

Schedule of Matters Delegated to Officers

This Schedule of Matters has been developed in conjunction with the organisation's Standing Financial Instructions, Standing Orders and Scheme of Delegation. It provides guidance for the NHS South East London Integrated Care Board (ICB) in respect of those matters which have been delegated to officers. **The Delegation shown below is the lowest level to which authority is delegated. Authority can be delegated upwards with no further action being required.** All items concerning financial arrangements must be carried out in accordance with the organisation's Standing Orders, Standing Financial Instructions and Scheme of Delegation. **Unless specifically otherwise stated, all financial limits in this 'schedule of matters delegated to officers' are on the basis that expenditure commitments can be funded within agreed delegated budgets.**

In the absence of the Chief Executive, and where a matter cannot wait until their return, the Schedule of Matters shall read Deputy Chief Executive. In the absence of both the Chief Executive and the Deputy Chief Executive, where a matter cannot wait until their return; the Schedule of Matters shall read Chief Financial Officer.

In the absence of the Chief Financial Officer, the Director of Corporate Finance will act on their behalf.

NHS South East London ICB has a zero tolerance to Fraud and Bribery. Delegated Officers will abide by the ICB's Anti-Fraud and Bribery Policy and the Fraud Response Plan.

REF	DELEGATED MATTERS	AUTHORITY DELEGATED TO
1	<p>Bank Accounts</p> <p>Maintenance and operation in accordance with banking mandates.</p>	All banking must be managed in accordance with organisational Standing Financial Instructions (SFIs) and Standing Orders (SOs).
2	<p>ICB Budgets</p> <p>All ICB staff have the responsibility of keeping expenditure to within agreed budgets. The following delegated authority to spend is only extended to where the approved budget is available:</p> <p>a) At individual budget level (Pay and non-Pay)</p>	a) Budget Holders

REF	DELEGATED MATTERS	AUTHORITY DELEGATED TO
	<ul style="list-style-type: none"> b) At a service level c) For the totality of service covered by directorate d) For the totality of the budget delegated to Place e) The totality of the ICB budget <p>Management of budgets – variations to agreed budgets:</p> <ul style="list-style-type: none"> a) Approving expenditure where there is a variation to budget, or in the tender price up to 10% or £100,000 whichever is the higher. b) Approving expenditure where there is a variation to budget or in the tender price greater than 10% or £100,000 and less than 20% or £250,000, whichever is the higher. c) Approving expenditure where there is a variation to budget or in the tender price greater than 20% or £250,000, whichever is the higher. <p>Budget Virements:</p> <ul style="list-style-type: none"> a) At individual budget level within a service up to £10,000 b) At individual budget level within a service over £10,000 and < £100,000 c) Between services up to £500,000 d) Services greater than £500,000 <p>Virements should not be used to create new budgets. Virements are not permitted between pay and non-pay budgets.</p>	<ul style="list-style-type: none"> b) Head of Service/Departmental Manager c) Executive Director d) Place Executive Director e) Chief Executive <ul style="list-style-type: none"> a) Chief Financial Officer or Chief Executive Officer b) Chief Financial Officer and Chief Executive Officer c) ICB Board <ul style="list-style-type: none"> a) Budget Holders b) Executive Directors c) Chief Financial Officer or Chief Executive Officer d) ICB Board
3	<p>Business Case and Investment Approvals</p> <p>Business cases for investments must be prepared for changes to services and/or expenditure including capital or revenue, procurement of services and pathway redesigns. Business cases seeking external</p>	

Commented [DK1]: Do these fall within Permitted Changes in PSR

Commented [DK(SELI2R1)]: PSR Variation not permitted if greater than 25% of original contract value and £500k or higher. Therefore these don't contravene PSR

Commented [DM3R1]: I don't believe this is impacted by PSR. This is more about internal budget management

Commented [DK4]: Business Case takes place before a procurement therefore this section isn't relevant

