CSU Bexley Head of Finance in their role with the CSU, they would not be expected to assume the CFO role. On these occasions, the role will be assumed by the Assistant Director of Programme Management & Business Performance or another Director.~~

Bexley CCG has a zero tolerance to Fraud and Bribery. Delegated Officers will abide by the CCG's Anti-Bribery Policy and the policy in relation to Fraud and ~~the~~ Fraud Response Plan.

REF	DELEGATED MATTERS	AUTHORITY DELEGATED TO
1	Bank Accounts Maintenance and Operation in accordance with mandates approved by the CCG Governing Body	All banking administered by CSU, but must be managed in accordance with organisational SFIs and SOs. Locally, these are in line with the CCG Detailed Financial Procedures.
2	CCG Budgets Responsibility for keeping expenditure within budgets	

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REF	DELEGATED MATTERS	AUTHORITY DELEGATED TO
	a) At individual budget level (Pay and Non Pay) b) At service level c) For the totality of service covered by directorate	a) Budget Manager b) Head of Service/Departmental Manager c) Director of Service or equivalent
3 i) ii) iii) iv)	<p>Business Cases/Additional Budgetary Requirements for CCG budgets, i.e. in addition to budgets approved by the Governing body (the limits below relate to full year costs, not total costs over the life of the project)</p> <p>Authorisation of additional budgetary requirements, due to an unforeseen cost pressure, for invest to save pilots or other cost pressures that cannot reasonably wait for the next Finance Sub Committee, up to £25k (subject to receipt of appropriate documentation on which an informed decision can be made). Approvals to be reported to the next meeting of the FSC.</p> <p>Business Cases</p> <p>a) Up to £250,000 b) Over £250,001</p> <p>Mini Business Cases for Clinical Care for services which the CCG is responsible (where patient care must be funded via Health and an urgent decision is required). Funding may be made available or information will be noted as a cost pressure for future years.</p> <p><i>The "Mini Business Case" should consist of 2 pages of A4 providing details on the history of patient care, clinical needs which require funding, and the funding required (by component). Note: These would not normally be expected to be large sums for which a full business case would be expected.</i></p> <p>Authorisation of urgent expenditure up to £10k where the expenditure is urgent and cannot wait for formal approval. Examples of this would include where the approval of the expenditure will mitigate or prevent a clinical risk or to prevent a legal challenge (e.g. if a solicitors letter has</p>	<p>NB Business cases needing Governing Body approval will need to be approved by those that do not have any declared conflict of interest.</p> <p>i) Chief Officer or Chief Financial Officer</p> <p>ii)</p> <p>a) Approved by Finance Sub Committee, sent to Governing Body for information. b) Approved by Governing Body on the recommendation of the Finance Sub <u>Committee</u></p> <p>-iii) Approved by Finance Sub Committee, sent to Governing Body for information.</p> <p>iv) Assistant Director or Director or Chief Officer and reported to the Chief Financial Officer.</p>

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REF	DELEGATED MATTERS	AUTHORITY DELEGATED TO
	been received).	
4	<p>Capital Schemes</p> <p>a) Selection of architects, quantity surveyors, consultant engineer and other professional advisors within EU regulations</p> <p>b) Financial monitoring and reporting on all capital scheme expenditure to Finance Sub Committee.</p>	<p>All capital schemes relating to property will be the responsibility of NHS Property services and therefore the CCG will not have any involvement. For IT and minor capital schemes, the CCG revenue authorised limits plus detailed financial procedures will be applicable.</p> <p><u>Financial monitoring and reporting on all capital scheme expenditure will be in the monthly finance report.</u></p>
5	Charitable and Endowment Funds	The CCG does not currently hold any Charitable or Endowment Funds.
6	<p>Clinical Trials</p> <p>Authorisation of Clinical Trials</p>	Governing Body in conjunction with advice from Director of Governance and Quality, who may consult with Head of Quality, Clinical Governance and Risk Manager and Corporate Governance and Risk Manager.
7	<p>Commissioning Expenditure</p> <p>i) Purchase of Healthcare from NHS bodies - Contracts / Expenditure</p> <p>a) Signing of annual Service Level Agreements / contracts with NHS Providers below £1m</p> <p>b) Signing of annual Service Level Agreements / contracts with NHS Providers over £1m</p> <p>c) Authorisation of requisitions in line with signed SLA / contracts up to £100m</p> <p>d) Approval of Purchase Order up to £100m</p> <p>e) Authorisation of monthly invoices within agreed SLA value irrespective of amount</p> <p>f) Authorisation of monthly invoices in excess of agreed SLA value</p> <p>ii) Contract Exclusions (NHS and Non-NHS)</p> <p>a) NICE/High Cost Drugs/Home healthcare drugs</p> <p>i) Up to £50,000</p> <p>ii) Over £50,000</p>	<p>a) Either Chief Officer, Director of Commissioning or Chief Financial Officer</p> <p>b) Either Chief Officer and Director of Commissioning or Chief Officer and Chief Financial Officer</p> <p>c) Head of Contracting Team & MDT Lead (CSU) or Head of Acute Management Accounts (CSU)</p> <p>d) Procurement Operation Manager (CSU commissioned)</p> <p>e) When an invoice is received in line with an agreed purchase order it will automatically be receipted by the CSU. If Non PO, Either Chief Officer, Director of Commissioning or Chief Financial Officer</p> <p>f) Either Chief Officer, Director of Commissioning or Chief Financial Officer</p> <p>a)</p> <p>i) Up to £50,000 - Assistant Director of Medicines Management</p> <p>ii) Over £50,000 – Director of Governance & Quality or Director of Commissioning</p>

