

Staffordshire and Stoke-on-Trent ICB - Scheme of Financial Delegation (Delegated Limits)

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| Definitions | |
| Line Manager | Must be a minimum Band 8c based upon the Agenda for Change Pay Bands |
| Designated Budget Holder (if not specifically mentioned they are identified by their Agenda for Change Pay Band) | Identified through the Authorised Signatory List signed by Executive Director or Managing Director. Approval Limit to a maximum limit by Agenda for Change Pay Band |
| Pay Band 6 | <£1,000 |
| Pay Band 7 | <£5,000 |
| Pay Band 8a | <£10,000 |
| Pay Band 8b | <£25,000 |
| Pay Band 8c | <£50,000 |
| Pay Band 8d | <£75,000 |
| Pay Band 9 | <£100,000 |
| Finance Business Partner | Defined as Director of Operational Finance, Financial Controller, Head of Financial Management and Planning, Head of Programme Finance - Primary Care, Head of Programme Finance - Acute and Community and Head of Programme Finance - Mental Health and CHC |

| REF | Delegated To | Financial Limit (excluding VAT) |
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| 1 | QUOTATION AND TENDER LIMITS (Non Healthcare Goods/Services and Non-Contracted Activity ONLY) | |
| | In accordance with the ICB's Standing Financial Instructions, quotations and tenders should be obtained for goods and services in accordance with the following limits in respect of Non Healthcare Goods/Services and Non Contracted Activity only (as defined in the ICB Procurement Policy): | |
| | Informal Price Testing | Up to £20,000 |
| | 2 Competitive Quotations Required | £20,001 - £50,000 |
| | 3 Competitive Quotations Required | £50,001 - £100,000 |
| | In accordance with Procurement Legislation/Compliant Framework - Formal Tendering unless exclusion by special arrangements negotiated with NHSE/I, Tender Waiver or Supplier registered to a compliant framework | Chief Finance Officer or Chief Executive £100,001 - £500,000 |
| | In accordance with Procurement Legislation/Compliant Framework - Formal Tendering unless exclusion by special arrangements negotiated with NHSE/I, Tender Waiver or Supplier registered to a compliant framework | ICB Board approval - Chief Finance Officer or Chief Executive allowed to sign if ICB Board approval given. Over £500,000 |
| 2 | WAIVING OF TENDERING / QUOTATIONS (Non Healthcare Goods/Services and Non-Contracted Activity ONLY) | |
| | Delegated authority to waive the requirement to seek tenders for Non Healthcare goods/services only, or to obtain quotations, or to accept a tender or quotation which is not the lowest | Chief Finance Officer/Chief Executive Up to £500,000 |
| | The reasons for seeking a single tender waiver must be documented using the ICB single tender waiver form. The Audit Committee will receive a periodic report of all single tender waiver requests approved. | Finance and Performance Committee approval - Chief Finance Officer or Chief Executive allowed to sign if FPC approval given. £500,001 - £2,000,000 |
| | | ICB Board approval - Chief Finance Officer or Chief Executive allowed to sign if ICB Board approval given. Over £2,000,000 |
| 3 | PROCUREMENT OF HEALTHCARE GOODS AND SERVICES | |
| | In accordance with the Provider Selection Regime (PSR) as outlined within the ICB Procurement Policy. Healthcare Services as defined within the ICB Procurement Policy. | Procurement Operational Group Nil Financial Value (Recommendation only) |
| | The Audit Committee will receive a periodic report of all contracts awarded under the Provider Selection Regime. | |
| 4 | CONTRACT AWARD (INCLUDING GRANT AWARDS) | |
| | Providing all the conditions set out in the Prime Financial Policies relating to procurement and the ICB Procurement Policy have been met, formal approval and awarding of a contract may be undertaken in accordance with the delegated limits specified. | Up to £100,000 dependent upon Agenda for Change Banding of Budget Holder |
| | (The limits are total contract values) | Executive Director/Portfolio Director Up to £500,000 |
| | | Chief Finance Officer Up to £2,000,000 |
| | | Chief Executive and Chief Finance Officer acting jointly Up to £4,000,000 |
