1. Scheme of Reservations and Delegation

**Decisions and functions reserved to the ICB Board**

|  | **Decisions and functions reserved to the ICB Board** | **Reference** |
| --- | --- | --- |
| **ICB Board** | A Unitary Board responsible for:* developing a plan and allocating resource to meet the health and healthcare needs of the population;
* establishing joint working arrangements with partners that embed collaboration as the basis for delivery within the plan;
* establishing governance arrangements to support collective accountability for whole-system delivery and performance;
* arranging for the provision of health services including contracting arrangements, transformation, development of PCNs, working with local authority VCSE sector partners to put in place personalised care for people. Leading system implementation of people priorities including delivery of the People Plan and People Promise. Leading system-wide action on data and digital; and
* leading integration within the NHS. They will bring the NHS together locally to improve population health and establish shared strategic priorities within the NHS, connecting to partnership arrangements at system and place.
 |  |
| The delegation arrangements and financial authority limits are as follows:* approval of decisions within budget where the annual revenue consequence is above £1,000,000;
 | SORD 1.1(e) |
| * approval of budgets and their management – approval of budgets and resources;
 | SORD 2.1(a) |
| * losses and special payments – authorisation of early retirement, redundancy and other termination payments to staff, greater than £100,000;
 | SORD 6.3(a) |
| * approval of all Loans and Grants.
 | SORD 10.1 |