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REF	DELEGATED MATTERS	AUTHORITY DELEGATED TO
iii)	b) Individual Funding Requests (IFRs) <ul style="list-style-type: none"> i) Approval of Requisitions in line with approved IFR ii) Approval of Purchase Order iii) Non Contracted Activity (NCAs) <ul style="list-style-type: none"> i) Approval of invoices up to £1,000 ii) Approval of invoices up to £10,000 iii) Approval of invoices Over £10,000 d) All other contract exclusions Purchase of Healthcare from Non NHS Bodies (Including Private Providers or Charities) <ul style="list-style-type: none"> a) Signing of all contracts below £1m b) Signing of all contracts over £1m c) Authorisation of monthly invoices within agreed SLA value <ul style="list-style-type: none"> i) Up to £10,000 ii) £10,001-£50,000 iii) Over £50,000 d) Authorisation of monthly invoices in excess of contract value 	b) <ul style="list-style-type: none"> i) CSU IFR Lead after IFR panel approval of expenditure ii) Procurement Operation Manager (CSU commissioned) c) <ul style="list-style-type: none"> i) Senior Management Accountant Head of Business and Finance ii) Head of Finance and Business Assistant Director of Financial Management iii) Assistant Director of Health Commissioning & Contracting or Assistant Director of Transformation and Service Redesign d) Director of Commissioning
iv)	Agreement of Named Placements (not Continuing Healthcare Placements) <ul style="list-style-type: none"> a) Up to £50,000 and within approved budget b) Above £50,000 or in excess of available resources 	a) Either Chief Officer, Director of Commissioning or Chief Financial Officer b) Either Chief Officer and Director of Commissioning or Chief Officer and Chief Financial Officer c) <ul style="list-style-type: none"> i) Budget holder or Head of Service ii) Assistant Director iii) Either Chief Officer, Director of Commissioning or Chief Financial Officer d) Either Chief Officer, Director of Commissioning or Chief Financial Officer
v)	Continuing Healthcare Packages <ul style="list-style-type: none"> a) Agreement of named placements <ul style="list-style-type: none"> i) up to £700 per week routine patients or £850 per week for patients with mental health problems or £895 per week for Oaks spot contract beds. ii) for values exceeding those included in i) above 	a) Assistant Director of Health Commissioning and Contracting or AD Bexley Integrated Commissioning Assistant Director of Health Joint Commissioning b) Director of Commissioning with Finance Sub Committee approval
		a) <ul style="list-style-type: none"> i) Either AD Bexley Integrated Commissioning, CHC Business Manager

