

**Surrey Heartlands - Financial Scheme of Reservation and Delegation**

Each of the three Surrey Heartlands' Clinical Commissioning Groups (NHS Guildford & Waverley CCG, NHS North West Surrey CCG and Surrey Downs CCG) Governing Body has approved the implementation and application of this Financial Scheme of Reservation and Delegation across Surrey Heartlands.  
Review of this Financial Scheme of Reservation and Delegation should take place at least annually and any changes be recommended by the Audit Committees for approval by the Governing Bodies of Surrey Heartlands.

**General Principles:**

The delegation limits contained in this document are the lowest level to which authority is delegated.  
Authority can be delegated upwards with no formal action being required. Delegation to lower levels is only permitted with written approval of the Joint Accountable Officer / CCG Managing Director who will, 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, Standing Financial Instructions 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 Finance Officer, the Deputy CFO for the CCG 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 Executive Director. In the case of any conflict of interest, an Executive Director not involved in the process should sign the contract.  
The identity of individuals holding delegated financial authority under this section is recorded and confirmed through the maintenance of a signatory list authorised by the Chief Finance Officer.

	<b>DELEGATED MATTERS &amp; LIMITS</b>	<b>DELEGATED TO</b>	<b>ADDITIONAL REQUIREMENTS OR SCOPE</b>
<b>1</b>	<b>Management of CCG Budgets</b>		
	<b>Responsibility of keeping expenditure within budgets.</b>		Authority to spend is only extended where approved budget is available.
	(a) At individual budget level (Pay and Non-Pay)	Authorised Budget Holders	
	(b) At service level	CCG Commissioning Manager or Surrey Heartlands CCG Executive Director	
	(c) For the totality of services covered by the Clinical Commissioning Group (CCG)	Joint Accountable Officer or CCG Managing Director	
	(d) For all other areas	Chief Finance Officer or Appropriate Delegated Manager	
	(e) Approving expenditure where there is a variation in the tender price up to 10% or £100,000 whichever is the higher	Deputy CFO	
	(f) Approving expenditure where there is a variation in the tender price greater than 20% or £250,000, whichever is the higher	Joint Accountable Officer, or CCG Managing Director & Chief Finance Officer (and reported to Strategic Finance Committee)	
<b>2</b>	<b>Virements</b>		
	<b>Virements - In line with Virement Policy.</b>		May not be used to create new budgets
	(a) At individual budget level within a service up to £1m	Authorised Budget Holders and Deputy CFO	To be undertaken in line with budget virement policy
	(b) Between Services greater than £1m	Governing Body and CFO	
<b>3</b>	<b>Finance Ledger System</b>		
	(a) User set up without authorisation limits, amendment not affecting authorisation limits or removal of users	Finance Staff	
	(b) Approval of user set up with authorisation limits or amendment of authorisation limits - in line with the Scheme of Delegation	Financial Controller	
<b>4</b>	<b>CCG Financial Procedures</b>		
	Maintenance & Update of CCG Financial Procedures	Deputy CFO	
<b>5</b>	<b>Maintenance &amp; Operation of Bank Accounts</b>		
	(a) Maintenance of Bank Accounts	In line with Banking Mandate	Managed in accordance with NWS CCG organisational PFP's and SOs.
	(b) Approval of routine payment runs (BACS, RFT, Cheque)	Financial Controller/Head of Finance	
	(c) Approval of faster payments (CHAPs)	Head of Finance/Financial Controller/Deputy Chief Finance Officer or a Surrey Heartlands CCG Executive Director	
	(d) Approve RTP to make a CCG collaborative fee payments	Financial Controller/Head of Finance.	After appropriate approval of raising the payment at budget level.
	(e) Approve the Group's banking arrangements	Audit Committee	
<b>6</b>	<b>Non-Pay Budgets</b>		
	<b>6.1 Ordering and Payment of Goods &amp; Services</b>		
	(a) Requisitions and Orders:		
	(i) Purchase Orders up to £20,000	Budget holders	
	(ii) Purchase Orders over £20,000 - £100,000	Deputy CFO and Budget Holder	
	(iii) All requisitions over £100,000	See Commissioning Expenditure - Section 8	
	(iv) Approval of requisitions or monthly invoices in line with signed contracts / head of terms	See Commissioning Expenditure - Section 8	
	(v) Capital Works orders up to £250k	IM&T Programme Director, Deputy Director of Contracts: Non Acute & Primary Care or Deputy CFO	
	(vi) Works orders over £250k	Joint Accountable Officer, or CCG Managing Director & Chief Finance Officer	
	(b) Non pay expenditure for which no specific budget has been set up and which is not subject to funding under delegated powers of virement		
	Subject to the limits specified above in 6.1(a)	Joint Accountable Officer, or CCG Managing Director & Chief Finance Officer	
	<b>6.2 Projects / Business Cases</b>		
	(a) Project Initiation Documents / Business Cases - Additional Budgetary Requirements for CCG Budgets:		NB Project Initiation Documents / Business cases needing Governing Body approval will need to be approved by those that do not have any declared conflict of interest.