| | | Finance and Performance Committee Up to £10,000,000 |
| | | ICB Board Over £10,000,000 |

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| 5 | CONTRACT SIGNATURE | | |
| | Delegated authority to sign contracts on behalf of the ICB, within the ICB's approved revenue budget (The limits are total contract values) | Executive Director/Portfolio Director/Chief Transformation Officer/Chief Delivery Officer | Up to £10,000,000 |
| | | Chief Finance Officer/Chief Executive | Over £10,000,000 |
| | Delegated authority to sign primary care medical contracts approved by the Primary Care Forum, within the delegated budget from NHSE and the ICB's approved revenue budget. | Chief Finance Officer/Chief Executive/Chief Medical Officer | Unlimited |
| 6 | APPROVAL OF HEALTHCARE CONTRACT MANDATE PAYMENTS | | |
| | Delegated authority to approve monthly mandate payments against Provider service level agreements and other healthcare contracts. | Finance Business Partner/Senior Financial Accountant/Portfolio Director/Executive Director | 1/12 of annual contract value |
| | | Chief Finance Officer/Director of Operational Finance | Unlimited |
| 7 | CONTRACT OVERPERFORMANCE | | |
| | Any Over performance activity for contracts where SLA in place and offset by financial under performance within the same portfolio. This includes overperformance against an Expected Annual Contract Value i.e. Any Qualified Provider Service | Executive Director/Portfolio Director | Up to 2.5% of total contract value |
| | Any Over performance activity for contracts where SLA in place and not offset by financial under performance within the same portfolio. This includes overperformance against an Expected Annual Contract Value i.e. Any Qualified Provider Service | Chief Executive and Chief Finance Officer acting jointly | Up to 2.5% of total contract value |
| | | Finance and Performance Committee | Up to 5% of total contract value |
| | | ICB Board | Unlimited |
| 8 | APPROVAL OF REVENUE EXPENDITURE (excluding CHC) | | |
| | These delegated limits relate to approval of expenditure that is Business as Usual – this excludes any new or novel expenditure and excludes approval of significant variations to existing expenditure. | Designated Budget Holder | Up to £100,000 dependent upon Agenda for Change Banding of Budget Holder |
| | | Executive Director/Portfolio Director | Up to £2,000,000 |
| | For all new investments refer to the Business Case section. Note : • Authority limits of individual officers must be set out in an approved Accountability Card. • Expenditure must be covered by a relevant budget • These expenditure limits can only be exercised when all other relevant and applicable conditions and circumstances as set out in the ICB's Prime Financial Policies have been complied with. For example, obtaining quotations or tenders. | Chief Finance Officer/Chief Executive - subject to approval by Finance and Performance Committee | Over £2,000,000 |
| 9 | APPROVAL OF CAPITAL EXPENDITURE | | |
| | Capital Schemes – Following Governing Body Approval of the Capital Programme | Chief Executive and Chief Financial Officer to agree Capital Limits and delegate to Project Leads for the approved Capital Schemes. | All Amounts |
| | | Chief Finance Officer - authority to vire across Capital schemes | Up to 10% Variance on any given scheme |
| | | Finance and Performance Committee - authority to vire across Capital Schemes | Over 10% Variance on any given scheme |

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| 10 | ENGAGEMENT OF CONSULTANCY AND AGENCY SUPPORT STAFF | | |
| | Delegated authority to engage consultancy support and agency staff. Amounts specified are in respect of any one individual, firm or role, and are cumulative in the case of extensions. Tendering processes highlighted in this document (ref 1 & 2) must be adhered to. (The limits are total contract values) Current NHS England guidance relating to engagement of Agency & Consultancy support must be adhered to: NHSE approval is required for: - consultancy engagements exceeding £50k in value; - Very Senior Manager Contracts with a Daily Rate > £750 - all non-clinical agency staff irrespective of financial value. | Executive Director/Portfolio Director Executive Director/Portfolio Director and Chief Executive/Chief Finance Officer Finance and Performance Committee | Up to £50,000 where affordable within non pay budgets Over £50,000 where affordable within non pay budgets Unlimited where Consultancy Input is required and not affordable within non pay budgets |