**Decisions and functions delegated by the ICB Board to ICB committees**

| **ICB Committee** | **Decisions and functions delegated to the committee** | **Reference** |
| --- | --- | --- |
| **Audit and Governance Committee**  | Delegated responsibility for:* the establishment and maintenance of an effective system of integrated governance, risk management and internal control, across the whole of the ICB's activities;
* overseeing policies for ensuring compliance with relevant regulatory, legal and code of conduct requirements and related reporting and self-certification;
* overseeing policies and procedures for all work related to fraud and corruption as set out in Secretary of State Directions and as required by the NHS Counter Fraud and Security Management Service;
* ensuring that there is an effective internal audit function and external audit plan that meets mandatory Public Sector Internal Audit Standards and provides appropriate independent assurance;
* monitoring the integrity of the financial statements of the ICB and any formal announcements relating to financial performance;
* ensuring that the systems for financial reporting to the ICB, including those of budgetary control, are subject to review as to completeness and accuracy of the information;
* complying with regulations governing best practice in relation to procurement, protecting and promoting patient choice, and anticompetitive conduct;
* complying with public law requirements in relation to entering into contracts concerning commissioning arrangements and the use of public monies;
* taking appropriate steps to ensure that the ICB is properly prepared to deal with emergencies that might affect it;
* providing information, where required, to the Information Centre, e.g. to support publication of national data on healthcare services;
* maintaining one or more publicly accessible registers of interests of members of the ICB, its employees, members of the ICB Board and members of committees or subcommittees of the ICB, and to make arrangements to ensure that relevant conflicts or potential conflicts of interest are declared and included in the registers;
* making arrangements for managing conflicts and potential conflicts of interest in such a way as to ensure that they do not, and do not appear to, affect the integrity of the ICB's decision-making processes, and to have regard to guidance published by NHSEI on management of conflicts of interest;
* meeting requirements of the Employment Rights Act 1996, the Equality Act 2010, the Data Protection and Freedom of Information Acts, the European Convention on Human Rights and Health and Safety; and
* promoting innovation and research in the provision of health services.
 | Audit and Governance Committee Terms of Reference |
| **Audit and Governance Committee**  | The delegation arrangements and financial authority limits are as follows: * monitoring of the use of single tender/single quote action (on behalf of ICB Board);
 | SORD 3.4 |
| * income and debt write-off – authorisation of write-offs of debt or income (total debt per debtor) (following ICB Executive Team approval); and
 | SORD 5.2 |
| * losses and special payments – authorisation and monitoring of losses and special payments (following ICB Executive Team approval).
 | SORD 6.1, 6.2 |
| **Remuneration Committee**  | The function of making recommendations to the ICB Board about the exercise of its functions in relation to:* determining the remuneration, fees and allowances payable to employees of the ICB and to other persons providing services to it;
* determining allowances payable under pension schemes established by the ICB; and
* the appropriate remuneration and terms of service for the Chief Executive Officer, Executive Directors, other Very Senior Managers, Clinicians and Independent Non-Executive Members.
 | Remuneration Committee Terms of Reference |
| **Population Health and Strategic Commissioning Committee** | Delegated responsibility for:* overseeing the preparation and publication of the commissioning plan with the involvement of the Health and Wellbeing Boards and aligned to the strategy developed by the ICP;
* developing and implementing the commissioning strategy and policy of the ICB and to help secure the continuous improvement of the quality of services, including the specified duties under the Mental Health Act;
* retaining a focus on health inequalities, improved outcomes and quality and ensure that the delivery of the ICB's strategic and operational plans are achieved within financial allocations;
* commissioning consistently with the duties of the Secretary of State and NHSEI objectives, having regard to the Constitution;
* making decisions within the limits as set out in the ICB's Scheme of Reservations and Delegation; and
* further delegating to sub-committees relating specifically to primary care medical services but will retain oversight and accountability.
 | Population Health and Strategic Commissioning CommitteeTerms of Reference |
| **Population Health and Strategic Commissioning Committee** | The delegation arrangements and financial authority limits are as follows:* the approval of decisions within budget delegated to the Committee where the annual revenue consequence is less than £1,500,000.
 | SORD 1.1(d) |
| **Finance and Estates Committee**  | Delegated responsibility to:* provide oversight and assurance to the ICB Board in the development and delivery of a robust, viable and sustainable system financial and estates plan; and processes which meet the health and care needs of the citizens of Derby and Derbyshire and aid the implementation of the ICS vision and strategy;
* provide the ICB board with an accurate understanding of the system’s current and forecast financial position and the development and oversight of the system’s medium term financial recovery plan to correct any underlying challenge;
* identify and allocate resources including consideration of significant investment or disinvestment decisions;
* ensure that suitable policies and procedures are in place to comply with relevant regulatory, legal and code of conduct requirements and review adequacy; and
* open bank accounts or make changes to banking arrangements.
 | Finance and Estates Committee Terms of ReferenceSORD 7.1 |
| **People and Culture Committee** | Delegated responsibility to:* promote education and training of existing and future health care staff;
* deliver the commitments of the NHS People Plan across the system;
* oversee plans to develop, support and retain the health and care workforce, adopting a "one workforce" approach with all partners across the ICS;
* ensure the appropriate workforce capacity and capability to deliver the ICS objectives together with an organisational development plan; and
* oversee the demonstration of equality, diversity and inclusion in its plans and their implementation.
 | People and Culture Committee Terms of Reference |
| **Quality and Performance Committee** | Delegated responsibility to ensure: * the system organisations discharge their statutory duties in relation to the achievement of continuous quality improvement;
* quality and outcome information against key performance trajectories is received and quality issues identified, ensuring they are acted upon;
* delivery against of the Constitution, NHS Long Term Plan, Public Health Outcomes Framework, and associated NHS performance regimes, agreeing any action plans or recommendations as appropriate;
* continuous improvements in quality and outcomes of clinical effectiveness, safety and patient experience are secured;
* processes are in place to interpret and implement local, regional and national policy (e.g. Quality Accounts, Safeguarding etc.) and provide assurance that policy requirements are embedded in services; and
* considerations relating to safeguarding children and adults are integral to services and robust processes are in place to deliver statutory functions of all Health and Social Care Organisations within the ICS.
 | Quality and Performance Committee Terms of Reference |
| **Public Partnerships Committee**  | Delegated responsibility to:* ensure appropriate engagement and consultation with patients and the public for new or changing services;
* assess levels of assurance and risk in relation to the delivery of statutory duties in public and patient involvement and consultation, as defined within the Health & Social Care Act 2012;
* retain a focus on the need for engagement in strategic priorities and programmes, to ensure the local health system is developing robust processes in the discharging of duties relating to involvement and consultation; and
* seek assurance that the Derbyshire system is following defined processes to take due regard when considering and implementing service changes as defined by the Equality Act 2010 and delivered through targeted engagement.
 | Public Partnerships Committee Terms of Reference |
| **ICB Executive Team**  | Delegated responsibility for: |  |
| * Commissioning and Investment Decisions – approval of decisions within budget where the annual revenue consequence is less than £1,000,000;
 | SORD 1.1(c) |
| * Commissioning and Investment Decisions – discussion of decisions outside of budget (before Executive Director of Finance approval); and
 | SORD 1.2 |
| * Losses and Special Payments – authorisation of losses and special payments, including ex-gratia payments (before ratification at Audit & Governance Committee).
 | SORD 6.1 |

