

NHS OXFORDSHIRE CLINICAL COMMISSIONING GROUP

SCHEME OF DELEGATION

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APPENDIX A – SCHEME OF RESERVATION & DELEGATION





1. SCHEDULE OF MATTERS RESERVED TO THE CLINICAL COMMISSIONING GROUP (CCG) AND SCHEME OF DELEGATION

- 1.1. The arrangements made by the Clinical Commissioning Group (CCG) as set out in this scheme of reservation and delegation of decisions shall have effect as if incorporated in the CCG's constitution.
- 1.2. The CCG remains accountable for all of its functions, including those that it has delegated.
- 1.3. The following table shows those matters which are reserved and delegated for the discharge of the CCG's functions.

Serial No	Policy Area	Decision	Reserved to the Membership	Reserved or delegated to Board	Chief Executive	Director of Finance	Committees and Sub - Committees
1.	REGULATION AND CONTROL	Determine the arrangements by which the members of the CCG approve those decisions that are reserved for the membership.	✓				
2.	REGULATION AND CONTROL	Consideration and approval of applications to the NHS Commissioning Board on any matter concerning changes to the CCG's constitution, including terms of reference for the Board, its committees, membership of committees, the overarching scheme of reservation and delegated powers, arrangements for taking urgent decisions, standing orders and prime financial policies.		✓			
3.	REGULATION AND CONTROL	Exercise or delegation of those functions of the CCG which have not been retained as reserved by the CCG, delegated to the Board or other committee or sub-committee or [specified] member or employee					CCG Executive
4.	REGULATION AND CONTROL	Prepare the CCG's overarching scheme of reservation and delegation, which sets out those decisions of the CCG <u>reserved</u> to the membership and those <u>delegated</u> to the <ul style="list-style-type: none"> • Board • committees and sub-committees of the group, or • its members or employees and sets out those decisions of the Board <u>reserved</u> to the Board and those <u>delegated</u> to the <ul style="list-style-type: none"> • Board's committees and sub-committees, • members of the Board, • an individual who is member of the CCG but not the Board or a specified person for inclusion in the CCG's constitution. 					Audit Committee ✓

Serial No	Policy Area	Decision	Reserved to the Membership	Reserved or delegated to Board	Chief Executive	Director of Finance	Committees and Sub - Committees
5.	REGULATION AND CONTROL	Approval of the CCG's overarching scheme of reservation and delegation.		✓			
6.	REGULATION AND CONTROL	Prepare the CCG's operational scheme of delegation, which sets out those key operational decisions delegated to individual employees of the CCG, not for inclusion in the CCG's constitution.			✓		
7.	REGULATION AND CONTROL	Approval of the CCG's operational scheme of delegation that underpins the CCG's overarching scheme of reservation and delegation' as set out in its constitution.					Audit Committee ✓
8.	REGULATION AND CONTROL	Prepare detailed financial policies that underpin the CCG's prime financial policies				✓	
9.	REGULATION AND CONTROL	Approve detailed financial policies.					Finance Committee ✓
10.	REGULATION AND CONTROL	Approve arrangements for managing exceptional funding requests (IFR)					Quality Committee ✓
11.	REGULATION AND CONTROL	Set out who can execute a document by signature / use of the seal		✓			
12.	PRACTICE MEMBER REPRESENTATIVES AND MEMBERS OF THE BOARD	Approve the arrangements for <ul style="list-style-type: none"> identifying practice members to represent practices in matters concerning the work of the CCG; and appointing clinical leaders to represent the GPs' membership on the Board for example through election (if desired). 	✓				