	(i) Up to £100,000	Surrey Heartlands CCG Director plus Deputy CFO	
	(ii) Over £100,000 up to £500,000	Surrey Heartlands CCG Executive Directors plus CFO	
	(iii) Over £500,000 up to £2,000,000	Clinical Executive (NWS) or Strategic Finance Committee (Surrey Heartlands)	
	(iv) Over £2,000,000	Governing Body	NB Project Initiation Documents / Business cases needing Governing Body approval will need to be approved by those that do not have any declared conflict of interest.
<b>7</b>	<b>Quotation, Tendering &amp; Contract Procurement</b>		
	<b>7.1 Quotation, Tendering &amp; Contract Procurement</b>		All procurement must be authorised by an appropriate CCG Committee or assigned group prior to advertisement and on awarding of the contract. This usually being discussed at Joint Executive Team and approval via Governing Body  Once approved, CCG procurement advisor to issue tender and procure in accordance with OJEU limits.  This section 7 does not apply to Management Consultants (see section 15), or other services included elsewhere within this schedule.
	Authority to award or sign contracts for goods/services, after obtaining the minimum number of quotations. Following delegated limits apply:		
	(i) Goods/services up to £20,000 (Minimum of 2 written quotations required)	Authorised budget holders or SH CCG Executive Director	
	(ii) Goods/services over £20,000 - £100,000 (Minimum of 2 competitive tenders required)	CCG Managing Director and Deputy CFO	
	(iii) Goods/services over £100,000 - £200,000 (Minimum of 2 competitive tenders required)	2 Surrey Heartlands CCG Executive Directors	Subject to OJEU tender limits (the Public Contract Regulations 2015)
	(iv) Goods/services over £200,000 (Minimum of 2 and maximum of 6 competitive tenders required)	Governing Body	Subject to OJEU tender limits (the Public Contract Regulations 2015)
	<b>7.2 Waiving of quotations and tenders subject to prime financial policies</b>	The Chief Finance Officer	Must also ensure these are reported to the Audit Committee.
	<b>7.3 Opening Tenders and Quotations</b>	All tenders will be formally accepted and receipted on the electronic tendering portal by the CCG's procurement adviser.	
	<b>7.4 Evaluating Tender bids - No Limit</b>	The Evaluators	The Evaluators will be selected on the basis of being Subject Matter Experts, experienced in the scope of the questions per the procurement. There will be a minimum of TWO evaluators, expertise takes precedence over seniority and the profile of evaluators is likely to fluctuate across questions. All evaluators will have completed a Declaration of Interest prior to appointment.
<b>8</b>	<b>COMMISSIONED SERVICES EXPENDITURE (POOLED BUDGETS INCLUDING SECTION 75 ARRANGEMENTS)</b>		
	<b>8.1 Agreeing the scope, budget and duration and CCG Designated Budget Holder for the purposes of the pooled arrangement:</b>		This will all be covered by the signed S75 agreement for the pooled budgets
	(i) Up to £2m	Joint Accountable Officer or CCG Managing Director or Chief Finance Officer	
	(ii) Over £2m	Governing Body	
	<b>8.2 Agreeing the award, termination and modification of contracts for services within existing scope budget and duration, for the purposes of pooled arrangement where the contracting authority is a body other than the CCG:</b>		This will all be covered by the signed S75 agreement for the pooled budgets
	(i) Up to £2m	Joint Accountable Officer or CCG Managing Director or Chief Finance Officer	

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	(ii) Over £2m	Governing Body	
	8.3 Agreeing the award, termination and modification of contracts for services within existing budget, where the contracting authority is the CCG	Joint Accountable Officer or CCG Managing Director or Chief Finance Officer	This will all be covered by the signed S75 agreement for the pooled budgets In line with the delegated limits set out in Commissioned Services Expenditure (Healthcare)
	(i) Up to £250,000	Chief Finance Officer	
