

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

Version 1.8

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)
<b>1</b>	<b>QUOTATION AND TENDER LIMITS (Non Healthcare Goods/Services and Non-Contracted Activity ONLY)</b>		
	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	Designated Budget Holder/Director of Operational Finance	Up to £20,000
	2 Competitive Quotations Required	Designated Budget Holder/Director of Operational Finance	£20,001 - £50,000
	3 Competitive Quotations Required	Designated Budget Holder/Director of Operational Finance	£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
<b>2</b>	<b>WAIVING OF TENDERING / QUOTATIONS (Non Healthcare Goods/Services and Non-Contracted Activity ONLY)</b>		
	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
<b>3</b>	<b>PROCUREMENT OF HEALTHCARE GOODS AND SERVICES</b>		
	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.		
<b>4</b>	<b>CONTRACT AWARD (INCLUDING GRANT AWARDS)</b>		
	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.	Designated Budget Holder	Up to £100,000 dependent upon Agenda for Change Banding of Budget Holder
		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
	(The limits are total contract values)		

<b>5</b>	<b>CONTRACT SIGNATURE</b>		
	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
<b>6</b>	<b>APPROVAL OF HEALTHCARE CONTRACT MANDATE PAYMENTS</b>		
	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
<b>7</b>	<b>CONTRACT OVERPERFORMANCE</b>		
	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
<b>8</b>	<b>APPROVAL OF REVENUE EXPENDITURE (excluding CHC)</b>		
	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
<b>9</b>	<b>APPROVAL OF CAPITAL EXPENDITURE</b>		
	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

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	Up to £50,000 where affordable within non pay budgets
		Executive Director/Portfolio Director and Chief Executive/Chief Finance Officer	Over £50,000 where affordable within non pay budgets
		Finance and Performance Committee	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	Up to £3,000
		Associate Director - MH,LDA & CYP/Head of Portfolio - Integration/Clinical Nurse Specialist - Mental Capacity Act, Deprivation of Liberty & Safeguarding	£3,000 - £5,000
		Director of Nursing All Age Continuing Care	£5,000 - £7,500
		Chief Executive and Chief Finance Officer acting jointly following recommendation from Chief Nursing Officer	Over £7,500
	8am - 6pm Saturday - Sunday	Midlands and Lancashire Designated Officer	Up to £3,000
		ICB Gold on Call	£3,000 - £7,500
		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
	6pm - 8am Weekdays and Weekends	ICB Gold on Call	Up to £7,500
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	
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	Up to £5,000,000
		ICB Board	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	Nil or Net Neutral cost
		Chief Transformation Officer and Chief Finance Officer acting jointly	Up to £1,000,000
		Finance and Performance Committee	£1,000,000 - £5,000,000
		ICB Board	Over £5,000,000
14	BUDGET VIREMENT LIMITS		
	Approval of budget virements / movements within approved revenue budgets.	Designated Budget Holder and Finance Business Partner	Up to £100,000 within own Cost Centre
		Finance Business Partner and Executive Director/Portfolio Director	Up to £5,000,000
		Chief Finance Officer/Director of Operational Finance	Unlimited
15	BALANCE SHEET LIMITS		
	Delegated authority to approve balance sheet transactions eg. Creation and utilisation of provisions	Senior Financial Accountant	Up to £1,000,000
		Financial Controller	Up to £5,000,000
		Chief Finance Officer/Director of Operational Finance	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.	Chief Finance Officer	Up to £95,000
	Delegated authority to approve losses as per Losses and Special Payments Policy.	Chief Finance Officer	Up to £300,000
	Note: a summary of losses and special payments must be reported to the Audit Committee at least annually	NHS England	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

<b>19</b>	<b>CREDIT NOTES</b>		
	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
<b>20</b>	<b>CLINICAL SUPPORT PAYMENTS/EXECUTIVE BOARD PAYMENTS OUTSIDE OF PAYROLL</b>		
	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	Designated Budget Holder	Up to £25,000
		Director of Corporate Governance/Chief Medical Officer	£25,001 - £75,000
	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.	Director of Corporate Governance/Chief Medical Officer and Chief Finance Officer	Over £75,000
		Chief Finance Officer/Chief Executive	Unlimited
<b>21</b>	<b>EMPLOYMENT RELATED TRANSACTIONS - PERSONAL &amp; PAY</b>		
	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	

<b>22</b>	<b>PERSONAL HEALTH BUDGETS</b>		
	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	Up to £3,000
		Associate Director - MH,LDA & CYP/Head of Portfolio - Integration	£3,000 - £5,000
		Associate Director - Safeguarding & CHC	£5,000 - £7,500
		Chief Executive and Chief Finance Officer acting jointly following recommendation from Chief Transformation Officer	Over £7,500
<b>23</b>	<b>SECTION 117s</b>		
	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	Up to £3,000
		Associate Director - MH,LDA & CYP/Head of Portfolio - Integration	£3,000 - £5,000
		Associate Director - Safeguarding & CHC	£5,000 - £7,500
		Chief Executive and Chief Finance Officer acting jointly following recommendation from Chief Transformation Officer	Over £7,500
<b>24</b>	<b>PRIOR APPROVALS/INDIVIDUAL PACKAGES OF CARE</b>		
	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	Up to £7,500
		Chief Executive and Chief Finance Officer acting jointly following recommendation from Chief Transformation Officer	Over £7,500
<b>25</b>	<b>INDIVIDUAL FUNDING REQUESTS</b>		
	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	Chief Transformation Officer following panel review	Up to £250,000
		Chief Executive and Chief Finance Officer acting jointly following recommendation from Chief Transformation Officer	Over £250,000
<b>26</b>	<b>CHILDREN AND YOUNG PEOPLE COMPLEX CASES</b>		
	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	Up to £1,000
		Head of Strategic Commissioning	£1,000 - £3,000
		Director of Integration	£3,000 - £7,500
		Chief Executive and Chief Finance Officer acting jointly following recommendation from Chief Transformation Officer	Over £7,500
<b>27</b>	<b>DISPOSAL OF ASSETS</b>		
	Sale or Gifting of any Assets	Chief Finance Officer and reported to Audit Committee	Unlimited
<b>28</b>	<b>PHARMACY,OPTOMETRY AND DENTISTRY (POD)</b>		
	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	Up to £5,000
		NHS Agenda for Change Pay Band 6	Up to £10,000
		NHS Agenda for Change Pay Band 7	Up to £30,000
		NHS Agenda for Change Pay Band 8a - 8c	Up to £50,000
		NHS Agenda for Change Pay Band 8d - 9	Up to £100,000
<b>29</b>	<b>Remuneration Committee</b>		
	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
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