Serial No	Policy Area	Decision	Reserved to the Membership	Reserved or delegated to Board	Chief Executive	Director of Finance	Committees and Sub - Committees
13.	PRACTICE MEMBER REPRESENTATIVES AND MEMBERS OF THE BOARD	Approve appointing of Board members, the process for recruiting and removing non-elected members to the Board (subject to any regulatory requirements) and succession planning.		✓			
14.	CHIEF EXECUTIVE (ACCOUNTABLE OFFICER)	Approve arrangements for identifying the CCG's proposed Chief Executive and the appointment		✓			
15.	STRATEGY AND PLANNING	Agree the vision, values and overall strategic direction of the CCG.		✓			
16.	STRATEGY AND PLANNING	Approval of the CCG's operating structure.			✓		
17.	STRATEGY AND PLANNING	Approval of the CCG's commissioning plan.		✓			CCG Executive & oversight to Board
18.	STRATEGY AND PLANNING	Approval of the CCG's corporate budgets that meet the financial duties as set out in schedule 3 to the constitution.		✓			CCG Executive & oversight to Board
19.	STRATEGY AND PLANNING	Approval of variations to the approved budget where variation would have a significant impact on the overall approved levels of income and expenditure or the CCG's ability to achieve its agreed strategic aims.		✓			
20.	ANNUAL REPORT AND ACCOUNTS	Approval of the CCG's annual report and annual accounts.		✓			Audit Committee & oversight to Board
21.	ANNUAL REPORT AND ACCOUNTS	Approval of the arrangements for discharging the CCG's statutory financial		✓			

Serial No	Policy Area	Decision	Reserved to the Membership	Reserved or delegated to Board	Chief Executive	Director of Finance	Committees and Sub - Committees
		duties.					
22.	ANNUAL REPORT AND ACCOUNTS	Approval of changes to the CCG's annual accounts following submission to May Audit Committee and Board				 with Chair of Audit Committee and one of Chief Executive or qualified accountant Lay member of Audit Committee	
23.	HUMAN RESOURCES	Approve the terms and conditions, remuneration and travelling or other allowances for Board members and Executive team members, including pensions and gratuities.					Remuneration Committee
24.	PRIMARY CARE COMMISSIONING	Approve the review, planning and procurement of primary care services in Oxfordshire					Primary Care Commissioning Committee
25.	PRIMARY CARE COMMISSIONING	Approve the primary care aspects of the overall CCG commissioning strategy in conjunction with the Board					Primary Care Commissioning Committee
26.	PRIMARY CARE COMMISSIONING	Approve any policies relating to the management by the CCG of primary care					Primary Care Commissioning Committee
27.	PRIMARY CARE COMMISSIONING	Approve GMS, PMS and APMS contracts (including the design of PMS and APMS contracts, monitoring of contracts, taking					Primary Care Commissioning

Serial No	Policy Area	Decision	Reserved to the Membership	Reserved or delegated to Board	Chief Executive	Director of Finance	Committees and Sub - Committees
		contractual action such as issuing branch/remedial notices, and removing a contract);					Committee
28.	PRIMARY CARE COMMISSIONING	Approve enhanced primary care services					Primary Care Commissioning Committee
29.	PRIMARY CARE COMMISSIONING	Approve the design of local incentive schemes as an alternative to the Quality Outcomes Framework					Primary Care Commissioning Committee
30.	PRIMARY CARE COMMISSIONING	Approve the establishment of new GP practices in an area; any merger of GP practices; and 'discretionary' payments (e.g., returner/retainer schemes).					Primary Care Commissioning Committee
31.	PRIMARY CARE COMMISSIONING	Review and approve the business case for the development of primary care related premises					Primary Care Commissioning Committee
32.	PRIMARY CARE COMMISSIONING	Approve the primary care financial plan and budget (including reserves) directly funded by NHSE; risk assessment, performance framework and annual work plan					Primary Care Commissioning Committee
33.	PRIMARY CARE COMMISSIONING	Approve the financial plan and budget for any additional primary care funding allocated by the Board					Primary Care Commissioning Committee
34.	PRIMARY CARE COMMISSIONING	Approve the establishment of primary care working groups as required with appropriate terms of reference					Primary Care Commissioning Committee
35.	HUMAN RESOURCES	Approve framework regarding the general terms and conditions of employment for all employees of the CCG including, pensions,					Remuneration Committee