	(ii) Over £250,000	Clinical Executive (NWS) or Strategic Finance Committee (Heartlands)	
	8.4 Payments in accordance with agreed contract values for pooled budgets. If volume based, this must be within 5% of the contract schedule/planned activity:		This will all be covered by the signed S75 agreement for the pooled budgets
	(i) Up to £100,000	Designated Budget Holder	
	(ii) Over £100,000	Chief Finance Officer	
	8.5 Payment for activity not covered by written contract, or payment outside of 5% of agreed contract schedule/planned activity (eg over performance):		This will all be covered by the signed S75 agreement for the pooled budgets
	(i) Up to £50,000	Head of Finance or Deputy CFO	
	(ii) Over £50,000	Chief Finance Officer	
<b>9</b>	<b>Commissioning Expenditure (NHS &amp; Non NHS)</b>		
	<b>9.1 Signing Service Level Agreements approved within Annual Budget</b>	CCG Managing Director or Deputy CFO	
	<b>9.2 Service Level Agreements:</b>		Approval of annual requisitions in line with signed contracts / head of terms:
	(i) Agreeing contracts for the provision of healthcare services in urgent situations or for short terms contracts eg Winter pressures, SRG, CHC - Up to £100,000	CCG Managing Director or Deputy CFO	
	(ii) Agreeing contracts for the provision of healthcare services in urgent situations or for short terms contracts eg Winter pressures, SRG, CHC - Over £100,000	Chief Finance Officer or Accountable Officer	
	<b>9.3 Service Level Agreements:</b>		Regular monthly invoices including invoices supported by purchase orders of approved Service Level Agreements
	Authorisation of monthly invoices within agreed SLA value	Authorised Budget Holders	
	(i) Up to £250,000		
	(ii) Over £250,000 - £1,000,000	Head of Service	
	(iii) Over £1,000,000 - £3,000,000	Deputy Director of Contracts (dependent on contract type)	
	(iv) >£3,000,000	CCG Managing Director or Deputy CFO	
	<b>9.4 Further reimbursement of Other Healthcare Expenditure within approved allocation:</b>		
	Authorisation of further reimbursement of expenditure within approved allocation	Authorised Budget Holders	
	(i) Up to £25,000		
	(ii) Over £25,000 - £50,000	First in line to Directors	
	(iii) Over £50,000 - £100,000	Deputy CFO	
	(iv) >£100,000	Joint Accountable Officer or CCG Managing Director	
	<b>9.5 Over / under performance of commissioning contracts:</b>		In excess of the SLA value and/or Contract value
	(i) Agreement and approval of invoices. Up to £250,000	Deputy Director of Contracts (dependent on contract type)	
	(ii) Agreement and approval of invoices. Over £250,000	Deputy Director of Contracts (dependent on contract type) and Deputy CFO	
	<b>9.6 Other Expenditure</b>		
	(a) Payment for Primary Care Services:		
	(i) Approval of invoices up to £25,000	Authorised Budget holder	
	(ii) Approval of invoices >£25,000	CCG Managing Director or Deputy CFO	
	(b) Payments to Independent Contractors (GPs, dentists, pharmacists) OOH, AQP and Locally Commissioned Services (LCS) expenditure:		Payments to Independent Contractors for services to the CCG outside of Primary Care contracts and Delegated Co-Commissioning.
	(i) Up to £10,000	Budget Holder	
	(ii) Over £10,000 to £250,000	First in line to Directors	
	(iii) > £250,000	CCG Managing Director / Deputy CFO	
	(c) Certification of invoices not included in other sections within this Schedule:		
	(i) Up to £5,000	Budget holder or Head of Service / Department	
	(ii) Over £5,000 to £10,000	First in line to directors	
	(iii) Over £10,000 to £50,000	Chief Finance Officer or Surrey Heartlands CCG Executive Director	
	(iv) Over £50,000	Joint Accountable Officer, or CCG Managing Director & Chief Finance Officer	
	<b>9.7 Continuing Healthcare</b>		
	(a) Continuing Healthcare Packages		
	(i) Agreement of named placements		As determined by the Surrey Collaborative agreement for CHC under the hosting arrangements managed by Surrey Downs CCG
	(ii) Signing of Contract for placement		This is covered through the Hosting arrangements within Surrey Downs collaborative processes.