| 11 | APPROVAL OF CONTINUING HEALTHCARE PACKAGES | | |
| | Delegated authority to approve continuing healthcare packages with third party providers for individual patients. Note: 1.the delegated authority can only be actioned following approval by the ICB that the patient is eligible for CHC funding. 2.the limits apply to both care home and domiciliary care and are for weekly values | | |
| | 8am - 6pm Monday - Friday | Midlands and Lancashire Designated Officer or Senior Clinical Quality Improvement and Assurance Manager for Continuing Healthcare Associate Director - MH,LDA & CYP/Head of Portfolio - Integration/Clinical Nurse Specialist - Mental Capacity Act, Deprivation of Liberty & Safeguarding Director of Nursing All Age Continuing Care | Up to £3,000 £3,000 - £5,000 £5,000 - £7,500 |
| | 8am - 6pm Saturday - Sunday | Chief Executive and Chief Finance Officer acting jointly following recommendation from Chief Nursing Officer Midlands and Lancashire Designated Officer ICB Gold on Call | Over £7,500 Up to £3,000 £3,000 - £7,500 |
| | 6pm - 8am Weekdays and Weekends | Gold on Call after which Chief Nursing Officer will correspond with both the Chief Executive/Chief Finance Officer to seek retrospective approval at the earliest opportunity during the subsequent working week. ICB Gold on Call Gold on Call after which Chief Nursing Officer will correspond with both the Chief Executive/Chief Finance Officer to seek retrospective approval at the earliest opportunity during the subsequent working week. | Over £7,500 Up to £7,500 Over £7,500 |
| 12 | BUSINESS CASES (EXCLUDING PRIMARY CARE DELEGATED COMMISSIONING) | | |
| | These are defined as new investments not classed as business as usual. (The limits are annual contract values and can be recurrent or non-recurrent) | Finance and Performance Committee ICB Board | Up to £5,000,000 Over £5,000,000 |
| 13 | BUSINESS CASES - PRIMARY CARE DELEGATED COMMISSIONING | | |
| | Delegated authority to approve business cases for procurement or re-procurement of Primary Care services (The limits are annual contract values and can be recurrent or non-recurrent) | Chief Transformation Officer Chief Transformation Officer and Chief Finance Officer acting jointly Finance and Performance Committee ICB Board | Nil or Net Neutral cost Up to £1,000,000 £1,000,000 - £5,000,000 Over £5,000,000 |
| 14 | BUDGET VIREMENT LIMITS | | |
| | Approval of budget virements / movements within approved revenue budgets. | Designated Budget Holder and Finance Business Partner Finance Business Partner and Executive Director/Portfolio Director Chief Finance Officer/Director of Operational Finance | Up to £100,000 within own Cost Centre Up to £5,000,000 Unlimited |
| 15 | BALANCE SHEET LIMITS | | |
| | Delegated authority to approve balance sheet transactions eg. Creation and utilisation of provisions | Senior Financial Accountant Financial Controller Chief Finance Officer/Director of Operational Finance | Up to £1,000,000 Up to £5,000,000 Unlimited |
| 16 | APPROVAL OF PETTY CASH | | |
| | Delegated authority to approve purchases from petty cash. | Senior Financial Accountant/Financial Controller | Up to value of petty cash float |
| 17 | LOSSES AND SPECIAL PAYMENTS | | |
| | Delegated authority to approve special payments as per Losses and Special Payments Policy. Delegated authority to approve losses as per Losses and Special Payments Policy. Note: a summary of losses and special payments must be reported to the Audit Committee at least annually | Chief Finance Officer Chief Finance Officer NHS England | Up to £95,000 Up to £300,000 Special Payments Over £100,000 Losses Over £300,000 |
| 18 | FEES AND CHARGES | | |