Commented [DM5R4]: Agreed - this is not impacted by PSR

REF	DELEGATED MATTERS	AUTHORITY DELEGATED TO
	<p>funding must be approved by the relevant body prior to making the external request for funds.</p> <p>The following delegated authority is only extended to where the approved budget is available:</p> <p>Capital:</p> <ul style="list-style-type: none"> a) Estimated cost up to £2.50m b) Estimated cost up to £5.00m c) Estimated cost up to £10.00m d) Estimated cost up to £24.99m e) Above £25.00m <p>Revenue:</p> <ul style="list-style-type: none"> a) Estimated annual cost up to £0.50m (£2.50m cumulative) b) Estimated annual cost up to £1.25m (£6.25m cumulative) c) Estimated annual cost up to £2.50m (£12.50m cumulative) d) Estimated annual cost up to £5.00m (£25.00m cumulative) e) Estimated annual cost up to £9.99m (£49.99m cumulative) f) Estimated annual cost above £10.00m (above £50.00m cumulative) <p>Where expenditure is not fully budgeted for, the capital limits will apply – for example the CFO will have delegated authority up to £2.50m.</p>	<ul style="list-style-type: none"> a) Chief Financial Officer b) Chief Executive Officer c) CFO and CEO/Executive Committee d) Planning and Finance Committee e) ICB Board <ul style="list-style-type: none"> a) Executive Director b) Chief Financial Officer c) Chief Executive Officer d) CFO and CEO/Executive Committee e) Planning and Finance Committee f) ICB Board
4	<p>Capital Schemes</p> <p>The financial limits for quotations, tendering and contract procedures are set out below in section 30 and apply to capital expenditure.</p> <p>In addition, the following delegations apply to capital schemes:</p> <ul style="list-style-type: none"> a) Selection of architects, quantity surveyors, consultant engineer and other professional advisers within EU regulations 	<ul style="list-style-type: none"> a) Executive Director

REF	DELEGATED MATTERS	AUTHORITY DELEGATED TO
	b) Financial monitoring and reporting on all capital scheme expenditure c) Granting and termination of leases with annual rent <£100,000 d) Granting and termination of leases with annual rent >£100,000	b) Chief Financial Officer c) Chief Financial Officer d) Executive Committee
5	Charitable and Endowment Funds	The ICB is the Corporate Trustee for NHS Greenwich Charitable Funds. In the event that the ICB received a Charitable donation, the Audit Committee would be delegated the responsibility to approve whether the donation would be accepted.
6	Clinical Trials Authorisation of Clinical Trials	Chief Executive Officer
7	Discretionary Grants to Local Authorities and Voluntary Bodies Discretionary grants to local authorities and voluntary bodies should only be awarded in exceptional circumstances. The expectation of the ICB, is that all contractual commitments are made through the normal procurement process for contracts and in line with the approval limits set out in section 30 below. Where the normal procurement process is not deemed to be possible, the proposed award of all discretionary grants needs to be made to the Chief Financial Officer in the first instance. This needs to be undertaken to allow for sufficient time for the proposal to be reviewed by the Chief Financial Officer and a recommendation reached. Under no circumstances should any grants be entered into without the recommendation of the Chief Financial Officer. In these exceptional cases, the following approval limits will apply: a) Discretionary Grants up to £500,000 b) Discretionary Grants between £500,000 and £1,000,000 c) Discretionary Grants over £1,000,000	a) Chief Financial Officer b) Chief Financial Officer and Chief Executive Officer c) Executive Committee

Commented [DK6]: Believe this sits outside of procurement as per the wording in the section

Commented [DM7R6]: Agreed

8	Commissioning Expenditure - including acute and community secondary dental with effect from 1 April 2023	
(i)	Purchase of Healthcare from all bodies Service Level Agreements (SLAs) within the annual budget: a) Signing of annual local contracts/voluntary sector contracts and SLAs up to £5m b) Signing of annual local contracts/voluntary sector contracts and minor SLAs over £5m c) Authorisation of requisitions in line with signed SLA/contracts up to £250m d) Authorisation of requisitions in line with signed SLA/contracts up to £500m e) Approval of Purchase Orders up to £500m f) Authorisation of monthly invoices within agreed SLA value irrespective of amount	a) Executive Director b) Chief Executive and Chief Financial Officer c) Executive Director d) Chief Financial Officer e) Procurement Operation Manager f) When an invoice is received in line with an agreed purchase order it will be receipted. If non-PO, then rules in section 22 will apply.
(ii)	Further reimbursement of SLA expenditure within approved delegated budget allocation: a) Up to £25,000 b) £25,000 - £99,000 c) Over £99,000 Authorisation of monthly invoices in excess of agreed SLA value.	a) Budget holder b) Head of service c) Executive Director Deputy Chief Executive/Chief Financial Officer and reported to the Planning and Finance Committee for information.
(iii)	Contract Exclusions (NHS and Non-NHS)	

Commented [DK8]: Contract Signature happens after a procurement has been completed therefore this section shouldn't need changing.