	(b) Continuing Health Care Expenditure within Budget:		
	(i) Approval of invoices up to £25,000	Authorised Budget holder	
	(ii) Approval of invoices over £25,000 up to £50,000	Deputy Head of CHC Service	
	(iii) Approval of invoices over £50,000 up to £100,000	Head of CHC Service	
	(iv) Approval of invoices >£100,000	Chief Finance Officer or Deputy Finance Officer or Surrey Heartlands CCG Executive Director	
	<b>9.8 Contract Exclusions (NHS and Non-NHS)</b>		
	(a) Non contracted activity (NCAs):		Only after full validation of every invoice has taken place
	(i) Approval of invoices up to £25,000	Authorised Budget holder	
	(ii) Approval of invoices >£25,000	Deputy CFO	
	(b) Individual Funding Requests (IFRs);		Approval of Requisitions in line with approved IFR policy
	(i) Authorisation of Individual Funding Requests	Individual Funding Requests Panel	
	(ii) Approval of invoices post authorisation by Individual Funding Requests Panel up to £25,000	Authorised Budget holder	
	(iii) Approval of invoices post authorisation by Individual Funding Requests Panel >£25,000	Chief Finance Officer or Deputy Finance Officer or Surrey Heartlands CCG Executive Director	
	<b>9.9 Drugs</b>		Refers to the cost of one drug.
	(a) NICE/High Cost Drugs/Home healthcare drugs:		In accordance with the Surrey Interface Prescribing Policy & the Arrangements for Medicines excluded from National Tariff Payment System.
	i) Up to £100,000	Associate Director of Medicines Management	
	ii) Over £100,000 up to £250,000	Associate Director of Medicines Management and Deputy CFO	
	iii) Over £250,000	Associate Director of Medicines Management and either the Joint Accountable Officer or Chief Finance Officer	Should be reported to the Governing Body
	(b) Authorisation of New Drugs:		In accordance with the Surrey Interface Prescribing Policy & the Arrangements for Medicines excluded from National Tariff Payment System.
	a) Estimated total yearly cost up to £50,000	Associate Director of Medicines Management	
	b) Estimated total yearly cost above £50,000	Associate Director of Medicines Management and a Director	Should be reported to the Governing Body
<b>10</b>	<b>Delegated Co Commissioning</b>		
	i. Decisions in relation to the commissioning procurement and management of Primary Medical Services Contracts; ii. The approval of practice mergers; iii. Planning primary medical care services; iv. Undertaking reviews of primary medical care services; v. Decisions in relation to the management of poorly performing GP practices and including, without limitation, decisions and liaison with the CQC where the CQC has reported non-compliance with standards; vi. Management of the Delegated Funds; vii. Premises Costs Directions Functions; viii. Co-ordinating a common approach to the commissioning of primary care services with other commissioners where appropriate; and ix. Such other ancillary activities that are necessary in order to exercise the Delegated Functions.	Primary Care Commissioning Committee	
	<b>10.1 Financial Approval</b>		
	(a) Delegated Budget		
	i) Budget setting and monitoring	i) Approved by the Primary Care Commissioning Committee.	Monthly reports will be prepared for the Committee.

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	(b) Calculation of Annual PMS Contract value	Approved by the Primary Care Commissioning Committee.	The Annual PMS contract sums will be prepared by the Finance Manager Primary Care
	(c) Monthly payment of PMS and GMS in accordance with contract:		
	(i) GMS – Global sum & MPIG as calculated by Exeter	Chief Finance Officer or Deputy CFO	
	(ii) PMS - Payment Requests in accordance with SLA	Chief Finance Officer or Deputy CFO	
	(d) Ad hoc Claims:		Ad hoc Claims for; Locum Reimbursement Notional Rent Reimbursements Rent Reimbursements Extended Hours Enhanced services not on CQRS
	i) Up to £50,000	Deputy CFO or Head of Finance	
	ii) Above £50,000	Deputy CFO & Managing Director, or the Chief Finance Officer	All ad hoc claims to be calculated by Finance Manager Primary Care
	(e) Payroll Deductions		
	(i) Pension payments only	Finance Manager Primary Care or Financial Controller	
	<b>10.2 Financial Limits and approvals requiring NHS England approval;</b>		
	(a) Taking any step or action in relation to the settlement of a claim,	Joint Accountable Officer, Chief Finance Officer or Chair, following approval from NHS England Head of Legal Services and Local NHS England Team Director or Director of Finance.	All actions requiring NHS England approval should be reported to the Primary Care Commissioning Committee.
	(b) Any matter in relation to the Delegated Function which is novel, contentious or repercussive.	Joint Accountable Officer, Chief Finance Officer or Chair, following approval from NHS England Head of Legal Services and Local NHS England Team Director or Director of Finance.	All actions requiring NHS England approval should be reported to the Primary Care Commissioning Committee.
	(c) The entering into of any Primary Medical Services Contract which has or is capable of having a term which exceeds five (5) years.	Joint Accountable Officer, Chief Finance Officer or Chair, following approval from NHS England Head of Legal Services and Local NHS England Team Director or Director of Finance.	All actions requiring NHS England approval should be reported to the Primary Care Commissioning Committee.
