

CCG Constitution Appendix F3 - individual delegations Non-Pay Revenue and Capital Expenditure (excluding leases) Requisitioning/Ordering/Payment of Goods and Services

Approval: Governing Body September 2018

Review: annual (September 2019)

Value limit	Committee or other organisation	CCG Management Directors (*6)						Relevant Associate Director (within function or where named)	Relevant Budget Manager (within function or where named)	Locality Business Managers	CSU – Continuing Healthcare Care Budget /Deputy Budget Manager
		AO	DAO	CFO	DCFO	DCD	DOT				

Quotation, Tendering & Contract Procedures and authorising related invoices / requisition of goods (excluding discretionary spend and specific categories below)

Clinical and non-clinical goods and services
Subject to Procurement Advice and Procurement Policy on current thresholds for tender/quotes

Up to £5,000										X	X	X
Up to £10,000										X		X
Up to £20,000										X		X
Up to £50,000							X	X				
Up to £100,000						X						
Up to £250,000												
Up to £25,000,000					X							
Over £25,000,000		X	X	X								

Goods Received Note

Any value		X	X	X	X	X	X	X		(1) Office Manager (2) Admin Team		X
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Discretionary Spend (whilst process deemed to be active)

Up to £1,000			X	X								
Up to £50,000				X								
Over £50,000	Finance Committee											
Over £50,000 consultancy and agency interims (Note A)	NHS England			X								

IPAs/NCAs Mental Health and Learning Disabilities (i.e. both in and out of area referrals where there is no provider contract in place)

Notes:

- (1) a Mental Health Virtual Panel, with reporting line to the Joint Commissioning Delivery Board (JCDB), may be convened to discuss the clinical merits of an application.
- (2) The Virtual Panel has no formal accountability to a committee nor collective financial responsibility to agree funding requests.
- (3) Whereas its members with individual financial authority are accountable to the Director of Commissioning and Delivery. Those members with financial authority are the same as listed below with authority to agree funding up to £1,500 per week for placements.
- (4) This includes packages of care from out of area where necessary, subject to a proposed package meeting clinical health needs directed related to reason for section under the Mental Health Act as undertaken by other local authority Care Resource Team or equivalent commissioners and agreed with our joint commissioners (these are not specifically defined within legislation).

Packages (both new and legacy under older legislation subject to review) under £1,500 per week (health part only, excluding social care costs, with 50/50 split of estimate costs)										(1) Joint Commissioner (Mental Health), (2) Senior Commissioner for Learning Disabilities & Autism, (3) Mental Health and Physical & Sensory Disabilities Commissioning Manager (4) Dementia		
Packages (both new and legacy under older legislation subject to review) over £1,500 per week (health part only, excluding social care costs, with 50/50 split of estimate costs)						X						

IPAs/NCAs S.117 only (i.e. out of area referrals only where there is no provider contract in place)

Notes:

- (1) This includes packages of care from out of area where necessary, subject to a proposed package meeting clinical health needs directed related to reason for section under the Mental Health Act as undertaken by other local authority Care Resource Team or equivalent commissioners and agreed with our joint commissioners (these are not specifically defined within legislation).
- (2) This scheme is irrelevant to in-borough placements where there is a 46% (CCG) and 54% Local Authority agreement on budget split with Local Authority acting on the CCG's behalf in relation to S117.

Packages (both new and legacy under older legislation subject to review) under £1,500 per week (health part only, excluding social care costs, with 50/50 split of estimate costs)										(1) Joint Commissioner (Mental Health), (2) Senior Commissioner for Learning Disabilities & Autism, (3) Mental Health and Physical & Sensory Disabilities Commissioning Manager (4) Dementia		
Packages (both new and legacy under older legislation subject to review) over £1,500 per week (health part only, excluding social care costs, with 50/50 split of estimate costs)						X						

CHC IPAs Adults and Continue Care for Children

Packages under £2,000 per week (Adults and Children) after use of separate and appropriate funding formula to calculate expected cost										CHC Assessment Service (Oxford Health NHS Foundation Trust)		
Packages up to £5,000 per week (Adults and Children) after use of separate and appropriate funding formula to calculate expected cost						Y				Head of Community Models of Care		
Packages up to £5,000 per week (Children only for health element where tripartite (Education, Social Care, Health) funding anticipated based on clinical needs) after use of separate and appropriate funding formula to calculate expected cost and/or percentage split						Y				Head of Integrated Commissioning (as voting member of Complex Needs Panel which considers tripartite referrals)		
Packages over £5,000 per week after use of separate and appropriate funding formula to calculate expected cost						Y						