Serial No	Policy Area	Decision	Reserved to the Membership	Reserved or delegated to Board	Chief Executive	Director of Finance	Committees and Sub - Committees
		remuneration, fees and travelling or other allowances payable to employees and to other persons providing services to the CCG					
36.	HUMAN RESOURCES	Recommend pensions, remuneration, fees and allowances payable to employees and to other persons providing services to the CCG.			✓		
37.	HUMAN RESOURCES	Approve disciplinary arrangements for employees, including the Chief Executive (where he/she is an employee or member of the CCG) and for other persons working on behalf of the CCG.		✓			
38.	HUMAN RESOURCES	Review disciplinary arrangements where the Chief Executive is an employee or member of another clinical commissioning group		✓			
39.	HUMAN RESOURCES	Approval of the arrangements for discharging the CCG's statutory duties as an employer.			✓		
40.	HUMAN RESOURCES	Approve human resources policies for employees and for other persons working on behalf of the CCG			✓		
41.	QUALITY AND SAFETY	Approve arrangements, including supporting policies, to minimise clinical risk, maximise patient safety and to secure continuous improvement in quality and patient outcomes.					Quality Committee
42.	QUALITY AND SAFETY	Approve arrangements for supporting the NHS Commissioning Board in discharging its responsibilities in relation to securing continuous improvement in the quality of general medical services.					Quality Committee

Serial No	Policy Area	Decision	Reserved to the Membership	Reserved or delegated to Board	Chief Executive	Director of Finance	Committees and Sub - Committees
43.	OPERATIONAL AND RISK MANAGEMENT	Prepare and recommend an operational scheme of delegation that sets out who has responsibility for operational decisions within the CCG.			✓		
44.	OPERATIONAL AND RISK MANAGEMENT	Approve changes to the provision or delivery of assurance services.					Audit Committee
45.	OPERATIONAL AND RISK MANAGEMENT	Approve the CCG's counter fraud and security management arrangements.					Audit Committee
46.	OPERATIONAL AND RISK MANAGEMENT	Approval of the CCG's risk management arrangements.					Audit Committee
47.	OPERATIONAL AND RISK MANAGEMENT	Approve arrangements for risk sharing and or risk pooling with other organisations (for example arrangements for pooled funds with other clinical commissioning groups or pooled budget arrangements under section 75 of the NHS Act 2006).		✓			
48.	OPERATIONAL AND RISK MANAGEMENT	Approval of a comprehensive system of internal control, including budgetary control that underpins the effective, efficient and economic operation of the CCG.					Finance Committee
49.	OPERATIONAL AND RISK MANAGEMENT	Approve proposals for action on litigation against or on behalf of the CCG.					Audit Committee
50.	OPERATIONAL AND RISK MANAGEMENT	Approve the CCG's arrangements for business continuity and emergency planning.					Audit Committee
51.	INFORMATION GOVERNANCE	Approve the CCG's arrangements for handling complaints.					Quality Committee

Serial No	Policy Area	Decision	Reserved to the Membership	Reserved or delegated to Board	Chief Executive	Director of Finance	Committees and Sub - Committees
52.	INFORMATION GOVERNANCE	Approval of the arrangements for ensuring appropriate safekeeping and confidentiality of records and for the storage, management and transfer of information and data.					Audit Committee
53.	TENDERING AND CONTRACTING	Approval of the CCG's contracts for any commissioning support in accordance with financial thresholds.			✓		
54.	TENDERING AND CONTRACTING	Approval of the CCG's contracts for corporate support (for example finance provision) in accordance with financial thresholds.			✓		
55.	PARTNERSHIP WORKING	Approve decisions that individual members or employees of the CCG participating in joint arrangements on behalf of the CCG can make. Such delegated decisions must be disclosed in this scheme of reservation and delegation.		✓			
56.	PARTNERSHIP WORKING	Approve decisions delegated to joint committees established under section 75 of the 2006 Act		✓			
57.	COMMISSIONING AND CONTRACTING FOR CLINICAL SERVICES	Approval of the arrangements for discharging the CCG's statutory duties associated with its commissioning functions, including but not limited to promoting the involvement of each patient, patient choice, reducing inequalities, improvement in the quality of services, obtaining appropriate advice and public engagement and consultation.		✓			
58.	COMMISSIONING AND CONTRACTING FOR CLINICAL SERVICES	Approve arrangements for co-ordinating the commissioning of services with other CCGs and or with the local authority(ies), where appropriate		✓			

Serial No	Policy Area	Decision	Reserved to the Membership	Reserved or delegated to Board	Chief Executive	Director of Finance	Committees and Sub - Committees
59.	COMMISSIONING AND CONTRACTING FOR CLINICAL SERVICES	Make decisions as members of the BOB/STP/ Commissioning Executive in line with the approved Terms of Reference which includes the option for CCG Boards to delegate additional specific individual items for decision (e.g. the agreement of a contract being procured across the footprint).			✓ Clinical Chair Chief Operating Officer		As members of the BOB/STP/ Commissioning Executive
60.	COMMUNICATIONS	Approving arrangements for handling Freedom of Information requests.					Audit Committee
61.	COMMUNICATIONS	Determining arrangements for handling Freedom of Information requests			✓		
62.	COMMUNICATIONS	Approving a comprehensive Publication Scheme for the CCG			✓		