	<b>11 Capital Expenditure</b>		
	(a) Selection of architects, quantity surveyors, consultant engineer and other professional advisers within EU regulations	Joint Accountable Officer or CCG Managing Director or Chief Finance Officer	Excluding IT capital expenditure
	(b) Financial monitoring and reporting on all capital scheme expenditure	Deputy CFO	
	(c) Granting and termination of leases with annual rent		
	(i) Granting and termination of leases with annual rent up to £100,000	CCG Managing Director and Deputy CFO	
	(ii) Granting and termination of leases with annual rent >£100,000	CCG Managing Director and Chief Finance Officer	
	<b>12 Sales Orders Authorisation</b>		
	(a) Setting of Fees and Charges	Deputy CFO	
	(b) Sales orders - authorisation to raise or cancel Sales Orders	Financial Controller/Head of Finance	
	<b>13 Discretionary Grants to Local Authorities/Voluntary Bodies</b>		Reported to the Audit Committee
	(i) Approval of discretionary Grants up to £250,000	Chief Finance Officer or Surrey Heartlands CCG Executive Director	
	(ii) Approval of discretionary Grants over £250,000 up to £500,000	Joint Accountable Officer or CCG Managing Director	
	(iii) Approval of discretionary Grants >£500,000	Governing Body	
	<b>14 Recruitment &amp; Payroll</b>		
	<b>14.1 Funded Posts</b>		In accordance with policy guidelines
	(a) Authority to fill funded post on the establishment with permanent, contractors or agency staff	Authorised Budget Holders	Link to section 14.2
	(b) Additional Increments - The granting of additional increments to staff within budget	Line Manager	Increments in line with Agenda for Change
	(c) Appointing above the first pay point	HR	On the basis of evidence of previous pay
	(d) All requests for upgrading/regrading	Deputy CFO with advice from the Human Resources Department	To be dealt with in line with the establishment control process and in accordance with CCG procedures and within budget.
	<b>14.2 Establishments</b>		In accordance with policy guidelines
	(a) Additional staff to the agreed establishment with specifically allocated finance (where aggregate commitment is <£74,999)		To be dealt with in line with the establishment control process.
	(b) Additional resource (i.e., employees, contractors or agency workers, or those on inbound secondment) to the agreed establishment without specifically allocated finance	Director and Deputy CFO	
	(c) Authority to appoint employees, contractors or agency to post not on the agreed establishment	SH Executive Management Team (Joint Executive Team).	HR to be informed.
	<b>14.3 Pay</b>		In accordance with policy guidelines
	(a) Authority to complete standing data forms effecting pay, new starters, variations and leavers	Deputy CFO Line/Departmental Manager/HR	
	(b) Authority to complete and authorise positive reporting forms	Authorised Managers or Deputy CFO Line/Departmental Manager/HR	
	(c) Authority to authorise overtime	Deputy CFO Line/Departmental Manager	within AFC guidelines
	(d) Authority to claim back overpayments	Deputy CFO	
	(e) Authority to authorise travel and subsistence expenses	Line/Departmental Manager	Health Benefits including eye care / childcare
	(f) Approval of remuneration and any performance related pay assessment for VSM	Remuneration Committee (removed other)	
	(g) Approval of award or withdrawal of performance related pay steps	Departmental Manager and Deputy CFO and HR	In line with Agenda for Change
	(h) Approval of payroll BACs transmission	Financial Controller or Deputy CFO	
	<b>14.4 Payroll Deductions</b>		In accordance with policy guidelines
	(i) PAYE, NIC & Pension Payments up to £500,000	Financial Controller or Head of Finance	
	(ii) PAYE, NIC & Pension Payments over £500,000	Deputy CFO or Surrey Heartlands CCG Executive Director	
	(iii) Payment requests for payroll purposes up to £100,000	Financial Controller or Head of Finance	With approval from Deputy Finance Director or Chief Finance Officer or Surrey Heartlands CCGs Executive Director
	(iv) Payment requests for payroll purposes >£100,000	Deputy CFO or Surrey Heartlands CCG Executive Director	
	<b>14.5 Leave</b>		In accordance with policy guidelines
	(a) Approval of annual leave	Line/Departmental Manager	
	(b) Annual leave – approval of carry forward		
	(i) Annual leave – approval of carry forward up to a maximum of 5 days	Line Manager/Departmental Manager	Deputy CFO to be informed
	(ii) Annual Leave – approval of carry forward in excess of 5 days but less than 10 days	Departmental/Senior Manager	Deputy CFO to be informed
	(iii) Annual Leave – approval to carry forward 10 days or more	Surrey Heartlands CCG Executive Director	Deputy CFO to be informed
	(c) Compassionate leave up to 3 days	Line Manager	
	(d) Compassionate leave up to 6 days	Departmental/Senior Manager	
	<b>14.6 Special leave arrangements</b>		In accordance with policy guidelines
	(a) Paternity Leave	Automatic approval within guidance	
	(b) Carers leave - up to 3 days in any one year	Line Manager	
	(c) Leave without pay	Line Manager	
	(d) Payment of Annual Leave in exceptional circumstances	Deputy CFO	