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		AO	DAO	CFO	DCFO	DCD	DOT				
Client (and/or representative/s) expresses wish for more than 10% above Nominal Budget for placement based on clinical need (up to £5,000 per week) - adults only	CHC Exceptions Panel (with recommendation to relevant budget manager)								Head of Community Models of Care		
Client (and/or representative/s) expresses wish for package of care to form part of a Personal Health Budget (for which they may or may not already meet criteria) rather than as a standalone package of care/Individual Patient Agreement (up to £5,000 per week) - adults only	CHC Exceptions Panel (with recommendation to relevant budget manager)								Head of Community Models of Care		
Client (and/or representative/s) expresses wish for more than 10% above Nominal Budget for placement based on clinical need (over £5,000 per week) - adults only	CHC Exceptions Panel (with recommendation to Director of Commissioning and Delivery)					Y					
Client (and/or representative/s) expresses wish for package of care to form part of a Personal Health Budget (for which they may or may not already meet criteria) rather than as a standalone package of care/Individual Patient Agreement (over £5,000 per week) - adults only	CHC Exceptions Panel (with recommendation to Director of Commissioning and Delivery)					Y					
Client (and/or representative/s) disagrees with appeal outcome following assessment or re-assessment of clinical need against CHC criteria (all values) - adults only	CHC Exceptions Panel (final authority on application of criteria)										
Adhoc case escalation for children's continuing care applications where deemed necessary and relevant (all values)	CHC Exceptions Panel (with recommendation to relevant budget manager)										
Client (and/or representative/s) disagrees with proposed package offer and undertakes appeal (all values) - children only	Tribunal prompted by parental request										
IFRs											
Up to £20,000 per procedure/treatment per patient (estimate only)									Head of IFR, SCWCSU (reported via Case Review Panel/IFR report) or nominated deputy during absence i.e. SCWCSU Individual Funding Requests (IFR) Manager (Clinical)		
Over £20,000 per procedure/treatment per patient estimate only (i.e. additional funding precedent above threshold which is exceptional with no previous decision)	IFR Case Review Panel (with recommendation where possible considering panel timing to avoid unnecessary delay in decision)	Z	Z	Y		Z					
Over £20,000 per procedure per patient within pre-existing pathways (estimate only)		Z	Z	Y		Z					
Section 96											
Up to £50,000	Primary Care Operations Group (PCOG)										
Over to £50,000	Primary Care Commissioning Committee (on recommendation from Finance Committee)										
Primary Care including Practice Payments (Direct Awards and Primary Care Development Schemes)											
<p>Notes: this authority relates only to:</p> <p>(1) Approval of the arrangements for discharging the CCG's responsibilities and duties associated with its primary care 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, obtain advice from persons who taken together have a broad range of professional expertise and acting effectively, efficiently and economically within agreed and approved budget.</p> <p>(2) Day to day decisions on provider performance management and risk management associated with Primary Care to provide robust assurance to the Governing Body and NHS England within agreed and approved budget.</p> <p>(3) Approve and ratify proposals for the procurement of primary care services under commissioning arrangements within agreed and approved budgets:</p> <p>a. The award of GMS, PMS and APMS contracts for primary care services to some or all of the CCG population</p> <p>b. Procurement of new practice provision;</p> <p>c. Discretionary payment (e.g. returner/retainer schemes);</p> <p>d. Decisions in relation to the management of poorly performing GP practices and including, without limitation, decisions and liaison with the CQC where the CQC has reported non-compliance with standards (but excluding any decisions in relation to the performers list);</p> <p>e. Premises Costs Directions functions.</p>											
Up to £5,000									Primary Care Manager		
Up to £10,000									Senior Primary Care Manager		
Up to £50,000								AD Primary Care Commissioning			

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Up to £100,000	(1) Primary Care Commissioning Committee (2) Primary Care Operational Group	X	X	X							
Over £100,000	Governing Body (on some decisions)										
GPIT											
Up to £50,000								AD Digitalisation and IM&T			
Over £50,000			X								

Adhoc Funding Packages of Care

Note:

- includes step down bed capacity on OPEL 4
- these thresholds apply only where there is a PBR contract framework between CCG and acute provider; if contract status changes to Block at any time they become irrelevant
- Buckinghamshire Healthcare NHS Trust is already on block contract, hence the reason the provider is not referred to within these thresholds.

< £1,500 per week (Frimley Only where there is a PBR contract arrangement) for step down bed capacity funded from Frimley winter resilience budget									(1) Head of Urgent Care & System Resilience & Locality Link Manager (2) Director on Call		
> £1,500 per week (Frimley Only where there is a PBR contract arrangement) for step down bed capacity funded from Frimley winter resilience budget						X			Director on Call (ONLY if it cannot wait until next working day)		
< £1,500 per week (other local acute providers) for step down bed capacity funded from non-recurrent programme budget									(1) Head of Urgent Care & System Resilience & Locality Link Manager (2) Director on Call		
> £1,500 per week (Frimley Only) for step down bed capacity funded from non-recurrent programme budget						X			Director on Call (ONLY if it cannot wait until next working day)		
Over £10,000 per week									As per Discretionary Spend process when active- i.e. CFO. Authority to DCD when process deemed not active		