APPENDIX B – SCHEDULE OF MATTERS DELEGATED TO OFFICERS

1. INTRODUCTION

1.1. General

This schedule of matters delegated to officers has been developed in conjunction with the organisation's prime financial policies and standing orders and will provide guidance for both the CCG and the Commissioning Support Unit. *Delegated matters in respect of decisions which may have a far reaching effect must be reported to the Chief Executive. The delegation shown below is the lowest level to which authority is delegated. Authority can be delegated upwards with no further action being required. However, delegation to lower levels is only permitted with written approval of the Chief Executive. Decision making with a financial impact must be carried out in accordance with the CCG's Standing Orders, Prime Financial Policies and detailed financial procedures. All financial limits in this schedule of matters delegated to officers are subject to sufficient budget being available.*

SCHEME OF DELEGATION TO EMPLOYEES

Standing Orders (SOs) and Prime Financial Policies set out in some detail the financial responsibilities of the Chief Executive, the Director of Finance and other executive directors of the CCG.

The Scheme of Delegation covers only matters delegated by the Board or the Primary Care Commissioning Committee to the Chief Executive and Directors and certain other specific matters referred to in Prime Financial Policies.

Further delegation may be approved.

- i) by the Board in approving specific management policies
- ii) by the CCG Chief Executive
- iii) as part of Financial Procedures approved by the Director of Finance
- iv) by the Primary Care Commissioning Committee in approving specific management policies relating to primary care

Each Director will need to consider the arrangements for authorisation of expenditure against delegated budgets and further delegation of management/professional responsibilities.

FINANCIAL CONTROL ENVIRONMENT

In accordance with Prime Financial Policies the Board (and the Primary Care Commissioning Committee in respect of primary care) exercises financial supervision and control by:

- a) Authorising the operational plan;
- b) Requiring the submission and approval of budgets within approved allocations / overall income;
- c) Defining and approving essential features in respect of important procedures and financial systems (including the need to obtain value for money); and
- d) Defining specific responsibilities placed on members of the Board, committees, members and employees as indicated in the Scheme of Delegation.
- e) Approving provision of shared services through the Commissioning Support Unit (CSU)

Once the Board (or the Primary Care Commissioning Committee in respect of primary care) has reviewed and approved the Operating Plan and any supporting financial plan / budget the Board (or the Primary Care Commissioning Committee as appropriate) will delegate approval to the Accountable Officer, the Director of Finance and other Directors and employees to commit these resources for the purpose set out in the plan subject to the financial thresholds set out in this scheme of delegation.

For the avoidance of doubt this delegation (subject to the limits approved by the Board in the Scheme of Delegation) includes:

- Approval of business cases i.e. Tables 1, 4 and 7
- Awarding of contracts including the signing of appropriate contract documentation i.e. Tables 2, 5 and 8
- Agreement of contract variations and subsequent amendments to contract payments i.e. Tables 2, 5 and 8
- Approval to vire (transfer) budgets within overall available financial resources and in line with the Operating Plan i.e. Table 3, 6 and 9
- Payment of sums due against approved contracts i.e. Table 10
- Budgetary delegation including approval of invoices, payroll expenditure and authorisation for the raising of invoices to debtors i.e. Table 10
- Operation of appropriate procurement processes within agreed financial thresholds, i.e. Table 11
- Approval of capital expenditure i.e. Table 12
- Approval of disposals, condemnations, losses and special payments i.e. Table 13
- Approval limits for Continuing Healthcare staff employed by Oxford Health NHS Foundation Trust i.e. Table 14