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REF	DELEGATED MATTERS	AUTHORITY DELEGATED TO
	b) Signing of Contract for placement c) Approval of invoices i) up to £10,000 ii) 10,001 to £50,000 iii) Over £50,000 d) Authorisation of monthly invoices in excess of contract value	or Clinical Continuing Healthcare Manager ii) Director of Commissioning or Chief Financial Officer b) Either AD Bexley Integrated Commissioning, CHC Business Manager or Clinical Continuing Healthcare Manager subject to ai) and aii) above c) i) CHC Business Manager or Clinical Continuing Healthcare Manager ii) AD Bexley Integrated Commissioning iii) Either Chief Officer, Director of Commissioning or Chief Financial Officer d) Either Chief Officer, Director of Commissioning or Chief Financial Officer
8	Complaints (Patients and Relatives) a) Overall responsibility for ensuring that all complaints are dealt with effectively b) Responsibility for ensuring that complaints relating to a directorate are investigated thoroughly c) Medico – Legal Complaints - Co-ordination of their management	a) Chief Officer b) Director of Service in conjunction with Director of Governance and Quality c) Director of Governance and Quality
9	Condemning & Disposal Items obsolete, obsolescent, redundant, and irreparable or cannot be repaired cost effectively.	All capital assets relating to property will be the responsibility of NHS Property Services and therefore the CCG will not have any involvement. However, items held locally such as excess furniture and redundant IT equipment can be approved for disposal by the Chief Officer or Chief Financial Officer
10	Payments to Independent Contractors (GPs, dentists, pharmacists) - Out of Hours (OOH) Community Schemes and Local Incentive Schemes expenditure a) Up to £10,000	Primary Care Contract payments, with the exception of OOH, Local Incentive Schemes and community schemes are the responsibility of NHS England and therefore the CCG will not have any involvement. For payments made to Independent Contractors for services to the CCG outside of Primary Care contracts: a) Development Manager

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REF	DELEGATED MATTERS	AUTHORITY DELEGATED TO
	b) £10,001 to £50,000 c) Over £50,000	b) AD Transformation & Redesign or AD Health Commissioning & Contracting c) Director of Commissioning
11	Drugs Authorisation of New Drugs a) Estimated total yearly cost up to £50,000 b) Estimated total yearly cost above £50,000	a) Medicines Management Sub-CommitteeGroup b) Medicines Management Sub-CommitteeGroup and Governing Body
12	Engagement of Agency Staff / Contractors / Legal advice a) Engagement of Legal advice b) Booking of Bank or Agency Staff and approval of invoices – within budget i) Up to £10,000 ii) £10,001 to £50,000 iii) Over £50,000 c) Booking of Bank or Agency Staff – in excess of budget	a) Per LPP agreement and approval of one of the following: Either Chief Officer, Chief Financial Officer, Director of Commissioning or Director of Governance and Quality b) With completion of correct HR forms & HM Revenue & Customs Employment Status Indicator i) Budget holder or Head of Service / Department ii) Assistant Director iii) Either Chief Officer, Chief Financial Officer, Director of Commissioning or Director of Governance & Quality c) Chief Officer or Chief Financial Officer
13	Extended Role Activities Approval of Nurses to undertake duties/procedures which can properly be described as beyond the normal scope of Nursing Practice	Governing Body
14	Facilities for staff not employed by the CCGTrust to gain practical experience a) Professional Recognition, Honorary Contracts & Insurance of Medical Staff b) Non Medical Work experience students	a) Chief Officer -and CSU HR Business Manager to be advised Head of Human Resources (CSU) b) Either Chief Officer, Chief Financial Officer, Director of Commissioning or Director of Governance & Quality
15	Other expenditure	

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REF	DELEGATED MATTERS	AUTHORITY DELEGATED TO
	a) Commissioning Support contract i) Approval of Requisition in line with signed contract ii) Approval of Purchase Order b) Payroll deductions i) PAYE, NIC & Pension Payments ii) Payment Requests	a) i) Chief Financial Officer or Director of Commissioning ii) Procurement Operation Manager (CSU commissioned) <u>or CCG Commissioning or Finance staff with appropriate approval limits</u> b) i) Financial Controller (CSU) ii) Financial Controller (CSU)
16	Review of fire precautions at CCG site	Board Secretary
17	Hospitality Applied to both individual and collective hospitality receipt items. In excess of £25 per item received	Declaration required by individual in Hospitality Register
18	Co-ordination of Implementation of Internal and External Audit Recommendations	<p><u>Internal audit services administered by CSU but must be in compliance with organisational SFIs and SOs and in line with CCG detailed financial procedures.</u> All audit plans will be approved by the CCG Audit & Integrated Governance Committee <u>on the recommendation of the Chief Financial Officer.</u></p> <p><u>Internal audit will be managed by the CCG and must be in compliance with organisational SFIs (Prime Financial Policies) and Standing Orders (SOs) and in line with CCG detailed financial procedures.</u></p> <p><u>The CCG will also receive a Service Auditor Report from the CSU in respect of the services supplied to the CCG.</u></p> <p>External audit will be jointly managed and must be in compliance with organisational SFIs (Prime Financial Policies) and Standing Orders (SOs) and in line with CCG detailed financial procedures.</p> <p><u>The AIAC will be expected to appoint external auditors from 2016.</u></p> <p>CCG and CSU staff will assist Internal and External auditors in their work and ensure that all audit recommendations are implemented in a timely fashion.</p>
19	Insurance Policies including NHSLA Negotiation and agreement of premiums	Chief Financial Officer