	(e) Time off in lieu	Line Manager/Departmental Manager	
	(f) Maternity Leave – Paid and Unpaid	Automatic approval within guidance	
	(g) Sabbatical	Departmental Manager and Deputy CFO	
	<b>14.7 Sick Leave</b>		In accordance with policy guidelines
	(a) Extension of sick leave on half pay up to 3 months	Surrey Heartlands CCG Executive Director	
	(b) Return to work part time on full pay to assist recovery	Surrey Heartlands CCG Executive Director	
	(c) Extension of sick leave on full pay	Surrey Heartlands CCG Executive Director	
	<b>14.8 Training &amp; Study Leave</b>		In accordance with policy guidelines
	(a) Study Leave outside the UK	Surrey Heartlands CCG Executive Director	
	(b) All other study leave (UK)	Line Manager/Departmental Manager (delete Exec Director)	
	(c) Approval of Training being allocated headcount budget	Line / Departmental Manager	
	<b>14.9 Relocation</b>		Removal Expenses, Excess Rent and House Purchases

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	Authorisation of payment of removal expenses incurred by officers taking up new appointments (Providing consideration was promised at interview):	Surrey Heartlands CCG Executive Director	Approval in line with CCG HR guidance/policy
	<b>14.10 Grievance Procedure</b>		
	All grievances must be dealt with strictly in accordance with the Grievance Procedure and the advice of a Human Resources Officer must be sought when the grievance reaches the level of General Manager	Surrey Heartlands CCG Executive Director	In accordance with CCG Grievance policy
	<b>14.11 Authorised IT Equipment</b>		
	Requests for technology/mobile telephone / smartphone users & telephone remote access	Surrey Heartlands CCG Executive Director	In accordance with policy guidelines
	<b>14.12 Fixed Term Contract - Renewal</b>		
	Authorise the renewal of Fixed Term Contract	Line Manager and HR	In accordance with policy guidelines
	<b>14.13 Staff Retirement - Extension</b>		
	Authorisation of extensions of contract beyond normal retirement age in exceptional circumstances	Surrey Heartlands CCG Executive Director	In accordance with policy guidelines
	<b>14.14 Ill Health Retirement</b>		
	Authorise the decision to pursue retirement on the grounds of ill-health	Surrey Heartlands CCG Executive Director	In accordance with policy guidelines
	<b>14.15 Redundancy</b>		Authorisation to agree Mutually Agreed Resignation Service (MARS) and determine compulsory redundancies in accordance with policy
	(i) Estimated cost up to £50,000 per redundancy case	Chief Finance Officer and Remuneration Committee	
	(ii) Estimated cost over £50,000 per redundancy case	Remuneration Committee or Chair, and Joint Accountable Officer or CCG Managing Director	
	(iii) Non-contractual redundancy	NHS England and Remuneration Committee	
	<b>14.16 Dismissal</b>		In accordance with policy guidelines
	Authorisation of dismissal	Surrey Heartlands CCG Executive Director	
	<b>14.17 Settlement Agreement</b>	Surrey Heartlands CCG Executive Director	In accordance with policy guidelines
	<b>14.18 Pay in Lieu of Notice</b>	Surrey Heartlands CCG Executive Director	In accordance with policy guidelines
<b>15</b>	<b>Engagement of Staff Not On the Establishment</b>		In accordance with policy guidelines
	<b>15.1 Legal Services</b> Engagement of Legal Advice (Trust's Solicitors)	Surrey Heartlands CCG Executive Director	
	<b>15.2 Bank, Interim, Contractors, or Agency Staff</b> (a) Booking of Bank or appointment of Interim, Agency Staff – within budget:		For Management Consultants see 15.4
	i) Up to £10,000 per appointment	Budget holder or Head of Service / Department	
	ii) Over £10,001 up to £50,000 per appointment	First in line to directors	
	iii) Over £50,000 per appointment	Chief Finance Officer or Surrey Heartlands CCG Executive Director	
	(b) Booking of Bank or appointment of Interim, Agency Staff – in excess of budget	Chief Finance Officer	
	<b>15.3 Off payroll staff/agency staff</b>		
	(a) For those off payroll staff/agency staff that require Local Office sign off:		
	(i) Under £600 but greater than 6 months	Chief Finance Officer	
	(ii) Under £600 but covering an area of significant influence such as AO/Director post	Surrey Heartlands CCG Executive Director	
	(iii) Over £600 but less than £800	Chief Finance Officer	
	(b) For those off payroll staff/agency staff that require regional/national sign off:		
	(i) Greater than £800	Chief Finance Officer and Surrey Heartlands CCG Executive Director	(Local sign off plus Regional Director and Director of Finance)
	(ii) Greater than £900	Chief Finance Officer & NHSE	(Local sign off with recommendation from NHSE Regional Director/Director of Finance)
	<b>15.4 Remuneration for Self-Employed Contractors</b> Authorise the determined remuneration for Self-Employed Contractors, including Management Consultants	Chief Finance Officer, following receipt of evidence to comply with HMRC requirements (i.e. IR35).	Must comply with Revenue & Customs and NHSE guidance on such employment to ensure correct payment of tax & NI and employment status – preferable to employ or use agency.