**Decisions and functions delegated to be exercised jointly**

| **Committee/entity that will exercise the function/decision** | **Decisions and functions delegated to the committee** | **Legal power** | **Governing arrangements** |
| --- | --- | --- | --- |
| e.g. X local authority |  | e.g. section 75, section 65z5 | Delegation agreement, MoU etc. |
| e.g. X NHS trust |  |  |  |
| e.g. X ICB |  |  |  |

**Decisions and functions delegated by the ICB Board to other statutory bodies**

| **Body** | **Decisions and functions delegated to the body** | **Legal power** | **Governing arrangements** |
| --- | --- | --- | --- |
| e.g. X local authority |  | e.g. section 75, section 65z5 | Delegation agreement, MoU contract etc. |
| e.g. X NHS trust |  |  |  |
| NHS England  | * Off-payroll/agency workers with a daily rate more than £600 ex VAT, or more than 6 months or categorised as a role of significant influence (SORD 4.2(b))
* Losses and special payments above the delegated limits
* Where a Primary Care contract or arrangement which has, or is capable of having, a term that exceeds five years, approval from NHS England's Local Team Director or Director of Finance must be sought.
 |  | National Losses and Special Payments Policy |

**Decisions and functions delegated by the ICB Board to individual ICB Board members and employees**

| **Individual ICB Board member of employee** | **Decisions and functions delegated to the individual** | **Reference** |
| --- | --- | --- |
| **Chief Executive Officer** | Approval of budgets and their management – delegation of budgets  | SORD 2.1(b)  |
| Procurement – authorisation of less than the requisite number of tenders/quotes for all contracts of £250,000 and above  | SORD 3.2(a)  |
| Procurement - Advertising of contracts/ publishing of contract awards over £25,000  | SORD 3.5 |
| Procurement - Permission to consider late tenders  | SORD 3.7  |
| Procurement - Sealing of documents  | SORD 3.8Standing Orders (Appendix 1, ICB Constitution) |
| Commissioning and Investment Decisions - Contract signatures (following approvals per SoRD 1.1 and 1.2) over £1,000,000 | SORD 1.3(c) |
| Losses and special payments – authorisation of early retirement, redundancy and other termination payments to staff, £50,000 and up to £100,000  | SORD 6.3(b)  |
| **Executive Director of Finance** | Commissioning and Investment Decisions - Maintenance of the capital asset register | SORD 1.5  |
| Commissioning and Investment Decisions - Approval of decisions outside of budget | SORD 1.2 |
| Approval of budgets and their management – delegation of budgets  | SORD 2.1(b)  |
| Procurement - Financial appraisal of potential suppliers  | SORD 3.1  |
| Procurement - Authorisation of less than the requisite number of tenders/quote for all contracts less than £250,000  | SORD 3.2(b)  |
| Procurement - Single tender/ single quote – a single tender waiver form must be completed and approved  | SORD 3.3  |
| Procurement - Sealing of documents  | SORD 3.8,Standing Orders (Appendix 1, ICB Constitution)  |
| Income and debt write-off – authorisation to refer debts to a debt collection agency  | SORD 5.1  |
| Losses and special payments – authorisation of early retirement, redundancy and other termination payments to staff, up to £50,000  | SORD 6.3(c)  |
| Signing of cheques for cash, signing of other cheques, and authorisation of electronic payments, cheque and BACs and CHAPs payment schedules  | SORD 7.2 Bank Mandate  |
| Insurance (clinical and non-clinical) – Decision on level of insurance required, negotiated and agreement of premiums  | SORD 9.1 |
| **Deputy Chief Executive Officer** | Procurement - Sealing of documents  | SORD 3.8, Standing Orders (Appendix 1, ICB Constitution) |
| **Executive Director of Corporate Affairs** | Standards of Business Conduct – maintenance of the ICB Register of Interests | SORD 8.1 |
| Standards of Business Conduct – maintenance of the ICB Gifts and Hospitality Register  | SORD 8.2 |
| **Executive Directors (Budget Holders)** | Commissioning and Investment Decisions – approval of decisions within budget where the annual consequence is less than £100,000 | SORD 1.1(b) |
| Commissioning and Investment Decisions – contract signatures up to £1,000,000 (where SORD 1.1 and 1.2 has been adhered to) | SORD 1.3(b) |