Commented [DM9R8]: Agreed

(iv)	<p>Individual Funding Requests (IFRs)</p> <p>a) Approval of Requisitions in line with approved IFR b) Approval of Purchase Order</p> <p>Non Contracted Activity (NCAs)</p> <p>a) Approval of invoices up to £1,000 b) Approval of invoices up to £10,000 c) Approval of invoices over £10,000</p> <p>All other contract exclusions</p> <p>Agreement of Named Placements (not Continuing Healthcare Placements)</p> <p>a) Up to £50,000 and within approved budget b) Above £50,000 or in excess of available resources</p> <p>Continuing Healthcare Packages</p> <p>a) Agreement of named placements up to £1,650 per week b) between £1,651 and £3,450 per week c) for values exceeding those above</p> <p>d) Signing of Contract for placements</p> <p>e) Approval of invoices within package contract value</p> <p>i) Up to £10,000 ii) £10,001 to £50,000 iii) £50,001 to £250,000 iv) £250,001 to £1,000,000 v) £1,000,001 to £2,500,000 vi) £2,500,001 to £5,000,000</p> <p>f) Authorisation of monthly invoices in excess of contract value</p>	<p>a) IFR Lead after IFR panel approval of expenditure b) Procurement Operations Manager</p> <p>a) Budget Holder b) Head of service c) Executive Director</p> <p>Executive Director</p> <p>a) Head of service b) Executive Director</p> <p>a) CHC teams within boroughs b) Head of service c) Executive Director</p> <p>d) Head of service up to value of £100,000 and Executive Director for over £100,000</p> <p>i) Budget managers at Bands 6 and 7 ii) Budget managers at Band 8a and 8b iii) Assistant/Associate Directors at Band 8c and 8d iv) Directors at Band 9 v) Directors or equivalent (VSM) vi) Executive Directors</p> <p>f) Executive Director</p>
9	Complaints (Patients and Relatives)	

	<ul style="list-style-type: none"> a) Overall responsibility for ensuring that all complaints are dealt with effectively b) Responsibility for ensuring that complaints are investigated thoroughly c) Medico – Legal Complaints - Co-ordination of their management 	<ul style="list-style-type: none"> a) Chief Executive b) Chief of Staff liaising with relevant Executive Director c) Chief of Staff
10	<p>Condemning & Disposal</p> <p>Items obsolete, obsolescent, redundant, and irreparable or cannot be repaired cost effectively.</p>	<p>Approval for disposal to be made by two officers - the Chief Financial Officer plus either the Chief Executive or Chief of Staff. All disposals to be reported to the next meeting of the Audit Committee.</p>
11(a)	<p>Payments to Independent Contractors - GP contract payments including pensions</p> <p>Notifying GP practices of approved annual allocation</p> <p>Approval of regular monthly instalments schedules of approved reimbursements:</p> <ul style="list-style-type: none"> a) <£20,000,000 as per SE London schedule b) >£20,000,001 as per SE London schedule <p>Further reimbursement of expenditure within approved allocation, including Out of Hours (OOH) Community Schemes and Local Incentive Schemes expenditure:</p> <ul style="list-style-type: none"> a) Up to £10,000 b) £10,001 to £50,000 c) Over £50,000 	<p>Executive Director</p> <ul style="list-style-type: none"> a) Head of service and Director of Financial Management b) As above plus Director of Corporate Finance <ul style="list-style-type: none"> a) Borough Head of Primary Care (or equivalent) b) Borough Director of Primary Care (or equivalent) c) Executive Director
11(b)	<p>Payments to Independent Contractors – Primary Care Dental, Ophthalmology and Community Pharmacy with effect from 1 April 2023</p> <p>Approval of regular monthly instalments schedules of approved reimbursements:</p>	