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REF	DELEGATED MATTERS	AUTHORITY DELEGATED TO
20	Investment of Funds (Including Charitable & Endowment Funds)	The CCG does not hold any Charitable or Endowment Funds.
21	Certification of invoices not included in other sections within this Schedule a) Up to £10,000 b) £10,001 to £50,000 c) Over £50,000	a) Budget holder or Head of service b) Assistant Director c) Either Chief Officer, Chief Financial Officer, Director of Commissioning or Director of Governance & Quality
22	Licences/ Agreements a) Extensions to existing leases b) Letting of premises to outside organisations c) Approval of rent based on professional assessment	All capital assets relating to property will be the responsibility of NHS Property Services and therefore it is expected that the CCG will not have any involvement. Further guidance is awaited on head office accommodation.
23	Losses, Write-off & Compensation a) Losses and Cash due to theft, fraud, overpayment etc b) Fruitless Payments (including abandoned Capital Schemes). c) Bad Debts d) Claims Abandoned. e) 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. f) Compensation payments made under legal obligation g) Extra Contractual payments to contractors. h) Ex-gratia Payments to Patients and staff for loss of personal effects: i. up to £99 ii. £100-to £499 iii. £500 to £999 iv. £1,000 to £50,000 i) Ex-gratia payments for Clinical negligence (negotiated settlements following legal advice) – up to £250,000 including claimant's legal costs j) Ex-gratia payments for personal injury claims involving negligence where legal advice obtained and followed	Losses and Compensation payments are administered by the CSU but must be in compliance with organisational SFIs (Prime Financial Policies) and SOs and in line with CCG detailed financial procedures. All costs to the CCG including write off of bad debts must be approved by the Chief Financial Officer and the Audit and Integrated Assurance Committee. The CFO may write off bad debts below £1,000 (as agreed at the 2nd September 2014 AIAC meeting).

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REF	DELEGATED MATTERS	AUTHORITY DELEGATED TO
	k) Other ex-gratia payments except cases of maladministration where there is no financial loss by claimant - up to £50,000 l) Write off of NHS Debtors	
24	Maintenance & Update of CCG Financial Procedures	Chief Financial Officer
25	Management Consultants a) Obtaining quotations / carrying out competitive interviews, within budget, where aggregate commitment in any one year or total commitment is: i) Up to £10,000 ii) £10,001 to £24,999 <u>£24,999,000</u> b) Obtaining competitive tenders / quotes or competitive interviews within budget, where aggregate commitment in any one year is £2550,000 or more c) Authorising contracts of engagement following the above d) Authorisation of consultants in excess of budget	a) i) Budget holder or Head of service ii) Assistant Director b) Either Chief Officer, Chief Financial Officer, Director of Commissioning or Director of Governance & Quality c) Either Chief Officer, Chief Financial Officer, Director of Commissioning or Director of Governance & Quality d) Chief Officer and Chief Financial Officer
26	Orders & Requisitions (not included in other sections within this schedule) a) all orders/requisitions within budget i) Up to £10,000 ii) £10,001 to £50,000 iii) Over £50,000 b) Non-Pay Expenditure for which no specific budget has been set i) Up to £24,999 ii) Over £25,000	a) i) Budget holder or Head of Service ii) Assistant Director iii) Either Chief Officer, Chief Financial Officer, Director of Commissioning or Director of Governance & Quality b) i) Chief Officer or Chief Financial Officer or Chief Officer ii) Chief Officer and Chief Financial Officer
27	Personnel & Pay a) Authority to fill funded post on the establishment with permanent staff	a) Budget Manager with approval of Director of Service or equivalent and Chief Financial Officer. CSU HR Business Manager to be informed.