| Commissioning and Investment Decisions – approval of invoices and requisitions/purchase orders up to £50,000,000 (where SORD 1.1 and 1.2 have been adhered to). | SORD 1.4(b) |
| Commissioning and Investment Decisions – decision to delegate the approval of invoices and requisitions/purchase to staff within the ICB and hosted officers acting on behalf of the ICB for Pharmacy, Optometry and Dental Services | SORD 1.4 |
| Approval of budgets and their management – approval to spend  | SORD 2.1(c)  |
| Procurement – opening of tenders | SORD 3.6 |
| Payroll Expenditure – authorisation of other travel and expenses not covered by the ICB's Travel and Expenses Policy, over £100  | SORD 4.4(a)  |
| Payroll Expenditure – approval to work overtime | SORD 4.5(a) |
| **Functional Directors (Budget Managers)** | Commissioning and Investment Decisions – approval of decisions within budget where the annual consequence is less than £50,000 | SORD 1.1(a) |
| Commissioning and Investment Decisions – contract signatures up to £100,000 (where SORD 1.1 and 1.2 has been adhered to) | SORD 1.3(a) |
| Commissioning and Investment Decisions – approval of invoices and requisitions/purchase orders up to £1,000,000 (where SORD 1.1 and 1.2 have been adhered to). | SORD 1.4(a) |
| Approval of budgets and their management – approval to spend  | SORD 2.1(c)  |
| Approval of budget virements  | SORD 2.2  |
| Payroll Expenditure – approval of appointments within delegated budgets | SORD 4.1 |
| Payroll Expenditure – approval of off-payroll and agency workers where the daily rate is less than £600, less than 6 months, and is not categorised as a role of significant influence | SORD 4.2(a) |
| Payroll Expenditure – authorisation of other travel and expenses not covered by the ICB's Travel and Expenses Policy, up to £100  | SORD 4.4(b)  |
| Payroll Expenditure – authorisation of worked overtime (following approval to work overtime in advance by the Executive Director) | AORD 4.5(b) |
| **Line Managers** | Travel and Expenses – authorisation of travel and expense claims in line with the ICB's Travel and Expenses Policy. The maximum value of any single monthly claim is restricted to £2,500.  | SORD 4.3  |
| Payroll Expenditure – ESR authorisation of overtime (to be approved by Functional Director) | SORD 4.5(b)  |

**Decisions and functions delegated to the ICB Board by other organisations**

| **Body making the delegation** | **Decisions and functions delegated to the individual** | **Reference** |
| --- | --- | --- |
| **NHS England** | Primary Medical Care Commissioning | Delegation agreement |
| **NHS England** | Pharmacy, Optometry and Dental Commissioning | Delegation agreement |

**Detailed schedule to operational/financial scheme of delegation**

* Different terms are used by different organisations to describe the detailed financial limits that individuals are authorised to approve.
* Supporting documents containing further detail regarding who has what authority to commit resources in the delivery of ICB objectives.
* Usually make reference to the delivery of the SoRD, standing financial instructions and standing orders.

**Decisions, Authorities and Duties Delegated to Officers of the ICB Board**

1. The arrangements made by the NHS Derby and Derbyshire Integrated Care Board (ICB) as set out in the Overarching Scheme of Reservations and Delegation of decisions shall have effect as if incorporated in the ICB's Constitution.
2. The ICB remains accountable for all of its functions, including those that it has delegated.
3. The Overarching Scheme of Reservations & Delegation (Schedule of Matters Reserved to the ICB and Scheme of Delegation) and details the arrangements made by the ICB for discharging its functions.
4. The Schedule below details the Operational Scheme of Delegation (and financial authority limits). These should be read in conjunction with the Standing Financial Instructions (See ICB Governance Handbook).
5. This is prepared by the Chief Executive Officer and sets out those key operational decisions delegated to individual employees of the ICB.
6. The approval of the ICB's Operational Scheme of Delegation that underpins the ICB's “Overarching Scheme of Reservations and Delegation” is reserved to the ICB Board.

