



Operational Scheme of Delegation

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POLICY AMENDMENTS

Amendments to the Policy will be issued from time to time. A new amendment history will be issued with each change.

New Version Number	Issued by	Nature of Amendment	Approving Body	Approval Date	Date Published on Website
1.0	ED Finance and Investment / ED Corporate Affairs	New Document	Integrated Care Board	1 July 2022	1 July 2022



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1.0 Purpose

This **Operational** Scheme of Delegation (OSoD) is derived from the Scheme of Reservation and Delegation (SoRD) incorporated within the Constitution and the Standing Financial Instructions. It sets out who has 'day to day' operational decision making defining delegated limits and routes of escalation for sign off where appropriate.

The OSoD is a key control document across the Integrated Care Board (ICB) incorporating decisions made for the ICB (equally across the full breadth of the ICB) and those delegated to Place. Where there are specific Place based variations, these are stipulated within the relevant sections.

As per the ICB Constitution and associated overarching SoRD some functions are Delegated to Place. These functions will be delegated through the officers of the ICB (centrally or in Place) unless they are explicitly delegated to a committee.

2.0 Other Key Documents

- ICB Constitution (incorporating Standing Orders and Scheme of Reservation and Delegation)
- ICB Standing Financial Instructions
- ICB Losses and Special Payments Policy
- Budgetary Control Framework
- Procurement Policy
- Managing Public Money (with annexes)
- Government Accounting manual (GAM)

3.0 Framework

- All financial limits in this schedule of matters delegated to officers are subject to sufficient budget being available.
- Any decision which results in a change in strategic direction will be referred to the ICB for approval.
- Where it is necessary for expenditure to be approved that is outside of an approved budget either in value or in terms of what the budget was originally intended for, this will need to be escalated to the Director of



Finance & Investment (DoF&I) or Place Finance Lead where this is delegated to Place.

- Delegation is intended to be commensurate with the organisational hierarchy and autonomy to make operational decisions effectively. Within the constraints listed above Places (via the Place Lead delegations) will have delegated authority below £1.5m. Decisions with a financial impact of £1.5m or above will need approval in line with the ICB OSoD.
- The Constitution (specifically the Standing Orders) outlines the process for emergency/urgent decision in exceptional circumstances.

4.0 Budgetary Management & Control

Issue	Authority Delegated to	Ref. Docs / Other Info
Budgetary Control		
Responsibility for keeping expenditure within budget: At individual budget level (pay, non-pay and income)	Budget Holder / Budget Manager	<i>Budgetary Control Framework</i>
Responsibility for keeping expenditure within budget: Totality of the service area / department	Budget Holder	
Approval of new Budget Holders or of change to existing budget holders	DOF&I Place Finance Lead (within Place delegated budgets)	
Budget transfer (virement) within pay and non-pay budgets between Place	DOF&I Place Finance Lead (within Place delegated budgets) Transfers between pay and non-pay budgets are by exception	<i>A budget virement form must be completed in all cases</i>
Budget transfer (virement) within pay and non-pay budgets within Place	DOF&I Place Finance Lead (within Place delegated budgets) Transfers between pay and non-pay budgets are by exception	<i>A budget virement form must be completed in all cases</i>