FINANCIAL LIMITS / THRESHOLDS

Proposed Financial Limits/Thresholds	
DESCRIPTION	Limit
Section 1 – Commissioning and contracting for health care services (except primary care)	
Approval of Business cases	See table 1 below
Authorisation of award of contracts	See table 2 below
Virements	See table 3 below
Section 2 – Commissioning and contracting for primary care services	
Approval of Business cases	See table 4 below
Authorisation of award of contracts	See table 5 below
Virements	See table 6 below
Section 3 – Non Health Care Services (Running Costs)	
Approval of Business cases	See table 7 below
Authorisation of award of contracts	See table 8 below
Virements	See table 9 below
Section 4 - General	
Invoice approval limits	See table 10 below
Contract/ Procurement procedures	See table 11 below
Approval process and delegated limits for capital expenditure	See table 12 below
Disposals, condemnations, losses and special payments	See table 13 below

Commissioning Manager = team member with delegated authority for day to day budget management reporting to the Budget Manager (Head of Service)

Budget Manager = Head of Service

Budget Holder = Executive Director

SECTION 1 – COMMISSIONING AND CONTRACTING FOR HEALTH CARE SERVICES (NOT PRIMARY CARE)

Table 1: APPROVAL OF BUSINESS CASES

Change in value per annum +/- from current spend £	Authorised by	Final Approved by
Up to £50,000	Executive Director	Director of Finance or Deputy or Assistant
Over £50,000 up to £1,000,000	Executive Director and Director of Finance	Executive Team including Director of Finance and Chief Executive
Over £1,000,000 up to £5,000,000	Executive Team including Chief Executive and Director of Finance	Finance Committee
Over £5,000,000	Finance Committee	Board

Table 2: AUTHORISATION OF AWARD OF CONTRACT

Change in value of contract +/- per annum £	Authorised by	Final Approved by
Up to £50,000	Executive Director	Director of Finance
Over £50,000 up to £1,000,000	Executive Director and Director of Finance	Executive Team including Director of Finance and Chief Executive
Over £1,000,000 up to £5,000,000	Executive Team including Chief Executive and Director of Finance	Finance Committee
Over £5,000,000	Finance Committee	Board

Table 3: DELEGATED LIMITS FOR BUDGET VIREMENTS

Budget Virement Value £	Authorised By:	Final Approved by
Up to £50,000	Commissioning Manager or Budget Manager (Head of Service)	Director of Finance or Deputy or Assistant
Over £50,000 up to £100,000	Budget manager (Head of Service) and Budget Holder (Executive Director)	Director of Finance or Deputy
Over £100,000 up to £1,000,000	Budget Holder (Executive Director) and Director of Finance	Chief Executive
Over £1,000,000 up to £5,000,000	Chief Executive	Finance Committee
Over £5,000,000	Finance Committee	Board

NB Technical virements do not require formal approval e.g. such as arise following changes to the overall Resource Limit or changes to reflect contract agreement

SECTION 2 – COMMISSIONING AND CONTRACTING FOR PRIMARY CARE SERVICES

Table 4: APPROVAL OF BUSINESS CASES

Change in value per annum +/- from current spend £	Authorised by	Final Approved by
Up to £50,000	Deputy Director (Delivery and Localities) or Executive Director (Delivery and Localities)	Director of Finance or Deputy or Assistant
Over £50,000, up to £500,000	Executive Director (Delivery and Localities) and Director of Finance	Chief Executive
Over £500,000	Executive Director (Delivery and Localities) and Chief Executive and Director of Finance	Primary Care Commissioning Committee

Table 5: AUTHORISATION OF AWARD OF CONTRACT

Change in value of contract +/- per annum £	Authorised by	Final Approved by
Up to £50,000	Deputy Director (Delivery and Localities) or Executive Director (Delivery and Localities)	Director of Finance or Deputy or Assistant
Over £50,000, up to £500,000	Executive Director (Delivery and Localities) and Director of Finance	Chief Executive
Over £500,000	Executive Director (Delivery and Localities) and Chief Executive and Director of Finance	Primary Care Commissioning Committee

Table 6: DELEGATED LIMITS FOR BUDGET VIREMENTS

Primary Care Budget Virement Value £	Authorised By:	Final Approved by
Up to £10,000	Commissioning Manager or Budget Manager (Head of Service)	Director of Finance or Deputy or Assistant
Over £10,000 up to £50,000	Budget manager (Head of Service) or Budget Holder (Executive Director)	Director of Finance or Deputy
Over £50,000 up to £500,000	Budget Holder (Executive Director) and Director of Finance	Chief Executive
Over £500,000	Chief Executive	Primary Care Commissioning Committee

