



Operational Scheme of Delegation

March 2023

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Committee Approved:	Integrated Care Board
Approved date:	March 2023
Review Date:	March 2024
Equality Impact Assessment:	Completed
Policy Number:	To be added once approved
Version Number:	3.0

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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	July 2022
2.0	ED Finance and Investment / ED Corporate Affairs	Revised Document	Integrated Care Board	8 February 2023	February 2023
3.0	ED Finance and Investment / ED Corporate Affairs	Revised Document	Integrated Care Board	8 March 2023	TBC

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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 Executive Director of Finance & Investment (EDoF&I) or Place Director of Finance where the original budget 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 per annum. Decisions with a financial impact of £1.5m per annum or above will need approval in line with this OSoD.
- In most circumstances the ICB's or place-based equivalent Budget Holders are the Executive Directors or NHS Place Directors. Budgets are

held by a single accountable person (a named Budget Holder as detailed in the Budgetary Control Framework) who is responsible for delivering services or specific objectives and is accountable for the associated expenditure. Budget holders are permitted to delegate responsibilities to other individuals (Budget Managers and Budget Supervisors) who can carry out daily tasks on behalf of the Budget Holder and have authority to make decisions based on these onward delegations including contract awards and approval of invoice payments. All onward delegations must be documented in writing and clearly describe the parameters of the delegations including financial limits and any restrictions for particular types of expenditure and the Budget Holder will always retain accountability for the budget. These approval limits may vary between teams and team members.

- 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	Executive Director of Finance and Investment or Place Director of Finance (within Place delegated budgets)	
Budget transfer (virement) within pay and non-pay budgets between Place	Executive Director of Finance and Investment or Place Director of Finance (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	Executive Director of Finance and Investment or Place Director of Finance (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>

5.0 Procurement

Non-Pay Expenditure – Quotations & Tendering

Issue	Authority Delegated to	Ref. Docs / Other Info
Procurement		
<p>Before orders are placed for goods and services the following conditions must be complied with:</p> <p>a) Confirmation that budgetary provision is available and</p> <p>b) Where competitive tendering or competitive quotations are not required (as per the thresholds below), NHS Supply Chain and any published framework contracts can be accessed as an alternative to a formal quotation or tendering exercise.</p> <p>(NB Ensure the framework used has already been subject to a formal tendering exercise)</p> <p>c) For Requisitions that exceed a 12 Month Period the limits below relate to the total commitment being made by the CCG including non-recoverable VAT; e.g. an award for 3 years needs to be considered as a total value of the 3 years and not the annual value.</p>	<p>Budget Holder/Budget Manager</p> <p>Commitment of any expenditure must be in line with delegated limits stated herein</p>	<p><i>Procurement Policy</i></p> <p><i>Budgetary Control Framework</i></p>
<p><u>Healthcare Contracts (as defined by Schedule 3 of the Public Contracts Regulations 2015)</u></p> <p>Where formal competitive tendering is not required e.g. below £663,540 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 £100,000 a minimum of 2 written quotations; • £100,001 to £663,540 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 within delegated limits</p>	<p><i>Procurement Policy</i></p> <p><i>Budgetary Control Framework</i></p>

<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 within delegated limits</p>	<p><i>Procurement Policy</i></p> <p><i>Budgetary Control Framework</i></p>
<p><u>Competitive Tendering or Competitive Quotations</u> 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 EDOF&I must be sought.</p> <p>Competitive tendering is not required for NHS providers whose contracts are agreed through the annual planning process.</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>Budget Holder/Budget Manager within delegated limits and delegated budgets.</p>	<p><i>Procurement Policy</i></p> <p><i>Budgetary Control Framework</i></p> <p><i>All tenders awarded should be reported to the Audit Committee for information.</i></p>
<p>Approving expenditure greater than a tender price by</p>	<p>Executive Director of Finance and Investment over £50,000</p> <p>NHS Place Director < £50,000</p>	

6.0 Contracts

Non-Pay Expenditure – Contract Award

Issue	Authority Delegated to	Ref. Docs / Other Info
Contracts		
Contract Award including waiving of requirement to obtain quotations and tenders	<p><u>NHS providers whose contracts are agreed through the annual planning process (any value)</u></p> <ul style="list-style-type: none"> Executive Director of Finance and Investment and Chief Executive Officer <p><u>Contract value (total) >£1.5 million per annum</u></p> <ul style="list-style-type: none"> ICB Board <p><u>Contract value (total) <£1.5 million per annum</u></p> <ul style="list-style-type: none"> Single Place – NHS Place Director and Place Director of Finance Multiple Places - NHS Place Director and Place Director of Finance from each Place Centrally held ICB-wide – relevant Executive Director and Executive Director of Finance and Investment 	<p><i>Procurement Policy</i></p> <p><i>Budgetary Control Framework</i></p> <p>The EDof&I will report such waivers to the Audit Committee for transparency.</p>
Contract Signing Signing of appropriate contract documentation (within agreed budgets)	<p><u>NHS providers whose contracts are agreed through the annual planning process (any value)</u></p> <ul style="list-style-type: none"> Executive Director of Finance and Investment or Chief Executive Officer <p><u>Contract value (total) >£1.5 million per annum</u></p> <ul style="list-style-type: none"> Relevant Executive Director or Executive Director of Finance and Investment <p><u>Contract value (total) >£50,000 < £1.5 million per annum</u></p> <ul style="list-style-type: none"> Single Place – NHS Place Director or Place Director of Finance Multiple Places - NHS Place Director or Place Director of Finance from each Place Centrally held ICB-wide – relevant Executive Director or Executive Director of Finance and Investment <p><u>Contract value (total) < £50,000 per</u></p>	<p><i>Procurement Policy</i></p> <p><i>Budgetary Control Framework</i></p>