6.0 Contracts

Issue	Authority Delegated to	Ref. Docs / Other Info
Non-Healthcare Contracts		
<p>Where formal competitive tendering is not required e.g. below £213,477 including VAT and over the lifetime of the contract, then quotations must be obtained and documentary evidence kept of the following:</p> <ul style="list-style-type: none"> • under £1,000 a minimum of 1 written quote • between £1,000 and £10,000 a minimum of 2 written quotations • between £10,000 and £213,477 a minimum of 3 written quotations <p><i>In all instances a full tender process can be undertaken if deemed to be preferable.</i></p>	<p>Budget Holder/Budget Manager</p> <p>£100,000 - £213,477 requires Budget holder sign off of the preferred quote.</p> <p>Sign off must be within delegated limits</p>	<p><i>Procurement Policy</i></p>
<p><u>Competitive Tendering or Competitive Quotations</u></p> <p>For orders in excess of £663,540 (healthcare contracts) or £213,477 (non-healthcare contracts) including VAT and over the lifetime of the contract, competitive tendering will apply, the form of which is dependent on the precise goods or services involved. Therefore for all competitive tenders the advice of the DOF&I must be sought.</p> <p>Note: OJEU existing limits ('Light Touch Regime' are £663,540 including VAT and over the lifetime of the contract for healthcare services and £213,477 including VAT and over the lifetime of the contract for non-healthcare services.</p>	<p>Authority to award delegated to relevant Budget Holder/Budget Manager</p> <p>Commitment of any expenditure must be in line with delegated limits and delegated budgets.</p> <p>Agreement of preferred providers must be approved by</p> <ul style="list-style-type: none"> • ICB ≥ £1.5m • Place Director < £1.5m 	<p><i>All tenders awarded should be reported to the Audit Committee for information.</i></p>
<p>Decision to tender or request quotations for new/existing service (within agreed budget)</p>	<ul style="list-style-type: none"> • ICB ≥ £1.5m • Place Director < £1.5m 	
<p>Approving expenditure greater than a tender price by</p>	<ul style="list-style-type: none"> • ICB ≥ £50k • Place Director < £50k 	



Waiving of requirement to obtain quotations and tenders	<ul style="list-style-type: none"> • ICB ≥ £1.5m • DoF&I and COO < £1.5m • Place Director and Place Finance Lead < £250k 	The DoF&I will report such waivers to the Audit Committee for transparency.
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Non-Pay Expenditure – Contract Award

Issue	Authority Delegated to	Ref. Docs / Other Info
Contracts		
Contract Approval	Approval <ul style="list-style-type: none"> • ICB – limited to approved funding • Place – limited to approved funding 	<i>Refer to Procurement and delegated limits</i>
Contract Signing Signing of appropriate contract documentation (within agreed budgets)	Contract Signature <ul style="list-style-type: none"> • DoF&I or COO • Place Director & Place Finance Lead < £1.5m • Budget Manager < £50k 	
Contract Approval – Variations and Amendments Approval of contract variations and subsequent amendments to contract payments (within agreed budgets)	<ul style="list-style-type: none"> • DoF&I or COO • Place Director & Place Finance Lead < £1.5m • Budget Manager < £50k 	
Approval of research contracts including the signing of appropriate contract documentation	<ul style="list-style-type: none"> • ICB – limited to approved funding • Executive Director < £10,000 	
Other contractual payments (e.g. CQUIN, reconciliation adjustments)	Budget Holder or budget holder representative within delegated limits and in line with contract terms	



7.0 Other matters

7.1.1 Non-Contract & Continuing Care

Issue	Authority Delegated to	Ref. Docs / Other Info
Non-Contract & Continuing Care		
Payments of invoices for non-contractual activity	<ul style="list-style-type: none"> • DoF&I or CNO • Place CHC lead & Place Finance Lead < £1.5m • Budget Manager < £50k 	
Approval of Continuing Healthcare, Mental Healthcare (s117), Transforming Care, Personal Healthcare Budgets and other miscellaneous individual care packages and incidental expenses (not including Individual Funding Requests)	<ul style="list-style-type: none"> • CHC – Senior Nurses - <£2000 per week • Place Based CHC Lead / Budget / Portfolio holder ≥ £5,000 per week • Place Director ≥ £5,000 per week 	CHC Panel Policy
Payments in respect of Continuing Healthcare, Mental Healthcare (S117), Transforming Care, Personal Healthcare Budgets and other miscellaneous individual care packages and incidental expenses (not including Individual Funding Requests)	<p>Place budget holder unless delegated to a Place CHC finance/admin team.</p> <p>For Place CHC finance/admin team the following rules apply;</p> <ul style="list-style-type: none"> • Finance/Admin Manager - for invoices by individual homes/ packages < £50,000 • Deputy Place Finance Lead - for invoices by individual homes/ packages < £250,000 • Place Finance Lead - for invoices by individual homes/ packages > £250,000 • Local Authority recharges for jointly funded care packages should be approved in line with the above limits per placement package recharge (i.e. if one of the recharges exceeds £250k the whole of the recharge invoice should be approved by the Place Finance Lead) 	<p><i>All invoices to be reviewed against budgets in iQA / Broadcare PRIOR to approving where applicable</i></p> <p><i>Approval process will be commensurate with Place arrangements</i></p>