NB Technical virements such as arise following changes to the overall Resource Limit do not require formal approval

SECTION 3 – NON HEALTH CARE SERVICES (RUNNING COSTS)

Table 7: APPROVAL OF BUSINESS CASES

Change in value per annum +/- from current spend £	Authorised By:	Final Approved by
Up to £50,000	Executive Director	Director of Finance or Deputy or Assistant
Over £50,000 up to £500,000	Executive Director and Director of Finance	Chief Executive
Over £500,000 up to £1,000,000	Executive Team including Chief Executive and Director of Finance	Finance Committee
Over £1,000,000	Finance Committee	Board

Table 8: AUTHORISATION OF AWARD OF CONTRACT

Change in value of contract +/- per annum £	Authorised by	Final Approved by
Up to £50,000	Executive Director	Director of Finance
Over £50,000 up to £500,000	Executive Director and Director of Finance	Chief Executive
Over £500,000 up to £1,000,000	Executive Team including Chief Executive and Director of Finance	Finance Committee
Over £1,000,000	Finance Committee	Board

Table 9: DELEGATED LIMITS FOR BUDGET VIREMENTS

Budget Virement Value £	Authorised By:	Final Approved by
Up to £50,000	Budget manager (Head of Service) or Budget Holder (Executive Director)	Director of Finance or Deputy or Assistant
Over £50,000 up to £500,000	Budget Holder (Executive Director) and Director of Finance	Chief Executive
Over £500,000 up to £1,000,000	Executive Director & Director of Finance & Chief Executive	Finance Committee
Over £1,000,000	Finance Committee	Board

NB Technical virements such as arise following changes to the overall Resource Limit do not require formal approval.

SECTION 4 – GENERAL

Table 10: APPROVAL OF INVOICES

DELEGATED TO	DELEGATION OF AUTHORITY APPROVED BY	LEVEL OF AUTHORITY
Non-Budget Managers who are requisitioners	Budget Manager against budgets they are responsible for, notified to the Director of Finance	Up to £10,000
Prior Approvals Manager	Budget Manager against budgets they are responsible for, notified to the Director of Finance	Up to £10,000
Commissioning Manager	Budget Holder (Executive Director), notified to the Director of Finance	Up to £10,000
Budget Manager (Heads of Service)	Budget Holder (Executive Director), notified to the Director of Finance	Up to £100,000
Assistant Director of Finance Head of Primary Care & Deputy Director of Delivery & Localities	Budget Holder (Executive Director), notified to the Director of Finance	Up to £200,000
Deputy Director of Finance Budget Holders (Executive Directors)	Chief Executive	Up to £5,000,000
Director of Finance and Chief Executive	Board	Unlimited

The CCG Chief Executive may delegate authority, up to a maximum of £50,000, to an officer or employee who is not a Budget Manager. Such authority to be notified to the Director of Finance.

In some instances it may also be necessary to increase delegated limits for individual Executive Directors in order to provide sufficient cover for absence of the Director of Finance and Chief Executive Officer to ensure invoice payment performance is not jeopardised. Such authority to be approved by the Director of Finance and Chief Executive Officer and its use recorded in a register.

Table 11: CONTRACT / PROCUREMENT PROCEDURES – FINANCIAL THRESHOLDS

CONTRACT VALUE	METHOD OF TENDERING	FORM OF CONTRACT	MINIMUM NUMBER INVITED TO TENDER	AUTHORITY TO LET CONTRACT OR ORDER^
Less than £5,000	No Quotations required	Official Order	No minimum	Nominated Officer up to level of delegated authority
Over £5,000 Up to £20,000	Quotations in writing if value in excess of £5,000	Official Order (with all Quotations attached if value in excess of £5,000)	At least three for quotes over £5,000	Assistant Director
Over £20,000 Up to £50,000	Quotations in writing if value in excess of £5,000	Official Order (with all Quotations attached if value in excess of £5,000)	At least three for quotes over £5,000	Executive Directors / Associate Directors / Deputy Directors
Tender Threshold £50,000				
Over £50,000 Up to £250,000	By sealed tender (or electronic alternative) Select list compiled for each contract	As specified in tender	All contractors on select list (at least three)	Executive Director or Chief Executive or Director of Finance
Over £250,000 Up to £500,000 (but see note 1)	By sealed tender (or electronic alternative) Select list compiled for each contract	As specified in tender	All contractors on select list (at least three)	Executive Director AND Chief Executive or Director of Finance
Over £500,000 Up to £1,000,000 (but see note 1)	By sealed tender (or electronic alternative) Select list compiled for each contract	As specified in tender	All contractors on select list (at least three)	Executive Director AND Chief Executive and Director of Finance AND Finance and Investment Committee
Over £1,000,000 (but see note 1)	By sealed tender (or electronic alternative) Select list compiled for each contract.	As specified in tender	All contractors on select list (at least three)	Board

