

Coventry & Warwickshire ICB - Operational Scheme of Delegation (Delegated Limits)

Approved 12th March 2024

REF		DELEGATED TO	FINANCIAL LIMIT (excluding VAT)
1	QUOTATION AND TENDER LIMITS		
	In accordance with the ICB's Standing Financial Instructions, quotations and tenders should be obtained for goods and services in accordance with the following limits:		
	Informal Price Testing to demonstrate Value for Money (VfM)		Up to £10,000
	At least 3 Competitive Quotations		£10,001 to £50,000
	Competitive Tendering		Over £50,000
2	WAIVING OF TENDERING / QUOTATIONS		
	Delegated authority to waive the requirement to seek tenders for goods/services, or to obtain quotations, or to accept a tender or quotation which is not the lowest.	Director of Finance	Up to £50,000
		Chief Finance Officer	Up to £75,000
		Accountable Officer and Chief Finance Officer acting jointly	£75,001 to £150,000
	The reasons for seeking a single tender waiver must be documented using the ICB single tender waiver form. The Audit Committee will receive a periodic report of all single tender waiver requests approved.	Accountable Officer, Chief Finance Officer and Audit Committee Chair	Above £150,000
3	CONTRACT AWARD		
		Heads of Finance/Senior Finance Managers/Contract Managers/ Performance & Delivery Managers	Up to £50,000
		Head of Performance & Delivery / Head of Personalised Care / Deputy Chief Nurse / Director of Nursing and Clinical Transformation / Head of Contracts/Deputy Director of Finance	Up to £175,000
		Chiefs/Director of Intelligence, Planning and Performance/Director of Primary Care / Director of Performance and Delivery	Up to £250,000
		Director of Finance Chief Transformation Officer - Coventry (for Primary Care Contracts only)	Up to £1,000,000
		Chief Finance Officer	Up to £1,500,000
		Accountable Officer and Chief Finance Officer acting jointly For specialised Commissioning: NHSE Commissioning Lead – Acute Specialised Commissioning (Contracting)	Up to £2,000,000
	Providing all the conditions set out in the Prime Financial Policies relating to procurement have been met, formal approval and awarding of a contract may be undertaken in accordance with the delegated limits specified. (The limits are annual contract values)	Board of the NHS Coventry and Warwickshire ICB NHSE Associate Director of Finance and Contracting Head of Primary Care Contracts and Commissioning Executive Directors (inc. Band 9 Directors) Chief Finance Officer and Chief Executive For Specialised Commissioning: Director of Specialised Commissioning Director of Commissioning Finance (specialised commissioning).	Over £2,000,000
4	CONTRACT SIGNATURE		
	Delegated authority to sign zero value contracts and contract variations with no financial implications.	Head of Performance and Delivery/Head of Contracts/Senior Contracts Managers	Zero
		Director of Performance & Delivery / Heads of Finance / Director of Nursing / Clinical Transformation Lead / Deputy Chief Nurse / Head of Personalised Care/ Director of Primary Care	Up to £175,000
		Chiefs / Deputy Director of Finance	Up to £500,000
		Director of Primary Care / Primary Care Contracts Manager (for Primary Care contracts only)	Up to £1,800,000
		Director of Finance Chief Transformation Officer - Coventry (for Primary Care Contracts only)	Unlimited
		Chief Finance Officer	Unlimited
		Accountable Officer / Chief Executive	Unlimited
	APPROVAL OF REVENUE AND CAPITAL EXPENDITURE (via Purchase Order)		
5			
		Requisition Only Officer	£0
		Authorised CSU support staff & SWFT/INNOVATE IT staff	Up to £5,000
		Finance Manager (band 5), NHS England for delegated Pharmacy, Optometry and Dental services only	Up to £5,000
		Other ICB staff with delegated authority from Budget Manager	Up to £10,000
		Finance Manager (band 6), NHS England for delegated Pharmacy, Optometry and Dental services only	Up to £10,000
		Budget Manager	Up to £50,000
	Delegated authority to approve requisitions / expenditure from existing approved budgets and or contracts. These delegated limits relate to approval of expenditure that is Business as Usual – this excludes any new or novel expenditure and excludes approval of significant variations to existing expenditure. For all new investments refer to the Business Case section. Note :		