Legal Fees/solicitor engagement (CHC IPAs, other IPAs)

Note: Court of Protection/Deprivation of Liberty Standards (DoLS) cases are excluded in entirety from the discretionary spend process. This is on the basis of there being a statutory duty to meet legal costs. In relation to Continuing Healthcare and Mental Health/Section 117 applications, given a need to ensure appropriate decisions are reached based on circumstances and clinical need with no unnecessary delay in the decision making timescale, authority for agreement of legal costs post assessment up to a value per case file of

- £1,500 for clinical decisions per case file is delegated to the Joint Commissioner (All age Mental Health) for MH IPA/Section 117 applications/placements (only after Buckinghamshire County Council legal costs route explored first)
- £5,000 per case file is delegated to the Head of Community Models of Care for CHC IPAs
- up to £10,000 to the Director of Commissioning and Delivery

Any application for legal advice above this threshold will be subject to the discretionary spend process whilst deemed active. If deemed not active then delegated authority above this threshold is with the Director of Commissioning and Delivery

Up to £1,500 for clinical decisions per case file (Mental Health IPA/Section 117 applications/placements only; only after Buckinghamshire County Council legal costs route explored first)									Joint Commissioner (All age Mental Health) - MH/LD/S117		
Up to £5,000 per case file (CHC applications/placements)									Head of Community Models of Care - CHC		
Up to £10,000 per case file						X					
Over £10,000 per case file									As per Discretionary Spend process when active- i.e. CFO. Authority to DCD when process deemed not active		

e-Procurement card

Up to £300										X	
Up to £500									Admin Team		
Up to £1,000									Office Manager		
Up to £5,000					X						

Expense claims

Up to £250									X		
Over £250	X	X	X	X	X	X	X				

Training Expenses

Any value	X	X	X	X	X	X	X				
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Agency staff timesheet

Management Staff Any value	X	X	X	X	X	X	X	X	X		
Clerical Staff Any value	X	X	X	X	X	X	X	X	X		

Healthcare Contracts / SLAs/Contract Awards

All Values	Z	Z	X		Z						
Contract Variations	Z	Z	X		Z						

Non-Healthcare Contracts

All Values	Z	Z	X		Z						
Contract Variations	Z	Z	X		Z						

Health Contracts with Local Authority (including S.75 Pooled Budgets investment commitments)

Up to £50,000 per annual variation	Finance Committee										
Up to £250,000 per annual variation	Executive Committee										
Over £250,000 per annual variation	Executive Committee										
New contracts (irrespective of term)	Executive Committee										

Non Contractual Activity (i.e. unplanned care out of area, not activity that we haven't commissioned)

Up to £1,500									CSU NCA Team		
Over £1,500			X					Deputy CFO			

Medicines Optimisation

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Authorisation of New Drugs up to from up to £50,000 per drug per year								AD Medicines Management & LTC (as CCG voting member of FMG or equivalent)	Lead for Medicines Optimisation AD Medicines Management & LTC (as deputy CCG voting member of FMG or equivalent)		
Investment required for compliance with NICE up to £50,000 per drug per year (technically no limit as it is statutory mandated to introduce within 3 months though local decision could be taken to overrule)								AD Medicines Management & LTC (as CCG voting member of FMG or equivalent)	Lead for Medicines Optimisation AD Medicines Management & LTC (as deputy CCG voting member of FMG or equivalent)		
Authorisation of New Drugs over £50,000 per drug per year	Executive Committee										
Investment required for NICE compliance over £50,000 (technically no limit as it is statutory mandated to introduce within 3 months though local decision could be taken to overrule)	Executive Committee (on recommendation from MMS)										
Rebates and Incentives	Executive Committee where deemed by the Pharmaceutical Industry Scheme Governance Board (PISGB), to be inappropriate or not fully appropriate and only where there is no discount available and identified given the material conflict of interest Otherwise discussion on participation in rebate schemes is delegated to the Medicines Management Sub-Committee where there are no voting rights for member GPs.										

Child Health Assessments

Up to £1,000									Head of Service – Children’s Commissioning Joint Commissioning Manager children and young people		
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Key:											
X											
Z											
Y											
V											
AO											
DAO											
CFO											
DCFO											
DCD											
DOT											

Note A:
i) Wherever possible from agencies within the Framework. Appointments from agencies not on the Framework must show value for money.
ii) A day/hourly rate cap is to be set for agency staffing that must not exceed what would be paid to substantive appointments

Note B:
In absence of the CFO for whatever reason, his/her authority will be formally delegated as deemed appropriate at the time, to the Deputy Chief Finance Officer or Deputy Accountable Officer. Vice versa arrangement applies in respect of the absence of the Deputy Accountable Officer. Equivalent arrangements will also apply in absence of named CCG Management Directors.