	<b>15.5 Voluntary workers / work experience.</b> Authorise the employment of voluntary workers / work experience	Chief Finance Officer in conjunction with HR	
<b>16</b>	<b>Leases</b>		
	<b>16.1 Premises</b>		
	(a) Extensions to existing leases	Joint Accountable Officer or CCG Managing Director or Chief Finance Officer	
	(b) Approval of rent based on professional assessment	Chief Finance Officer	
	(c) Letting of premises to outside organisations	N/A	All capital assets relating to property will be the responsibility of NHS Property Services and therefore the CCG does not have any involvement.
	<b>16.2 Other Leases (eg photocopiers, franking machines)</b>		
	(a) Approval of new leasing agreement	Chief Finance Officer	
	(b) Extensions to existing leases	Joint Accountable Officer or CCG Managing Director or Chief Finance Officer	
<b>17</b>	<b>Asset Disposal</b>		
	(a) Items obsolete, obsolescent, redundant, irreparable or cannot be repaired cost effectively:		Reported to Audit Committee
	(i) with current/estimated purchase price up to £500	Deputy CFO	
	(ii) with current/estimated purchase price >£500	Joint Accountable Officer or CCG Managing Director or Chief Finance Officer	
	(b) Disposal of any asset with book value or market value >£50,000	Governing Body	
<b>18</b>	<b>Losses, Write-off &amp; Compensation</b>		All Losses and Compensation payments must be reported to the CCG Audit Committee.
	<b>18.1 Losses &amp; Compensation</b>		
	(a) Losses and cash due to theft, fraud, overpayment and others up to £50,000:		
	(i) Up to £50,000	Chief Finance Officer	
	(ii) Over £50,000	Joint Accountable Officer, or CCG Managing Director & Chief Finance Officer	
	(b) Fruitless Payments (including abandoned Capital Schemes):		
	(i) Up to £100,000	Chief Finance Officer	
	(ii) Over £100,000 up to £250,000	Joint Accountable Officer, or CCG Managing Director & Chief Finance Officer	
	(iii) Over £250,000	Surrey Heartlands Executive Management Team (Joint Executive Team)	
	(c) Bad Debts and Claims Abandoned. Private Patients, Overseas Visitors & Other:		
	(i) Up to £50,000	Chief Finance Officer	
	(ii) Over £50,000	Joint Accountable Officer, or CCG Managing Director & Chief Finance Officer	
	(d) 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):		
	(i) Up to £50,000	Chief Finance Officer	
	(ii) Over £50,000	Joint Accountable Officer, or CCG Managing Director & Chief Finance Officer	
	(e) Compensation payments made under legal obligation	Joint Accountable Officer, or CCG Managing Director & Chief Finance Officer	
	(f) Extra contractual payments to contractors:		
	(i) Up to £50,000	Chief Finance Officer	
	(ii) Over £50,000	Joint Accountable Officer, or CCG Managing Director & Chief Finance Officer	
	<b>18.2 Ex gratia payments</b>		
	(a) Patients and staff for loss of personal effects:		
	(i) Up to £500	Approved Budget Holder	
	(ii) Over £500 up to £5,000	Deputy CFO	
	(iii) Over £5,000	Chief Finance Officer	
	(b) For clinical negligence (negotiated settlements).	Governing Body	
	(c) For personal injury claims involving negligence where legal advice has been obtained and guidance applied (including plaintiff's costs).	Governing Body	
	(d) Other ex-gratia payments except cases of maladministration where there is no financial loss by claimant:		
	(i) Up to £50,000	Joint Accountable Officer or CCG Managing Director, and Chief Finance Officer	
	(ii) Over £50,000	Governing Body	
	(e) Settlement Agreements as part of terminating employment	Remuneration Committee	
	<b>18.3 Write off of NHS and Non NHS debtors:</b>		
	(i) Up to £250,000 per invoice	Chief Finance Officer - reported to Audit Committee	

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	(ii) Over £250,000 per invoice	Joint Accountable Officer, or CCG Managing Director & Chief Finance Officer	To be reported to Audit Committee
<b>19</b>	<b>Out of Hours Expenditure</b>		
	<b>19.1 Urgent expenditure</b>		
	(a) Arising during a declared major incident or system escalation, identified as necessary to avoid or mitigate harm and where an immediate decision is required:		Decision and rationale to be recorded in the incident log and reported as soon as possible to the Chief Financial Officer.