	<p>a) less than £20,000,000 as per SE London schedule</p> <p>b) greater than £20,000,001 as per SE London schedule</p> <p>Approval of contract changes on dental system</p>	<p>a) Director or Executive Director of Commissioning and Director of Financial Management</p> <p>b) Director or Executive Director and Director of Corporate Finance</p> <p>Director or Executive Director</p>
12	<p>Medicines Optimisation</p> <p>Authorisation of New Drugs:</p> <p>a) Estimated total yearly cost per drug of up to £25,000 per 100,000 population (£500,000 for South East London based on 2 million population)</p> <p>b) Estimated total yearly cost per drug above £25,000 per 100,000 population (£500,000 for South East London based on 2 million population)</p>	<p>a) Integrated Medicines Optimisation Committee (IMOC)</p> <p>b) Executive Committee on the recommendation of the IMOC</p> <p>Note: The NHS is legally obliged to fund and resource medicines and treatments recommended by NICE's Technology Appraisals. For drugs recommended within NICE Technology Appraisals and being used within NICE criteria and where the total yearly cost is above £25,000 per 100,000 population – these will be highlighted to the Executive Committee for information only.</p>
13	<p>Engagement of Legal advice</p>	<p>Approval by an Executive Director needed</p>
14	<p>Engagement of Agency Staff</p> <p>Prior to engaging any agency/interim staff, staff must follow the Hiring of Interim Resources Policy and comply with the NHS England and ICB guidance.</p> <p>All agency Costs of £600 or more per day (excluding VAT) or over 6 months in duration (regardless of cost) will require approval by NHSE via submission of a business case.</p>	

	<p>All requests for agency staff (regardless of the daily rate and length of contract) require the approval of the VR panel before any appointment can be made.</p> <p>Booking of agency/interim staff and approval of invoices, within budget:</p> <ul style="list-style-type: none"> a) Up to £10,000 b) £10,001 to £50,000 c) Over £50,000 <p>The sums above exclude VAT, agency fees and expenses.</p> <ul style="list-style-type: none"> d) Booking of Bank or Agency Staff – in excess of budget e) Employment of fixed term contractors 	<ul style="list-style-type: none"> a) Budget holder b) Head of service c) Executive Director d) Executive Director – following approval by the VR panel e) Fixed Term contractors should be considered where the requirement is time limited. In all cases HR advice should be taken prior to recruitment to understand any ICB liability that may be incurred at the end of the assignment. Approval is via the VR panel.
15	<p>Extended Role Activities</p> <p>Approval of Nurses to undertake duties/procedures which can properly be described as beyond the normal scope of Nursing Practice.</p>	Chief Nursing Officer
16	<p>Facilities for staff not employed by the ICB to gain practical experience</p> <ul style="list-style-type: none"> a) Professional Recognition, Honorary Contracts and other Memorandums of Understanding b) Non-Medical Work experience students 	<ul style="list-style-type: none"> a) Chief Nursing Officer or Medical Director (as appropriate) - HR to be advised b) An ICB Director - HR to be advised
17	<p>Review of fire precautions at ICB sites</p>	Chief of staff in conjunction with local authority/landlord as appropriate
18	<p>Hospitality and Gifts</p>	

	<p>Applied to both individual and collective hospitality receipt items. In excess of £25 per item received.</p> <p>a) In excess of £25 but lower than £75 per item received b) In excess of £75 per item received</p> <p>Personal gifts of cash/cash equivalents (vouchers, token, offers of remuneration to attend meetings while working in SEL ICB capacity), any value.</p> <p>Hospitality and gifts to SEL ICB individuals or teams, from suppliers/contractors – both existing and/or potential:</p> <p>a) Less than £6 b) More than £6</p> <p>Low value teams or directorate gifts intended to be shared by the whole team, up to approximately £20.</p> <p>Gifts (not cash/cash equivalents) from patients/families/service users:</p> <p>a) Modest gifts under £50 b) Gifts above £50 to £100</p> <p>Multiple gifts from same source over 12 month period Total value exceeds £50 but less than £100.</p> <p>c) Gifts above £100</p>	<p>a) Declaration required by the postholder in the Gifts & Hospitality Register. b) Must be refused unless it has senior manager approval and must be declared whether accepted or refused.</p> <p>All offers of cash/cash equivalents must always be declined, whatever the value/source. All should be declared via form.</p> <p>a) Can be accepted and not declared b) Needs to be declined. Declare via form</p> <p>Can be accepted and not declared.</p> <p>a) Accept and not need to be declared b) Accept and donate to charity. Declare via form</p> <p>Accept and declare via form</p> <p>c) Should be declined and declared via form.</p>
19	<p>Arrangements for Internal and External Audit – including the implementation of Audit Recommendations</p>	<p>All audit plans will be approved by the ICB's Audit Committee on the recommendation of the Chief Financial Officer or Director of Corporate Finance.</p> <p>All audit services must be in compliance with organisational Standing Financial Instructions and Standing Orders.</p>