|  |  |  |
| --- | --- | --- |
| 1 | Commissioning and Investment Decisions  | Capital and revenue expenditures:* Healthcare and non-healthcare
* Business cases
* Procurements
* Terminations and disinvestments
 |
| 2 | Budgetary Control  | Delegation of budgets, and budget virements |
| 3 | Procurement  | * Approvals surrounding the direct award of contracts and the monitoring of the associated single tender waivers.
* Delegations surrounding the process of procurements
 |
| 4 | Payroll Expenditure | Delegations surrounding appointments including off-payroll workers, overtime and expenses |
| 5 | Income and debt write-off |  |
| 6 | Losses and Special Payments | Delegations for authorisation and monitoring of losses |
| 7 | Bank accounts and payment methods  |  |
| 8 | Standards of Business Conduct  |  |
| 9 | Insurance – clinical and non-clinical  |  |
| 10 | Borrowing, lending and grants  |  |

|  | **Responsibility** | **Delegation Arrangements** | **Further Information** |
| --- | --- | --- | --- |
| **1.** | **Commissioning and Investment Decisions** | ***This includes capital and revenue expenditures and income (both healthcare and non-healthcare), and activities relating to such i.e. business cases, procurements, terminations and disinvestments*** |
| 1.1 | Approval of decisions within budget, where the annual revenue consequence is: |  | These delegations apply where decisions are within budgets delegated to the individual or Committee. The delegated individual must ensure recurrent budget / funding is available for future years before approval.Committees, Delivery Boards, Provider Collaborative and other such forums are not delegated to make decisions. Those delegated may wish to seek assurance from any such forum before the approval of a decision.Where a Primary Care contract or arrangement which has, or is capable of having, a term that exceeds five years, approval from NHS England's Local Team Director or Director of Finance must be sought. |
|  | (a) Up to £50,000 | (a) Functional Directors (Budget Managers) |
|  | (b) Up to £100,000 | (b) Executive Directors (Budget Holders) |
|  | (c) Up to £1,000,000 | (c) ICB Executive Team |
|  | (d) Up to £1,500,000 | (d) Population Health & Strategic Commissioning Committee |
|  | (e) Above £1,000,000 | (e) ICB Board |
| 1.2 | Approval of decisions outside of budget | Executive Director of Finance following discussion at the ICB Executive Team meeting, where in line with the limits delegated in 1.1. | This delegation should be followed where expenditures continue beyond available budgets/funding. |
| 1.3 | Contract signatures (following approval per 1.1 and 1.2 above): |  | This applies where decisions have followed the delegations outlined in 1.1 and 1.2 above. Where decisions have not followed those delegations, 1.1 and 1.2 must be applied in seeking the signature of contracts.Contract variations can be approved by hosted officers who are undertaking Pharmacy, Optometry and Dental (POD) related business on behalf of the ICB. This is restricted to £100k:* for Bands 8D and 9 within the hosted team
* And where the net financial impact is nil (such as moving activity from one contract to another)
 |
|  | (a) Up to £100,000 | (a) Functional Directors (Budget Managers) |
|  | (b) Up to £1,000,000 | (b) Executive Directors (Budget Holders) |
|  | (c) Over £1,000,000 | (c) Chief Executive Officer |
| 1.4 | Approval of invoices and requisitions / purchase orders (following approval per 1.1 and 1.2 above): |  | This applies where decisions have followed the delegations outlined in 1.1 and 1.2 above. Where decisions have not followed those delegations, 1.1 and 1.2 must be applied in the approval of invoices and requisitions.Budget holders can further delegate approval limits to ICB staff and hosted officers who are undertaking POD related business on behalf of the ICB. The budget holder remains accountable in ensuring alignment with contractual agreements and expectations; and hence for budgetary control. |
|  | (a) Up to £1,000,000 | (a) Functional Directors (Budget Managers) |
|  | (b) Up to £50,000,000 | (b) Executive Directors (Budget Holders) |
| 1.5 | Maintenance of capital register | Executive Director of Finance | The operational maintenance of the capital register is delegated to the Finance Lead for Financial Control.Disposals (including those items that are lost, obsolete, redundant, and irreparable or cannot be repaired cost effectively) should be shared with the Finance Lead for Financial Control to ensure the register is up to date. |