REF		DELEGATED TO	FINANCIAL LIMIT (excluding VAT)
	<ul style="list-style-type: none"> Authority limits of individual officers must be recorded in a database approved by the Chief Finance Officer. Expenditure must be covered by a relevant budget These expenditure limits can only be exercised when all other relevant and applicable conditions and circumstances as set out in the ICB's Prime Financial Policies have been complied with. For example, obtaining quotations or tenders. 	Senior Finance Manager, NHS England for delegated Pharmacy, Optometry and Dental services only For specialised commissioning: NHSE Contract Managers or Budget Holders	Up to £50,000
		Assistant Director of Commissioning Finance, NHS England for delegated Pharmacy, Optometry and Dental services only	Up to £100,000
		Chief Nursing Officer/Other Chiefs / Deputy Director of Finance	Up to £200,000
		Directors of Finance For Specialised Commissioning: Director of Specialised Commissioning Director of Commissioning Finance (specialised)	Up to £2 million
		Chief Finance Officer	Unlimited
		Accountable Officer	Unlimited
6	APPROVAL OF REVENUE AND CAPITAL EXPENDITURE (via Non-Purchase Order)		
	Delegated authority to approve non purchase order invoices for payment, from existing approved budgets.	Finance Manager (band 5), NHS England for delegated Pharmacy, Optometry and Dental services only	Up to £5,000
		Finance Manager	Up to £10,000
		Finance Manager (band 6), NHS England for delegated Pharmacy, Optometry and Dental services only	Up to £10,000
		Other ICB staff with delegated authority from Budget Manager	Up to £10,000
		Budget Manager	Up to £50,000
	Note: As required by the ICB's Standing Financial Instructions, purchase orders should be raised for all goods and services and the non-purchase order route should only be used in exceptional circumstances.	Senior Finance Manager, NHS England for delegated Pharmacy, Optometry and Dental services only For specialised commissioning: NHSE Contract Managers or Budget Holders	Up to £50,000
		Assistant Director of Commissioning Finance, NHS England for delegated Pharmacy, Optometry and Dental services only	Up to £100,000
		Heads of Finance	Up to £200,000
		Chiefs	Up to £200,000
		Deputy Director of Finance	Up to £250,000
		Directors of Finance For Specialised Commissioning: Director of Specialised Commissioning Director of Commissioning Finance (specialised)	Up to £2,000,000
		Chief Finance Officer	Unlimited
		Accountable Officer/Chief Executive	Unlimited
7	APPROVAL OF HEALTHCARE CONTRACT MANDATE PAYMENTS		
	Delegated authority to approve monthly mandate payments against Provider service level agreements and other healthcare contracts.	Directors of Finance / Deputy Director of Finance	1/12th of contract value
		Chief Finance Officer	Unlimited
8	ENGAGEMENT OF CONSULTANCY AND AGENCY SUPPORT STAFF		
	Delegated authority to engage consultancy support and agency staff. Amounts specified are in respect of any one individual, firm or role, and are cumulative in the case of extensions.	Chief Finance Officer	Up to £150,000
		Accountable Officer/Chief Executive	Up to £200,000
		Finance and Performance Committee	Over £200,000
9	APPROVAL CARE PACKAGES		
		CHC clinical complex case managers (band 7)	Packages up to £1,400 per week (£72,800 per annum)
		Clinical/Commissioning managers for ICB (band 8a)	Packages up to £1,980 per week (£102,960 per annum) Single items of equipment under £5,000.
		Clinical business manager for ICB (8b) S117/non chc clinical business manager/ lead nurse (8b)	New or higher cost amended packages up to £3,700 per week (£192,400 per annum) Any amended packages where costs are reducing from current weekly cost (no upper limit) Single items of equipment under £5,000.
	Individual Healthcare Packages:- Delegated authority to approve individual healthcare packages; Mental Health Alternative Hospital Placements; Acquired Brain Injury Rehabilitation Packages with third party providers for individual patients. Note: 1.the delegated authority can only be actioned following approval by the ICB that the patient is eligible for CHC funding/awarded joint funding/s117. 2.the limits apply care home, domiciliary care packages and hospital placements. 3. approval of equipment requests should not be referred to the HRCC Panel , unless it exceeds £5000 per single item.	Associate Director Continuing Health Care and Individual Packages of care	Packages up to £4,000 per week (£208,000 per annum) Any amended packages where costs are reducing from current weekly cost (no upper limit) Single items of equipment under £5,000.
		Deputy Chief Nurse/ Associate Director of CHC	Packages up to £4,400 per week (£228,800 per annum) Any amended packages where costs are reducing from current weekly cost (no upper limit) Single items of equipment under £5,000.