	<u>annum</u> <ul style="list-style-type: none"> • Single Place – Budget holder • Multiple Places – Budget holder • Centrally held ICB-wide – Budget Holder 	
Contract Approval – Variations and Amendments to existing contracts Approval of contract variations and subsequent amendments to contract payments (within agreed budgets)	<u>Contract variation value > £1.5 million per annum</u> <ul style="list-style-type: none"> • Executive Director of Finance and Investment or Deputy Chief Executive/Chief Operating Officer <u>Contract variation value > £50,000 < £1.5 million per annum</u> <ul style="list-style-type: none"> • Single Place – NHS Place Director or Place Director of Finance • Multiple Places - NHS Place Director or Place Director of Finance from each Place • Centrally held ICB-wide – relevant Executive Director or Executive Director of Finance and Investment <u>Contract variation value < £50,000 per annum</u> <ul style="list-style-type: none"> • Single Place – Budget holder • Multiple Places – Budget holder • Centrally held ICB-wide ICB – Budget Holder 	<i>Procurement Policy</i> <i>Budgetary Control Framework</i>
Approval of research contracts including the signing of appropriate contract documentation	ICB – limited to approved funding Relevant 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		
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)	<p>CHC – Senior Nurses - <£2000 per week</p> <p>Place Based CHC Lead / Budget / Portfolio holder ≥ £5,000 per week</p> <p>NHS Place Director ≥ £5,000 per week</p>	<i>CHC Panel Policy</i>
Retrospective Continuing Healthcare Claims	<p>Executive Director of Finance and Investment and Executive Director of Nursing over £1.5 million</p> <p>NHS Place Director and Place Director of Finance < £1.5 million</p>	

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 	<p>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.</p> <p>Decisions at both Prescribing Committees will be reported to the Humber and North Yorkshire Medicines Optimisation Board to ensure consistency across the ICB.</p> <p>Decisions above this threshold will be escalated to the delegated budget holder.</p>	

7.1.3 Income

Issue	Authority Delegated to	Ref. Docs / Other Info
Sales, Income & Debtors		
Approval of sales invoices	Executive Director of Finance and Investment or Deputy Chief Executive/Chief Operating Officer over £1.5 million NHS Place Director or Place Director of Finance < £1.5 million Deputy Place Director of Finance < £250,000	
Approval of sales credit notes/cancellation of invoices (note – excludes correcting credit notes e.g. invoice raised in error)	Executive Director of Finance and Investment or Deputy Chief Executive/Chief Operating Officer over £1.5 million NHS Place Director & Place Director of Finance < £1.5 million	
Setting of Fees & Charges	Executive Director of Finance and Investment or Deputy Chief Executive/Chief Operating Officer	
Prescribing Rebate Schemes	Delegated to the Prescribing Budget holder subject to completion of the “ICB Primary Care Rebate Scheme: Assessment and Decision Form” (within their delegated limits)	

7.1.4 Business Cases

Issue	Authority Delegated to	Ref. Docs / Other Info
Business Cases - Investment and Disinvestment		
Approval of business cases for investment & disinvestment decisions This includes capital schemes.	ICB Board over £1.5 million NHS 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 (new schemes)	Remuneration Committee	

7.1.6 Engagement of bank / agency staff

Issue	Authority Delegated to	Ref. Docs / Other Info
Engagement of bank / agency staff		
Booking of Bank or Agency Staff	Budget Holder in line with organisational establishment / engagement control framework, all extant NHS England Agency Workers guidance 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	Executive Director of Finance and Investment or Deputy Chief Executive/Chief Operating Officer	
Extensions to existing leases	Executive Director of Finance and Investment or Deputy Chief Executive/Chief Operating Officer	
Letting of premises to outside organisations	Executive Director of Finance and Investment or Deputy Chief Executive/Chief Operating Officer	
Approval of corporate rent based on professional assessment	Executive Director of Finance and Investment or Deputy Chief Executive/Chief Operating Officer	

7.1.8 Condemning and disposal of assets

Condemning & Disposal of Assets		
Items obsolete, obsolescent, redundant, irreparable or cannot be repaired cost effectively.	ICB Board over £1.5 million	To be reported to Audit Committee
IT Equipment	Executive Director of Finance and Investment < £1.5 million Budget Holder < £500	

7.1.9 Losses and special payments

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

7.1.10 Bank accounts

Bank Accounts – Maintenance & Operation		
Approval of banking arrangements, including opening and closing of bank accounts and credit facilities.	Executive Director of Finance and Investment	
Approval of credit card arrangements, including opening and closing of credit card accounts and credit facilities.	Executive Director of Finance and Investment	
Day to day operation of organisational bank accounts	Associate Director of Finance or Head of Financial Services in conjunction with Shared Business Services representative	
Authorisation for cash drawdown	Associate Director of Finance or Head of Financial Services	
Authorisation for cheque requests	Executive Director of Finance and Investment over £200,000 Associate Director of Finance or Head of Financial Services <£200,000	