| **2.** | **Budgetary Control** |
| 2.1 | Approval of budgets and their management |  | The approval of budgets and resources will take place during the ICB Board meeting when the Annual Plan is approved.Budget Holders and Managers should refer to section 1 of the SoRD above to understand the approvals for spending funds against budget. |
|  | (a) Approval of budgets and resources | (a) ICB Board |
|  | (b) Delegation of Budgets | (b) Chief Executive Officer and Executive Director of Finance |
|  | (c) Approval to spend | (c) Budget Holder/Budget Manager  |
| 2.2 | Approval of budget virements | Functional Directors (Budget Managers) |  |
| **.** | **Procurement** | *The detailed procedures supporting these delegations can be found in the ICB Procurement Policy* |
| 3.1 | Financial appraisal of potential suppliers | Executive Director of Finance | May be delegated to members of the Finance Directorate. |
| 3.2 | Authorisation of less than the requisite number of tenders/quotes: |  | The requisite number of tenders / quotes:(a) Above £10,000 to £50,000, at least 3 written competitive quotations for goods / services obtained. All procurement with a value exceeding £30,000 (including VAT) must be advertised on Contract Finder.(c) Above £50,000, a full tender is to be carried out in line with the PCR 2022 Regulations. |
|  | (a) For all contracts of £250,000 and above | (a) Chief Executive Officer |
|  | (b) For all contracts less than £250,000 | (b) Executive Director of Finance |
| 3.3 | Single tender/single quote/direct award:A single tender waiver form must be completed and approved.  | Executive Director of Finance | Review of single tender waivers before approval is delegated to the Finance Lead for Financial Control via ddicb.financialservices@nhs.net. Where a single tender/single quote is received, the ICB shall as far as practical, determine that the price to be paid is fair and reasonable and that details of the investigation carried out are recorded. |
| 3.4 | Monitoring of the use of single tender/single quote action. | Audit and Governance Committee on behalf of ICB Board | Single tender/single quote will be reported quarterly for information only, at Audit and Governance Committee. All such contracts must be included on the Register of Procurement Decisions, delegated to the Finance Lead responsible for Financial Control. |
| 3.5 | Advertising of contracts/publishing of contract awards over £30,000 | Chief Executive Officer | Managed by the ICB Procurement Lead.Such advertising and publishing must be made available on Contract Finder. |
| 3.6 | Opening of tenders | Executive Director (Budget Holder) | In using the e-Tendering solution, the Procurement Lead will first open the tender before allocating to the correct subject matter expert as delegated across. This will be automatic on Contracts Finder. |
| 3.7 | Permission to consider late tenders | Chief Executive Officer | With advice from the ICB's Procurement Lead |
| 3.8 | Sealing of documents | As per the Standing Orders, Appendix 1 of ICB Constitution |  |
| **4.** | **Payroll Expenditure** | *Prior to incurring any pay expenditure including agency, interim and temporary workers, the ICB's Establishment Vacancy Control Process must be followed.* |
| 4.1 | Appointments within delegated budgets | Functional Director (Budget Manager) | All appointments require approval from finance to confirm that budget is available.Budget manager may decide to utilise the delegated budget to appoint staff outside of the establishment. |
| 4.2 | Off-payroll/Agency workers |  | For all agency, interim and other temporary workers the ICB's “Temporary Agency Workers Procedure” incorporating escalation policies for rates outside either framework or NHSEI caps, must be followed. A HMRC checklist must be completed on appointment of any off-payroll or agency workers to consider IR35 and the tax consequences. |
|  | (a) Daily rate less than £600 ex VAT, less than 6 months and not categorised as a role of significant influence | (a) Functional Director (Budget Manager) |
|  | (b) Daily rate more than £600 ex VAT or more than 6 months or categorised as a role of significant influence | (b) Approval required from NHSEI |