		<p>The ICB will receive Service Auditor Reports in respect of services supplied to the ICB.</p> <p>A meeting of the Auditor Panel will be used for the appointment of External Auditors.</p> <p>ICB staff will assist Internal and External auditors in their work and ensure that all audit recommendations are implemented in accordance with agreed due dates.</p>
20	Insurance Policies including NHSLA Negotiation and agreement of premiums	Chief of Staff
21	Investment of Funds (Including Charitable & Endowment Funds)	The ICB is the Corporate Trustee for NHS Greenwich Charitable Funds. In the event that the ICB received a Charitable donation, the Audit Committee would be delegated the responsibility to approve whether the donation would be accepted.
22	Certification of invoices not included in other sections within this Schedule <ul style="list-style-type: none"> a) Up to £10,000 b) £10,001 to £50,000 c) £50,001 to £250,000 d) £250,001 to £1,000,000 e) £1,000,001 to £5,000,000 f) £5,000,001 to £10,000,000 g) £10,000,001 to £20,000,001 h) Over £20,000,001 	<ul style="list-style-type: none"> a) Budget managers at Bands 6 and 7 b) Budget managers at Band 8a and 8b c) Assistant/Associate Directors at Band 8c and 8d d) Directors at Band 9 e) Directors or equivalent (VSM) f) Executive Directors g) Deputy Chief Executive h) Chief Executive and Chief Financial Officer
23	Licences/ Agreements <ul style="list-style-type: none"> a) Preparation and signature of all tenancy agreements/licences b) Extensions to existing leases c) Letting of premises to/from outside organisations d) Approval of rent based on professional assessment 	<ul style="list-style-type: none"> a) Chief Financial Officer b) Chief Financial Officer c) Chief Financial Officer and Chief Executive d) Chief Financial Officer

24	<p>Losses, Write-off & Compensation</p> <ul style="list-style-type: none"> a) Losses and Cash due to theft, fraud, overpayment etc. b) Fruitless Payments (including abandoned Capital Schemes) c) Claims Abandoned 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) or other e) Compensation payments made under legal obligation f) Extra Contractual payments to contractors g) Ex-gratia Payments to Patients and staff for loss of personal effects h) Ex-gratia payments for Clinical negligence (negotiated settlements following legal advice) – up to £250,000 including claimant’s legal costs i) Ex-gratia payments for personal injury claims involving negligence where legal advice obtained and followed j) Other ex-gratia payments except cases of maladministration where there is no financial loss by claimant - up to £50,000 k) Write back of Non-NHS Debtors < £250,000 l) Write back of Non-NHS Debtors > £250,000 	<ul style="list-style-type: none"> a) Chief Financial Officer b) Chief Financial Officer c) Chief Financial Officer d) Chief Financial Officer e) Chief Financial Officer and Chief Executive f) Chief Financial Officer g) Chief Financial Officer h) Chief Financial Officer i) Chief Financial Officer j) Chief Financial Officer k) Chief Financial Officer l) Audit Committee
25	<p>Maintenance & Update of ICB Financial Procedures</p>	<p>Chief Financial Officer</p>

<p>26</p>	<p>Management Consultants All contracts for management consultants will require agreement in line with any ICB process and reporting to NHS England in addition to the process below.</p> <p>All contracts for management consultants over £50,000 require a business case to be submitted to NHS England for approval prior to any appointment being made.</p> <p>All requests for management consultancy must be assessed as being consistent with IR35 compliance before any appointment can be made.</p> <p>a) Obtaining at least 3 quotations / carrying out competitive interviews, within budget, where aggregate commitment in any one year or total commitment is to £24,999.</p> <p>b) Obtaining at least 3 competitive tenders / quotes or undertaking competitive interviews within budget, where aggregate commitment in any one year is £25,000 or more</p> <p>c) Authorising contracts of engagement following the above.</p> <p>d) Authorisation of consultants in excess of budget.</p>	<p>a) Executive Director</p> <p>b) Executive Director</p> <p>c) Executive Director</p> <p>d) Chief Financial Officer or Chief Executive</p>
<p>27</p>	<p>Non Pay revenue and capital expenditure orders and requisitions of goods and services (where not included in other sections within this schedule)</p> <p>a) All orders/requisitions within budget</p> <p>Limits are consistent with section 22 above.</p> <p>b) Non-Pay Urgent Expenditure for which no specific budget has been set:</p> <p>i) Up to £24,999</p>	<p>i) Executive Director</p>