	(i) Up to £10,000	On Call Manager	
	(ii) Up to £100,000 during a major incident	Responsible senior manager/director as designated by on-call rota	
	(iii) Over £100,000	Chief Finance Officer or Surrey Heartlands CCG Executive Director	
	(b) Out of hours legal advice, identified as necessary to avoid or mitigate risk and where an immediate decision is required. Up to £5,000	Responsible senior manager/director as designated by on-call rota	
	(c) Out of hours legal advice, identified as necessary to avoid or mitigate risk and where an immediate decision is required. Over £5,000	Chief Finance Officer or Surrey Heartlands CCG Executive Director	
<b>20</b>	<b>Hospitality</b>		
	(a) Applies to both individual and collective hospitality receipt items (£50) – in line with Standards of Business Conduct and Conflicts of Interest Policy.	Individuals need to obtain prior approval from a Director	Declaration required in CCG's Hospitality Register
	(b) The Keeping of the Hospitality Register	Joint Accountable Officer or CCG Managing Director or Appropriate Delegated Director	
<b>21</b>	<b>Insurance Policies and Risk Management</b>		
	Responsible for the negotiation and agreement of Insurance Policy premiums including NHS Resolution.	Joint Accountable Officer or Executive Director of Communications & Corporate Affairs	
<b>22</b>	<b>Complaints (Patients and Relatives)</b>		Patients' and Relatives' Complaints - In conjunction with Complaints Policy
	(a) Overall responsibility for ensuring that all complaints are dealt with effectively	Joint Accountable Officer or CCG Managing Director or Surrey Heartlands CCG Executive Director of Communications and Corporate Affairs	
	(b) Responsibility for ensuring complaints relating to a Directorate are investigated thoroughly	Joint Accountable Officer or CCG Managing Director or Surrey Heartlands CCG Executive Director of Communications and Corporate Affairs	
	(c) Medico-Legal Complaints – Co-ordination of their management	Joint Accountable Officer or CCG Managing Director or Surrey Heartlands CCG Executive Director of Communications and Corporate Affairs	
<b>23</b>	<b>Register of Interests</b>		
	(a) Responsible for the keeping of a Declaration of Interests Register	Joint Accountable Officer or Executive Director of Communications & Corporate Affairs	
	(b) Ensuring that the Registers of Interest are reviewed regularly, and updated as necessary	Audit Committee	
<b>24</b>	<b>Sealing of Documents</b>		
	(a) Responsible for the Attestation of Sealings in accordance with Standing Orders	Chair or Joint Accountable Officer or CCG Managing Director or Chief Finance Officer	
	(b) Responsible for the Keeping of a register of Sealings	Joint Accountable Officer or CCG Managing Director or Appropriate Delegated Director	
<b>25</b>	<b>Purchasing Card</b>		
	(a) Approve the issues of Procurement Card	Deputy CFO and CCG Managing Director	Procurement Cards issued to staff in line with policy
	(b) Reimbursement of purchases,	Designated Budget Holder	Individual transaction limits in line with CCG policy
<b>26</b>	<b>Research Projects</b>		
	Authorisation of Research Projects	CCG Managing Director	
<b>27</b>	<b>Clinical Trials</b>		
	Authorisation of Clinical Trials	CCG Managing Director	Following consultation or sign off from the Clinical Forum/Clinical executive meetings

Accurate as at: 7th September 2018

Next Review of SoRD to take place: February 2019