| 4.3 | Travel and ExpensesAuthorisation of travel and expense claims in line with the ICB's Travel and Expenses PolicyThe maximum value of any single monthly claim is restricted to £2,500. | Via submission on the electronic expenses system to the appropriate line manager within the allocated time period and accompanied by scanned copies of receipts (except for mileage)  | Any claims made by the Chair shall be authorised by the Chief Executive Officer and any expenses claimed by the Chief Executive Officer shall be authorised by the Chair of Executive Director of Finance.  *Any claims that relate to expenses incurred over 90 days ago will be approved at the discretion of the Departmental Managers/Heads of Department and could be rejected.* |
| 4.4 | Authorisation of other travel and expenses ***not covered*** ***by*** the ICB's Travel and Expenses Policy |  |  |
|  | (a) Over £100 | (a) Executive Director (Budget Holder) |
|  | (b) Up to £100 | (b) Functional Director (Budget Manager) |
| 4.5 | Approval of Overtime |  | Overtime should be agreed in advance and will only be agreed in exceptional circumstances. |
|  | (a) Approval to work overtime | (a) Executive Director (Budget Holder) |
|  | (b) ESR authorisation of overtime | (b) Functional Director (Budget Manager) |
| **5.** | **Income and debt write-off** |  |
| 5.1 | Authorisation to refer debts to a debt collection agency | Executive Director of Finance | Operationally managed by the Head of Department responsible for Finance – Financial Control/Assistant level Director of Finance |
| 5.2 | Authorisation to write-off debt or income (total debt per debtor) | Members of the Audit and Governance Committee (following Executive Team meeting) | This includes non-recovery of any payroll overpayments.  Debit or credit notes are only to be raised after approval by the Members of the Audit and Governance Committee. All write-offs should be reported to Audit and Governance Committee.  |
| **6.** | **Losses and special payments** | ***All losses and special payments must be reported at every meeting to the Audit and Governance Committee***  |
| 6.1 | Authorisation of losses and special payments, including ex-gratia payments  | Audit and Governance Committee (following ICB Executive Team approval) | Reference to the national Losses and Special Payments policy should be considered in conjunction with Audit and Governance Committee approval to ensure the approval is within the delegations given to the ICB. The Executive Director of Finance will report any cases they consider to be “novel, contentious or repercussive” to the Chair of the Audit and Governance Committee as soon as they become aware of the case. These should also be reported to NHS England in line with current guidance. |
| 6.2 | Monitoring of losses and special payments | Audit and Governance Committee | Liaison with the ICB's Local Counter Fraud Specialist & Police as required and in line with the ICB's Fraud, Corruption and Bribery Policy.  |
| 6.3 | Authorisation of early retirement, redundancy and other termination payments to staff: |  | Reference should be made to the national policy surrounding exit packages to ensure the necessary approval is sought before giving notice to staff members. |
|  | (a) Greater than £100,000 | (a) ICB Board |  |
|  | (b) £50,000 and up to £100,000 | (b) Chief Executive Officer |  |
|  | (c) Up to £50,000 | (c) Executive Director of Finance |  |
| **7.** | **Bank accounts and payment methods**  |  |
| 7.1 | Opening of bank accounts or changes to banking arrangements | Finance and Estates Committee | The ICB will use Government Banking Services only. |
| 7.2 | Signing of cheques for cash, signing of other cheques, and authorisation of electronic payments, cheque and BACs and CHAPs payment schedules | See Bank Mandate | Bank Mandate to be maintained by the Head of Finance – Financial Control |
| **8.** | **Standards of Business Conduct** |  |
| 8.1 | Maintenance of the ICB Register of Interests | Executive Director of Corporate Affairs | Maintained by Board Secretary |
| 8.2 | Maintenance of ICB Gifts and Hospitality Register | Executive Director of Corporate Affairs | Maintained by Board Secretary |
| **9.** | **Insurance – Clinical and Non‑Clinical** |  |
| 9.1 | Decision on level of insurance required, negotiated and agreement of premiums | Executive Director of Finance | The risk should be managed by the Chief Executive Officer in conjunction with the ICB's Executive Director of Corporate Affairs |
| **10.** | **Borrowing, Lending and Grants** |  |
| 10.1 | Approval of **all** Loans and Grants | ICB Board |  |