REF		DELEGATED TO	FINANCIAL LIMIT (excluding VAT)
		Chief Nursing Officer	Packages up to £5,290 per week (£275,080 per annum) Amended packages where costs have reduced from current package (no upper limit) Single items of equipment under £5,000.
		Chief Nursing Officer and Director of Finance jointly	Packages exceeding £5,290 up to £8,470 per week. (£275,080 to £440,440 pa) Single items of equipment over £5,000.
		Accountable Officer/Chief Executive and Chief Finance Officer Jointly Sign	Packages exceeding £8,470 per week (in excess of £440,440 per annum)
10 INDIVIDUAL FUNDING REQUESTS			
	Delegated authority to approve healthcare cases for individual clinical referrals outside of SLA's and contracts.	ICB IFR Panel representative	Up to £50,000
		Two of : Chief Medical Officer, Chief Nurse, Accountable Officer/Chief Executive or Chief Finance Officer, acting jointly.	Above £50,000
11 SALES INVOICE/ CREDIT NOTE REQUESTS			
	Delegated authority to request Sales Invoice and Credit Note requests	Heads of Finance/Senior Finance Managers	£200,000
		Directors of Finance / Deputy Director of Finance	Up to £2 million
		Chief Finance Officer	Unlimited
12 AREA PRESCRIBING COMMITTEE			
	Delegated authority to approve changes to the drugs formulary (limits are per individual change).	Area Prescribing Committee representative	Up to £50,000
		Two of : Chief Medical Officer, Chief Nurse, Accountable Officer/Chief Executive or Chief Finance Officer, acting jointly.	Above £50,000
13 BUSINESS CASE (CASE FOR CHANGE) APPROVAL			
a	Delegated authority to approve business cases for re-procurement of existing services within existing budget envelope. (Approval limits are annual values)	Accountable Officer/Chief Executive and Chief Finance Officer (acting jointly)	Unlimited - CFO to report list of such cases approved to Finance & Performance Committee or the relevant Care Collaborative Committee
b	Delegated authority to approve business cases for re-procurement of existing services with additional investment	Two of: Accountable Officer/Chief Executive, Chief Finance Officer, Chief Transformation Officer	Up to £1 million
	(Approval limits are annual values but if proposed contract exceeds 5 years duration, approval automatically escalates to the next level)	Finance & Performance Committee	Up to £2.5 million
		Board of the NHS Coventry and Warwickshire ICB	Above £2.5 million
c	Delegated authority to approve business cases for procurement of new services and new investment	Accountable Officer/Chief Executive and Chief Finance Officer (acting jointly)	Nil
	(Approval limits are annual values but if proposed contract exceeds 5 years duration, approval automatically escalates to the next level)	Finance & Performance Committee	Up to £2 million
		Board of the NHS Coventry and Warwickshire ICB	Above £2 million
d	Delegated authority to approve business cases for new services within existing budget or delegated financial allocations. (Approval limits are annual values)	Care Collaborative Committee	Up to £2.5 million
		Board of the NHS Coventry and Warwickshire ICB	Above £2.5 million
e	Delegated authority to approve business cases for disinvestment of existing services. (approval limits are annual values)	Accountable Officer/Chief Executive and Chief Finance Officer (acting jointly)	Nil
		Finance & Performance Committee or the relevant Care Collaborative	Up to £2 million
		Board of the NHS Coventry and Warwickshire ICB	Above £2 million
14 BUDGET VIREMENT LIMITS			
	Approval of budget virements / movements within approved revenue budgets.	Budget Holder For specialised commissioning: Contract Managers or Budget Holders	£50,000 within own cost centre
		Heads of Finance For specialised commissioning Finance Manager (Band 8a and above)	Up to £100,000
		Deputy Director of Finance	Up to 1million
		Directors of Finance	Up to £2 million
		Chief Finance Officer	Unlimited
15 BALANCE SHEET LIMITS			
	Delegated authority to approve balance sheet transactions e.g. Creation and utilisation of provisions	Senior Finance Managers/Heads of Finance	Up to £100,000
		Deputy Director of Finance	Up to £500,000
		Directors of Finance	Up to £1,000,000
		Chief Finance Officer	Unlimited
16 APPROVAL OF PETTY CASH EXPENDITURE			
	Delegated authority to approve purchases from petty cash.	Senior Finance Managers/Heads of Finance/Deputy Director of Finance/Directors of Finance	Up to value of petty cash float (currently £100)
17 APPROVAL OF LOSSES AND SPECIAL PAYMENTS			
	Delegated authority to approve losses and special payments.	Chief Finance Officer	Up to £50,000
		Accountable Officer/Chief Executive	Up to £100,000

REF		DELEGATED TO	FINANCIAL LIMIT (excluding VAT)
	<i>Note: a summary of losses and special payments must be reported to the Audit Committee at least annually.</i>	Audit Committee	Over £100,000
18	APPROVAL OF ASSET DISPOSALS		
	Competitive tendering or quotation procedures shall not apply to the disposal of items with an estimated sales value below the specified financial limit.		Less than £5,000
19	REVIEW OF DEBTOR AND CREDITOR BALANCES		
	Review schedules of debtor and creditor balances that are over nine months old and exceed the specified financial limit on an annual basis or at the Committee's request.	Audit Committee	Over £250,000

Notes

1	The authority limits set out in the table above are maximum values. Individuals may be set up with lower limits than the maximum, or for specific areas of expenditure.
---	---

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