	ii) Over £25,000	ii) Chief Executive or Chief Financial Officer
28	<p>Personnel & Pay</p> <p>This is subject to compliance with all ICB recruitment processes, e.g. submission to VR/recruitment panel.</p> <p>a) Authority to fill funded post on the establishment with permanent staff</p> <p>b) Authority to appoint staff to post not on the agreed establishment</p> <p>c) All requests for upgrading/re-grading to be dealt with in accordance with ICB procedures and recruitment panel approval.</p> <p>d) Approval of the extension of staff on fixed term contracts within budget.</p> <p>e) Pay</p> <p>i) Authority to complete standing data forms affecting pay, new starters, variations and leavers</p> <p>ii) Authority to authorise overtime/flexible working</p> <p>iii) Authority to authorise travel & Subsistence expenses on Workforce</p> <p>f) Leave</p> <p>i) Approval of Annual Leave</p> <p>ii) Approval to carry forward up to a maximum of 5 days in exceptional circumstances (following the ICB's annual leave policy)</p> <p>iii) Payment of Annual Leave in exceptional circumstances</p>	<p>a) VR form to be signed by a Director and Finance lead. Once confirmation/approval received from VR panel, JD and advert to be sent to the Resources team by recruiting manager. HR to be informed.</p> <p>b) As above in a). Chief Executive approval will be required should there be no recruitment panel in place.</p> <p>c) Finance department and workforce department to be informed of outcome for budgetary and ESR purposes.</p> <p>d) Fixed term contracts should only be extended in specific circumstances. In all cases this should be discussed with HR and the relevant financial officer prior to submission of a request to the VR/recruitment panel.</p> <p>e) i) Budget holder and Director of Financial Management. HR to be informed. All staff change forms must be approved by a Director and either the Chief Financial Officer or Director of Corporate Finance. ii) Line Manager (with guidance from a Director)</p> <p>iii) Line Manager</p> <p>f) i) Line Manager ii) Executive Director</p> <p>iii) Chief Executive</p>

<ul style="list-style-type: none"> iv) Special leave for bereavement up to 5 days v) Extended Special Leave for bereavement vi) Special leave arrangements <ul style="list-style-type: none"> • carers leave - up to 3 days in any six-month period • carers leave - up to 5 days in any six-month period vii) Leave without pay viii) Time off in lieu ix) Maternity and Paternity Leave – paid and unpaid g) Sick Leave (in exceptional circumstances) <ul style="list-style-type: none"> i) Extension of sick leave – in line with contract of employment ii) Extension of sick leave – any non-contractual payments iii) Return to work part-time on full pay to assist recovery h) Study Leave <ul style="list-style-type: none"> i) Study leave outside the UK ii) All other study leave (UK) i) Removal Expenses, Excess Rent and House Purchase (to be agreed prior to advertising posts). Authorisation of payment of removal expenses incurred by officers taking up new appointments (providing consideration was promised at interview): <ul style="list-style-type: none"> i) Up to £2,000 ii) Over £2,000 j) Grievance Procedure All grievance cases must be dealt with strictly in accordance with the ICB Grievance Procedure and the advice of HR 	<ul style="list-style-type: none"> iv) Head of Service v) Executive Director vi) <ul style="list-style-type: none"> • Head of Service. HR to be informed • Executive Director. HR to be informed vii) Executive Director viii) Line manager ix) Automatic approval as per guidance and ICB Policy; HR to be informed. g) <ul style="list-style-type: none"> i) To seek advice from the Director of HR before any extension is agreed ii) Remuneration Committee iii) Executive Director with advice with advice from occupational health and HR. h) <ul style="list-style-type: none"> i) Chief Executive in line with ICB training policy ii) Executive Director in line with ICB training policy i) Executive Director, and notification to HR ii) Chief Executive and notification to HR j) See ICB procedure
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	<p>k) Authorised Car & Mobile Phone Users i) Requests for new posts to be authorised as car users ii) Requests for new posts to be authorised as mobile telephone users</p> <p>l) Redundancy Authorisation to agree voluntary redundancy and determine compulsory redundancies in accordance with policy</p> <p>m) Ill Health Retirement Decision to pursue retirement on the grounds of ill-health.</p> <p>n) Employment of voluntary workers / work experience.</p>	<p>k) i) In line with ICB Policy ii) In line with ICB Policy</p> <p>l) Remuneration Committee and ICB Board with support from HR and appropriate permission/approvals from NHS England. Chief Financial Officer to be consulted at all times.</p> <p>m) Chief Executive or Executive Director following advice from HR and occupational health.</p> <p>n) An ICB Director with advice from HR</p>
<p>29</p>	<p>Petty Cash Disbursements</p>	<p>The ICB has no petty cash function.</p>
<p>30</p>	<p>Quotation, Tendering & Contract Procedures</p> <p>For Health Care services of any Contract Value, The Health Care Services (Provider Selection Regime) Regulations 2023 (PSR) and supporting Statutory Guidance, must be followed.</p> <p>PSR Provider Representations: Decisions following escalation of Representations made against a Provider Selection Regime decision, to the NHSE Independent Patient Choice and Procurement Panel</p> <p>PSR Urgent Awards or Urgent Contract Modifications:</p> <p>Where:</p> <p>a) a new service needs to be arranged rapidly in an unforeseen emergency or local, regional or national crisis, e.g., to deal with a pandemic.</p> <p>b) urgent quality/safety concerns pose risks to patients or the public and necessitate rapid changes.</p>	<p>Planning and Finance Committee or sub-group of the Planning and Finance Committee</p> <p>Approved by the Chief Financial Officer (up to £100,000) and Chief Financial Officer and Chief Executive (£100,000 and over); reported to the Audit Committee. Where the Chief Executive is requesting an Urgent Award or Urgent Contract Modification, approval is by the Chair and the Chief Financial Officer.</p>