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REF	DELEGATED MATTERS	AUTHORITY DELEGATED TO
	<p>b) Authority to appoint staff to post not on the agreed establishment:</p> <p>c) All requests for upgrading/re_grading (dealt with in accordance with CCG procedures)</p> <p>d) Approval of the extension of staff on fixed term contracts within budget</p> <p>e) Pay</p> <p>i) Authority to complete standing data forms affecting pay, new starters, variations and leavers</p> <p>ii) Authority to complete and authorise positive reporting forms</p> <p>iii) Authority to authorise overtime/flexi time</p> <p>iv) Authority to authorise travel & Subsistence expenses <u>on Workforceup to £250</u></p> <p>v) Authority to authorise travel & Subsistence expenses over £250</p> <p>f) Leave</p> <p>i) Approval of Annual Leave</p> <p>ii) Approval to carry forward up to maximum of 5 days in exceptional circumstances</p> <p>iii) Payment of Annual Leave in exceptional circumstances</p> <p>iv) Special leave for bereavement up to 5 days</p> <p>v) Extended Special Leave for bereavement</p> <p>vi) Special leave arrangements</p> <p style="padding-left: 20px;">- carers leave - up to 3 days in any six month period</p> <p style="padding-left: 20px;">- up to 5 days in any six month period</p> <p>vii) Leave without pay</p> <p>viii) Time off in lieu</p>	<p>b) Executive Management Committee approval. CSU HR Business Manager to be informed.</p> <p>c) Either Chief Officer, Chief Financial Officer, Director of Commissioning or Director of Governance & Quality with advice from CSU HR Business Manager (will be subject to evaluation). Chief Financial Officer to be informed for budgetary purposes.</p> <p>d) Either Chief Officer, Chief Financial Officer, Director of Commissioning or Director of Governance & Quality . CSU HR Business Manager to be informed</p> <p>e)</p> <p>i) Assistant Director or Director: CSU HR Business Manager to be informed.</p> <p>ii) Budget Manager</p> <p>iii) Assistant Director</p> <p>iv) Budget Manager</p> <p>v) Assistant Director <u>Line manager</u></p> <p>f)</p> <p>i) Line/Department Manager</p> <p>ii) Line/Department Manager <u>on discussion with Director</u> Director</p> <p>iii)) Either Chief Officer, Chief Financial Officer, Director of Commissioning or Director of Governance & Quality</p> <p>iv) Assistant Director</p> <p>v) Either Chief Officer, Chief Financial Officer, Director of Commissioning or Director of Governance & Quality</p> <p>vi)</p> <p>Assistant Director of Service. CSU HR Business Manager) to be informed</p> <p>Director of Service or equivalent. CSU HR Business Manager to be informed</p> <p>vii) Either Chief Officer, Chief Financial Officer, Director of Commissioning or Director of Governance & Quality</p> <p>viii) Either Chief Officer, Chief Financial Officer, Director of</p>

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REF	DELEGATED MATTERS	AUTHORITY DELEGATED TO
	<p>ix) Maternity and Paternity Leave – paid and unpaid</p> <p>g) Sick Leave (in exceptional circumstances) i) Extension of sick leave</p> <p>ii) Return to work part-time on full pay to assist recovery</p> <p>h) Study Leave i) Study leave outside the UK</p> <p>ii) All other study leave (UK)</p> <p>i) Removal Expenses, Excess Rent and House Purchase Authorisation of payment of removal expenses incurred by officers taking up new appointments (providing consideration was promised at interview) i) Up to £2,000</p> <p>ii) Over £2,000</p> <p>j) Grievance Procedure All grievance cases must be dealt with strictly in accordance with the Grievance Procedure and the advice of CSU HR Business Manager</p> <p>k) Authorised Car & Mobile Phone Users i) Requests for new posts to be authorised as car users ii) Requests for new posts to be authorised as mobile telephone users</p> <p>l) Staff Retirement Policy Authorisation of extensions of contract beyond normal retirement age in exceptional circumstances</p> <p>m) Redundancy</p>	<p>Commissioning or Director of Governance & Quality ix) Automatic approval with guidance CSU HR Business Manager to be informed</p> <p>g) i) Either Chief Officer, Chief Financial Officer, Director of Commissioning or Director of Governance & Quality with advice from CSU HR Business Manager ii) Either Chief Officer, Chief Financial Officer, Director of Commissioning or Director of Governance & Quality with advice from CSU HR Business Manager if required</p> <p>h) i) Either Chief Officer, Chief Financial Officer, Director of Commissioning or Director of Governance & Quality ii) Assistant Director</p> <p>i) Either Chief Officer, Chief Financial Officer, Director of Commissioning or Director of Governance & Quality and notification to CSU HR Business Manager ii) Chief Officer and notification to CSU HR Business Manager</p> <p>j) See procedure</p> <p>k) i) In line with CCG Policy ii) In line with CCG Policy</p> <p>l) In line with CCG Policy with advice from CSU HR Business Manager</p> <p>m)</p>