Retrospective Continuing Healthcare Claims	<ul style="list-style-type: none">• DoF&I or Chief Nurse• Place Director or Place Finance Lead < £1.5m	
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7.1.2 Medicine Management

Issue	Authority Delegated to	Ref. Docs / Other Info
Medicine Management		
<p>Approval of medicines commissioning and formulary</p> <p>Through Area Prescribing Committees</p> <ul style="list-style-type: none"> North Yorkshire and York Humber 	<ul style="list-style-type: none"> delegated decision making up to the value of £10,000 per 100,000 population per annum per decision, ensuring consistency across Places' and for budget management within the agreed prescribing budget. Decisions at both Prescribing Committees will be reported to the Humber and North Yorkshire Medicines Optimisation Board to ensure consistency across the ICB. Decisions above this threshold will be escalated to the Humber and North Yorkshire Medicines Optimisation Board 	

7.1.3 Income

Sales, Income & Debtors		
Approval of sales invoices	<ul style="list-style-type: none"> DoF&I or COO Place Director or Place Finance Lead < £1.5m Deputy Place Finance Lead < £250k 	
Approval of sales credit notes/cancellation of invoices (note – excludes correcting credit notes eg invoice raised in error)	<ul style="list-style-type: none"> DoF&I or COO Place Director & Place Finance Lead < £1.5m 	
Setting of Fees & Charges	<ul style="list-style-type: none"> DoF&I or COO 	



7.1.4 Business Cases

Business Cases - Investment and Disinvestment		
Approval of business cases for investment & disinvestment decisions This includes capital schemes.	<ul style="list-style-type: none"> ICB £1.5 million and above Place Director < £1.5 million 	

7.1.5 Other Staff Benefits

Issue	Authority Delegated to	Ref. Docs / Other Info
Other Staff Benefits		
Lease cars	Budget Holder in line with operational process	<i>Lease Car Policy</i>
Salary sacrifice schemes	Remuneration Committee	

7.1.6 Engagement of bank / agency staff

Engagement of bank / agency staff		
Booking of Bank or Agency Staff	Budget Holder in line with organisational establishment/engagement control framework and in line with IR35 rules and regulations	

7.1.7 Agreements and licences

Agreements / Licences		
Preparation and signature of all tenancy agreements/ licences for all staff subject to CCG Policy on accommodation for staff/operating leases/indemnity agreements/joint venture documents and service level agreements	DoF&I or COO	
Extensions to existing leases	DoF&I or COO	



Letting of premises to outside organisations	DoF&I or COO	
Approval of corporate rent based on professional assessment	DoF&I	

7.1.8 Condemning and disposal of assets

Condemning & Disposal of Assets		
Items obsolete, obsolescent, redundant, irreparable or cannot be repaired cost effectively. IT Equipment	<ul style="list-style-type: none"> ICB £1.5 million and above DoF&I < £1.5 million Budget Holder < £500 	To be reported to Audit Committee

7.1.9 Losses and special payments

Losses, Write-offs & Compensation		
Losses & Special Payments (Refer to Losses and Special Payments Policy)	DoF&I	<i>To be reported to Audit Committee</i>
Bad debts write-off (NHS & Non-NHS) (Refer to Losses and Special Payments Policy)	DoF&I	<i>To be reported to Audit Committee</i>
Maintenance & Update of CCG Financial Procedures	DoF&I	

7.1.10 Bank accounts

Bank Accounts – Maintenance & Operation		
Approval of banking arrangements, including opening and closing of bank accounts and credit facilities.	DoF&I	
Approval of credit card arrangements, including opening and closing of credit card accounts and credit facilities.	DoF&I	
Day to day operation of organisational bank accounts	Financial Services Lead or Financial Services Lead Deputy in conjunction with Shared Business Services representative	
Authorisation for cash drawdown	Financial Services Lead or Financial Services Lead Deputy	
Authorisation for cheque requests	<ul style="list-style-type: none"> • DoF&I • Financial Services Lead or Financial Services Lead Deputy < £200,000 	