<p>c) an existing provider is suddenly unable to provide services under an existing contract (for example, a provider becomes insolvent or experiences a sudden lack of critical workforce) and a new provider needs to be found.</p> <p>An urgent award or modification must only be made when all the below apply:</p> <ul style="list-style-type: none"> a) the award or modification must be made urgently the reason for the urgency was not foreseeable by and is not attributable to the relevant authority. b) delaying the award of the contract to conduct a full application of the regime would be likely to pose a risk to patient or public safety. <p>Urgent Awards or Urgent Contract Modifications must not be used if the urgency is attributable to the ICB not leaving sufficient time to make procurement decisions and run a provider selection process– poor planning is not an acceptable reason to use these provisions.</p> <p>With the exception of Section (i) below, relating to Contract Variations, the remainder of this section (30) only applies to non-healthcare services.</p> <p>For non-health care services the following applies:</p> <p>This section does not apply to Management Consultants (see section 26) (or other services included elsewhere within this schedule)</p> <ul style="list-style-type: none"> a) Goods/services up to £24,999 - (Minimum of 1 written quote required) b) Goods/services from £25,000 - £75,000 (Minimum of 3 written quotations required) c) Goods/services from £75,000 - £100,000 (Minimum of 3 competitive tenders required) d) Goods/services from £100,000 - £200,000 (Minimum of 3 competitive tenders required) 	<ul style="list-style-type: none"> a) Head of Service b) Associate Director or Director c) Executive Director
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<ul style="list-style-type: none"> e) Goods/services over £200,000 - (Minimum of 4 competitive tenders required) f) Waiving of quotations and tenders subject to Standing Financial Instructions g) Opening Tenders and Quotations h) Authorisation of payments to public partnership schemes under existing contracts i) Contract variations <ul style="list-style-type: none"> i) Variation of +/- 20% of contract value and less than £100,000 ii) Variation of over 20% of contract value and/or more than £100,000 <p>Exceptions and instances where formal tendering/quotes need not be applied:</p>	<ul style="list-style-type: none"> d) Chief Financial Officer e) Chief Executive f) Approved by the Chief Financial Officer (up to £100,000) and Chief Financial Officer and Chief Executive (£100,000 and over); reported to the Audit Committee. Where the Chief Executive is requesting the tender waiver, approval is by the Chair and the Chief Financial Officer. g) Two senior officers/managers designated by the CEO/CFO and not from the originating department. h) Chief Financial Officer i) Executive Director ii) Chief Financial Officer
<p>Where:</p> <ul style="list-style-type: none"> a) the estimated expenditure or income does not, or is not reasonably expected to, exceed £24,999 or b) where the supply is proposed under special arrangements negotiated by the DH in which event the said special arrangements must be complied with. <p>Formal tendering procedures may be waived by the Chief Executive and Chief Financial Officer in the following circumstances:</p> <ul style="list-style-type: none"> c) in very exceptional circumstances where formal tendering/quoting procedures would not be practicable or the estimated expenditure would not warrant formal tendering procedures, and the circumstances are detailed in an appropriate record; d) where the requirement is covered by an existing contract; 	

Commented [DK(SELI10)]: LCH have queried whether waivers are permissible under PSR, however current thinking is that they aren't.