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REF	DELEGATED MATTERS	AUTHORITY DELEGATED TO
	<p>Authorisation to agree voluntary redundancy and determine compulsory redundancies in accordance with policy</p> <p>n) Ill Health Retirement Decision to pursue retirement on the grounds of ill-health</p> <p>o) Determination of Remuneration for Self-Employed Contractors – must comply with Revenue & Customs guidance (and David Nicholson letter) on such employment to ensure correct payment of tax & NI and employment status – preferable to employ or use agency.</p> <p>p) Employment of voluntary workers / work experience.</p>	<p>Either Chief Officer, Chief Financial Officer, Director of Commissioning or Director of Governance & Quality and Remuneration Committee with advice from CSU HR Business Manager; and appropriate permission as required from NHS England, Department of Health, Treasury. Chief Financial Officer to be consulted prior to offers to ensure available funding.</p> <p>n) Either Chief Officer, Chief Financial Officer, Director of Commissioning or Director of Governance & Quality following advice from CSU HR Business Manager and Occupational Health.</p> <p>o) Either Chief Officer, Chief Financial Officer, Director of Commissioning or Director of Governance & Quality following receipt of evidence to comply with revenue & customs guidance and employment tests.</p> <p>p) Either Chief Officer, Chief Financial Officer, Director of Commissioning or Director of Governance & Quality with advice from CSU HR Business Manager.</p>
28	Petty Cash Disbursements	The CCG no longer has any petty cash function
29	<p>Quotation, Tendering & Contract Procedures</p> <p>This section does not apply to Management Consultants (see section 25) (or other services included elsewhere within this schedule)</p> <p>a) Authority to award or sign contracts for goods/services after obtaining at least</p> <p>i) 1 quotation for expenditure less than £10,000</p> <p>ii) 1 quotation for expenditure £10,000 to £5025,000</p> <p>iii) At least 3 written quotations <u>Over £5025,000 requirement to advertise in Contracts Finder and above OJEU limit will require formal tendering</u></p>	<p>a)</p> <p>i) Budget Holder or Head of service</p> <p>ii) Assistant Director</p> <p>iii) Signing of contracts <u>Signing of contracts</u> - Either Chief Officer, Chief Financial Officer, Director of Commissioning or Director of Governance & Quality .</p> <p>iv) Use Procurement Manager to tender and procure and note OJEU limits for non-clinical <u>all</u> services.. All procurement must be</p>

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REF	DELEGATED MATTERS	AUTHORITY DELEGATED TO
	<p>iv) Competitive tenders in line with the CCG's procurement policy.</p> <p>b) Following authorisation by an appropriate CCG Committee or assigned group:</p> <p>i) Issuing of tender ii) Receiving of tender iii) Opening & recording of tender</p> <p>iv) Register of tenders received v) Post tender negotiations - formal record to be kept</p> <p>vi) Approving expenditure in excess of tender price</p> <p>c) Waiving of Quotations & Tenders as follows. All to be reported to the Audit & Integrated Assurance Committee)</p> <p>Exceptions and instances where formal tendering / quotes need not be applied: Where:</p> <p>(a) the estimated expenditure or income does not, or is not reasonably expected to, exceed <u>£5025,000</u> or</p> <p>(b) where the supply is proposed under special arrangements negotiated by the DH in which event the said special arrangements or must be complied with;</p> <p>Formal tendering procedures may be waived by the Chief Officer & Chief Financial Officer in the following circumstances:</p>	<p>authorised by an appropriate CCG Committee or assigned group prior to advertisement and on awarding of the contract. This usually being discussion at Executive Management Team and approval via Governing Body (but could be delegated to another Committee).</p> <p>Sign <u>ing of contracts</u> – Either Chief Officer, Chief Financial Officer, Director of Commissioning or Director of Governance & Quality after approval of award of contract by an appropriate committee.</p> <p>b)</p> <p>i) Head of Procurement (automated systems may be used) ii) Head of procurement (automated systems may be used) iii) Two Senior Managers not related to the tender, finance staff involved in costing the tender are not precluded. Directors are also not precluded. If estimated over £100k one must be a Governing Body member (voting or non-voting). iv) Chief Officer via Head of Procurement v) Either Chief Officer, Chief Financial Officer, Director of Commissioning or Director of Governance & Quality . vi) Chief Officer and Chief Financial Officer</p> <p>c) Chief Officer and Chief Financial Officer on appropriate completion of form; then reported to Audit & Integrated Assurance Committee</p>