There should be non-executive agreement in advance of any decision to waive the tender process and all waivers to be presented to the Chair of the Board for prior approval.

Table 11 also applies to contracts for all external consultants

CONTRACT VALUE: The term “Contract Value” is defined as the total cost to the CCG of the complete scheme or the total value of the items purchased or acquired during the contract period including payable VAT.

- ^ The above limits also apply to contract variations
- # Once awarded the Board will delegate authority to sign the contract and for making payments to appropriate members of the Executive team

Officers awarding contracts or subsequent contract variations will pay due regard to the approved procurement procedures, including the requirements of the OJEU tendering procedures and should seek the advice of the Director of Finance where required

Table 12: APPROVAL PROCESS AND DELEGATED LIMITS FOR CAPITAL EXPENDITURE

DELEGATED TO	APPROVAL LEVEL AND PROCESS	LEVEL OF AUTHORITY £
Executive Director and Director of Finance/Deputy Director of Finance	Business case – light touch	Up to £50,000
Executive team including Chief Executive and Director of Finance	Business case	over £50,000 up to £250,000
Finance Committee	Business case	over £250,000 up to £1,000,000
Board	Business case	over £1,000,000 up to £6,000,000
NHSE	Business case	Over £6,000,000

The annual capital plan will be approved by the Board.

Table 13: DISPOSALS, CONDEMNATIONS, LOSSES AND SPECIAL PAYMENTS – CCG

Type	Approved by	Limit £
Approval of disposals & condemnations	Assistant Director / Deputy Director / Executive Director	Up to £5,000
	Executive Director and Director of Finance	Over £5,000 up to £100,000
	Chief Executive and Director of Finance	Over £100,000 up to £1,000,000
	Board	Over £1,000,000
Losses & Special payments (except below)	Director of Finance	Up to £1,000
	Audit Committee	Over £1,000
Special payments – special severance payments that exceed legal or contractual obligations	Any cases to be approved by Department of Health & Treasury	£0

All losses and special payments must be reported to the Director of Finance and are reported in the CCGs annual statutory accounts

Please refer to detailed financial policy on Condemning and Disposals and Losses and Special payments

Fraud cases over £15,000 must be referred to NHS Protect Operational Service

Any loss or special payments which are “novel, contentious or repercussive” must be reported to the Department of Health

Table 14: CONTINUING HEALTHCARE STAFF EMPLOYED BY OXFORD HEALTH NHS FOUNDTION TRUST

Directorate/Service Area	Job Title	Grade	Authorisation Level
Oxford Health CHC	Head of service for Continuing Healthcare for Oxon and Bucks CCGs	8C	Up to £1,923 per week or £100k per annum and one signatory for >£100k per annum
Oxford Health CHC	Service Manager	8B	Up to £1,923 per week or £100k per annum and one signatory for >£100k per annum
Oxford Health CHC	Unit Manager	8A	Up to £1,923 per week or £100k per annum and one signatory for >£100k per annum
Oxford Health CHC	Clinical Lead	7	Up to £1k per week or £52k per annum as second signatory

Oxford Health CHC	Clinical Lead	7	Up to £1k per week or £52k per annum as second signatory
Oxford Health CHC	Clinical Lead	7	Up to £1k per week or £52k per annum as second signatory

The £100k or less authorisation level can be signed off by an 8C, 8B or 8A and if more than this needs someone at CCG to countersign. CCG employees would generally be at an 8C level to sign off up to £100k although there are exceptions to this.

The Clinical Lead Band 7s can sign off up to £52k per annum *but only with another signatory*. Again this is a higher level than CCG Band 7s would be set up to do however Band 7s employed by OCCG would be able to approve up to £10k on their own.