| | Overseas visitors, Income generation and other patient related services In line with Local and National Policies | Director of Operational Finance and Executive Director/Portfolio Director | Unlimited |

| 19 CREDIT NOTES | | |
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| Raising of credit notes following the issue of an original invoice | Designated Budget Holder | Up to £25,000 |
| | Deputy Chief Finance Officer | £25,001 - £150,000 |
| | Chief Finance Officer/Director of Operational Finance | Over £150,000 |
| 20 CLINICAL SUPPORT PAYMENTS/EXECUTIVE BOARD PAYMENTS OUTSIDE OF PAYROLL | | |
| <p>Clinical Support Proforma to be completed- Recording Role Requirements and agreed sessions in accordance with Remuneration agreed rate and within overall Budget resource as per individual cost centre. Remuneration Committee agrees rates for reimbursement/sessions</p> <p>Payment of GP/Practice Manager Executive Invoices for Governing Body roles - Invoices submitted in accordance with Remuneration Committee Rate and agreed Sessions. Where not on payroll i.e. Practice Manager Executive. All such roles should now be paid through the payroll.</p> | Designated Budget Holder | Up to £25,000 |
| | Director of Corporate Governance/Chief Medical Officer | £25,001 - £75,000 |
| | Director of Corporate Governance/Chief Medical Officer and Chief Finance Officer | Over £75,000 |
| | Chief Finance Officer/Chief Executive | Unlimited |
| 21 EMPLOYMENT RELATED TRANSACTIONS - PERSONAL & PAY | | |
| Authority to fill funded posts within establishment | Chief Executive/Chief Finance Officer/Executive Director/Portfolio Director. Can be delegated to nominated Deputy Directors | |
| Authority to appoint staff to post without establishment post if not affordable within Pay financial envelope | Chief Executive | |
| Changes to Grade/WTE MIX not in line with establishment but affordable within Pay financial envelope | Chief Executive/Chief Finance Officer/Executive Director/Portfolio Director | |
| Appointment of posts - where Market payment required outside normal A4C conditions | Remuneration Committee | |
| Authority to complete standard forms for Starters | Chief Executive/Chief Finance Officer/Executive Director/Portfolio Director. Can be delegated to nominated Deputy Directors | |
| Authority to complete standard forms for leavers | Chief Executive/Chief Finance Officer/Executive Director/Portfolio Director. Can be delegated to nominated Deputy Directors | |
| Authority to authorise overtime excluding Urgent Care Team | Chief Finance Officer/Chief Executive | |
| Authority to authorise overtime Urgent Care Team only | Chief Delivery Officer/Head of Urgent Care Operations | |
| Authority to authorise Travel and Subsistence expenses | Line Manager | |
| Authority to authorise Leave | Line Manager, can be delegated to Band 8a | |
| Approval Study leave | Line Manager | |
| Approval Compassionate/Special Leave < 5 days | Line Manager | |
| Approval Compassionate /Special Leave >5 days | Line Manager | |
| Time off in Lieu | Line Manager | |
| Maternity Leave - Paid and Unpaid | As per HR Guidance | |
| Authorisation of Sick Leave | Line Manager | |
| Extensions to Sick leave pay arrangements i.e. Full pay on phased return etc. | Line Manager in conjunction with advice from HR | |
| Salary Advances | Line Manager | |
| Nominal Role | Line Manager | |
| Travel Request Forms | Line Manager | |
| Training Approval Forms | Line Manager | |
| Lease Car Authorisation | Line Manager | |

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| 22 | PERSONAL HEALTH BUDGETS | | |
| | Delegated authority to approve Personal Health Budget packages with third party providers for individual patients. Note: 1.The delegated authority can only be actioned following approval by the ICB that the patient is eligible for PHB funding. 2.the limits are for weekly values per package of care | Midlands and Lancashire Designated Officer Associate Director - MH,LDA & CYP/Head of Portfolio - Integration Associate Director - Safeguarding & CHC Chief Executive and Chief Finance Officer acting jointly following recommendation from Chief Transformation Officer | Up to £3,000 £3,000 - £5,000 £5,000 - £7,500 Over £7,500 |