Commented [DM11R10]: Do we need to amend the wording?

Commented [DK12R10]: Waivers aren't allowable under PSR but Urgent Awards and Modifications are so have added a section above to cover this

	<ul style="list-style-type: none"> e) where PASA agreements or Public Sector Framework Agreements are in place; f) where a consortium arrangement is in place and a lead organisation has been appointed to carry out tendering activity on behalf of the consortium members; g) where the timescale genuinely precludes competitive tendering but failure to plan the work properly would not be regarded as a justification for a single tender; h) where specialist expertise is required and is available from only one source; i) when the task is essential to complete the project, and arises as a consequence of a recently completed assignment and engaging different consultants for the new task would be inappropriate; j) there is a clear benefit to be gained from maintaining continuity with an earlier project. However in such cases the benefits of such continuity must outweigh any potential financial advantage to be gained by competitive tendering; k) for the provision of legal advice and services providing that any legal firm or partnership commissioned is regulated by the Law Society for England and Wales for the conduct of their business (or by the Bar Council for England and Wales in relation to the obtaining of Counsel's opinion) and are generally recognised as having sufficient expertise in the area of work for which they are commissioned. The Chief Executive, Chief Financial Officer, Chief of Staff will ensure that any fees paid are reasonable and within commonly accepted rates for the costing of such work. l) where allowed and provided for in the Capital Investment Manual. <p>The waiving of competitive tendering procedures should not be used to avoid competition or for administrative convenience or to award further work to a consultant originally appointed through a competitive procedure, except in exceptional circumstances. The Chief Executive & Chief Financial Officer will abide by the anti-bribery policy for the ICB at all times when approving tender waivers.</p>	
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	Where it is decided that competitive tendering is not applicable and should be waived, the fact of the waiver and the reasons should be documented and reported to the Audit Committee.	
31	Research Projects Authorisation of Research Projects	Executive Committee in conjunction with the Chief Nursing Officer
32	Register of Interests The keeping of a Declaration of Interests Register	Chief of Staff and Director of Corporate Operations.
33	Commercial Sponsorship Sponsorship of events, including courses, conferences and meetings by external bodies should only be approved if it can be demonstrated that the event will result in clear benefits for SEL ICB and the wider NHS.	Approval by the Chief Executive or Chair only and entry in declarations of interest register required.
34	Extension of Contract Where an extension to an existing contract (both NHS and non-NHS) is required, and is allowable in the contract and is within budget , details should be provided of the term of extension and the monetary value of the extension. Before any contract extension is agreed, a review will be required that demonstrates positive assurance in respect of value for money, performance and quality. Set up of new suppliers	Approval of the contract extension (including the review of the contract) is as per the delegated limits as set out in section 8 above. There is no automatic delegated approval for contracts to be extended. Instead, a contract tender waiver (for non-healthcare services) or Urgent Award/Urgent Contract Modification (for healthcare services) would need to be produced and approved in accordance with the limits set out in section 30 above. Requests need to be submitted to the Associate Director of Finance, with supporting evidence. Once approved the request will be forwarded to the national SBS team for actioning.
35	Raising of sales orders Authorisation of sales orders for goods or services provided by the ICB: a) Up to £10,000 (credit memo up to £5,000)	a) Budget managers at Bands 6 and 7

Commented [DK13]: Added to clarify options for contract extension, where an extension isn't already catered for in the contract.

	<ul style="list-style-type: none"> b) £10,001 to £100,000 (credit memo £5,001 up to £25,000) c) £100,001 to £250,000 (credit memo £5,001 to £100,000) d) £250,001 to £500,000 (credit memo £100,001 to £250,000) e) £500,001 to £1,000,000 (credit memo £250,001 to £1,000,000) f) £1,000,001 to £2,500,000 (credit memo up to £500,000) g) £2,500,001 to £5,000,000 (credit memo up to £1,000,000) h) Nil value sales orders and unlimited value for credit memos 	<ul style="list-style-type: none"> b) Budget managers at Band 8a and 8b c) Assistant/Associate Directors at Band 8c and 8d d) Directors at Band 9 e) Directors or equivalent (VSM) f) Executive Directors g) Deputy Chief Executive h) Chief Executive and Chief Financial Officer
36	Sealing of Documents	Two of the following are required to seal documents: Chief Executive Officer Chief Financial Officer Medical Director Chief Nursing Officer