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	<p>(c) in very exceptional circumstances where formal tendering / quoting procedures would not be practicable or the estimated expenditure would not warrant formal tendering procedures, and the circumstances are detailed in an appropriate record;</p> <p>(d) where the requirement is covered by an existing contract;</p> <p>(e) where PASA agreements or Public Sector Framework Agreement are in place;</p> <p>(f) where a consortium arrangement is in place and a lead organisation has been appointed to carry out tendering activity on behalf of the consortium members;</p> <p>(g) where the timescale genuinely precludes competitive tendering but failure to plan the work properly would not be regarded as a justification for a single tender;</p> <p>(h) where specialist expertise is required and is available from only one source;</p> <p>(i) when the task is essential to complete the project, and arises as a consequence of a recently completed assignment and engaging different consultants for the new task would be inappropriate;</p> <p>(j) there is a clear benefit to be gained from maintaining continuity with an earlier project. However in such cases the benefits of such continuity must outweigh any potential financial advantage to be gained by competitive tendering;</p> <p>(k) for the provision of legal advice and services providing that any legal firm or partnership commissioned is regulated by the Law Society for England and Wales for the conduct of their business (or by the Bar Council for England and Wales in relation to the obtaining of Counsel's opinion) and are generally recognised as having sufficient expertise in the area of work for which they are</p>	

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	<p>commissioned. The Chief Officer, Chief Financial Officer or Director of Governance & Quality will ensure that any fees paid are reasonable and within commonly accepted rates for the costing of such work.</p> <p>(I) where allowed and provided for in the Capital Investment Manual.</p> <p>The waiving of competitive tendering procedures should not be used to avoid competition or for administrative convenience or to award further work to a consultant originally appointed through a competitive procedure, except in exceptional circumstances. The Chief Officer & Chief Financial Officer will abide by the anti bribery policy for the CCG at all times when approving tender waivers.</p> <p>Where it is decided that competitive tendering is not applicable and should be waived, the fact of the waiver and the reasons should be documented and recorded in an appropriate record and reported to the Audit & Integrated Governance Committee at each meeting.</p>	
30	Research Projects Authorisation of Research Projects	Governing Body in conjunction with Director of Governance and Quality
31	Register of Interests The keeping of a Declaration of Interests Register	Chief Officer via the Board Secretary
32	Sealing of Documents	Two ² of the following are required to seal documents: Chief Officer, Chief Financial Officer, Director of Commissioning, Director of Governance via the Board Secretary
3533	Sponsorship Authorisation of Sponsorship deals	Chief Officer and Governing Body
3634	Extension of Contract Where an extension to an existing contract is required, for example due to a potential delay in the procurement process, and is allowable in the contract, details should be provided of the term of extension and the	Approval for extensions to contracts where the term and monetary value is provided and there is a valid reason for the extension can be granted by the Finance Sub Committee; or requested via a tender of



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	monetary value of the extension.	waiver document to be approved by the Chief Officer and Chief Financial Officer.-
3735	Raising of sales orders Authorisation of sales orders for goods or services provided by the CCG. i) Up to £50,000 (credit memo upto £10,000) ii) £50,001 to £250,000 (credit memo upto £100,000) iii) Up to £1m (credit memo upto £1m)	i) Head of Management Accounts Head of Finance and Business or Financial Controller Senior Financial Accountant (CSU) ii) Head of Finance Assistant Director of Financial Management or Senior Financial Accountant Financial Controller (CSU) iii) Chief Officer or Chief Financial Officer