| 23 | SECTION 117s | | |
| | Delegated authority to approve Joint Funded packages for individual patients. Note: 1.The delegated authority can only be actioned following approval by the ICB that the patient is eligible for Section 117 funding. 2.the limits are for weekly values per package of care | Midlands and Lancashire Designated Officer Associate Director - MH,LDA & CYP/Head of Portfolio - Integration Associate Director - Safeguarding & CHC Chief Executive and Chief Finance Officer acting jointly following recommendation from Chief Transformation Officer | Up to £3,000 £3,000 - £5,000 £5,000 - £7,500 Over £7,500 |
| 24 | PRIOR APPROVALS/INDIVIDUAL PACKAGES OF CARE | | |
| | Delegated authority to approve packages of care outside of commissioning policy/core services with third party providers for individual patients. Note: 1.the limits are for weekly values per package of care | Director of Integration and Portfolio Director Chief Executive and Chief Finance Officer acting jointly following recommendation from Portfolio Director - Improving Population Health | Up to £7,500 Over £7,500 |
| 25 | INDIVIDUAL FUNDING REQUESTS | | |
| | Delegated authority to approve packages of care outside of commissioning policy/core services with third party providers for individual patients. Note: 1.the limits are for annual values per package of care | Portfolio Director - Improving Population Health following panel review Chief Executive and Chief Finance Officer acting jointly following recommendation from Portfolio Director - Improving Population Health | Up to £250,000 Over £250,000 |
| 26 | CHILDREN AND YOUNG PEOPLE COMPLEX CASES | | |
| | Delegated authority to approve packages of care at individual patient level to make a contribution to the delivery of care to meet identified health needs of a Child or Younger Person following a panel review. Note: 1.the limits are for weekly values per package of care | Senior Strategic Lead Head of Strategic Commissioning Director of Integration Chief Executive and Chief Finance Officer acting jointly following recommendation from Chief Transformation Officer | Up to £1,000 £1,000 - £3,000 £3,000 - £7,500 Over £7,500 |
| 27 | DISPOSAL OF ASSETS | | |
| | Sale or Gifting of any Assets | Chief Finance Officer and reported to Audit Committee | Unlimited |
| 28 | PHARMACY,OPTOMETRY AND DENTISTRY (POD) | | |
| | Delegated authority to NHS England staff/staff hosted by another ICB but with agreement of SSOT ICB to approve expenditure in respect of Pharmacy, Optometry and Dentistry services only. | NHS Agenda for Change Pay Band 5 NHS Agenda for Change Pay Band 6 NHS Agenda for Change Pay Band 7 NHS Agenda for Change Pay Band 8a - 8c NHS Agenda for Change Pay Band 8d - 9 | Up to £5,000 Up to £10,000 Up to £30,000 Up to £50,000 Up to £100,000 |
| 29 | Remuneration Committee | | |
| | Delegated authority for matters relating to remuneration, fees and other allowances for employees and other individuals who provide services to the ICB. | Remuneration Committee | Unlimited (All decisions are reported to ICB Board) |

| | Officer | Deputy Officer |
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| In the event of the Officer identified in the table opposite being unavailable (eg. annual leave or sickness) then the relevant deputy officer, as identified in the table, may assume the delegated authority of that post holder. | Chief Executive | Chief Finance Officer and Deputy Accountable Officer or Executive Director if nominated by Accountable Officer |
| In the event that both the Accountable Officer and the Chief Finance Officer are unavailable at the same time then the Director of Operational Finance/Director of Planning will not be able to assume the delegated authority of the Accountable Officer. Approval must be held until either the Chief Executive or Chief Finance Officer become available, or interim management arrangements have been put in place. | Chief Finance Officer | Director of Operational Finance or Director of Planning |