



Annex 1- Delegated Financial Limits

Introduction

This document is to be used in parallel with the Standing Financial Instructions as a detailed outline of delegated limits representing the highest level to which authority with the ICB is delegated. Delegation to lower levels or to other officers is not permitted without the specific authority in writing of the Accountable Officer or Chief Financial Officer. In the absence of the relevant authorised person, authority is delegated up to the next appropriate authorised person.

Delegated Financial Limits															
	ICB Board of Members	NCL ICB Committees (Population Health Strategic Commissioning Committee/Finance / Procurement / Remuneration/Integrated Medicines Optimising Committee)	Individual Funding Requests	Primary Care Committee (PCC)	Chief Executive Officer (CEO)	Chief Financial Officer (CFO)	Chief People Officer (CPO)	Chief Transformation Officer (CTO)	Executive Directors (ED)	Finance Director (FD)	Director	Head of Service(HOS) /Assistant Director(AD) /Assistant Director of Finance(ADF)	Budget Holder	Contacts teams - (within the CTO directorate)	
1 Allocation and control of funds															
1.1 Virement of Budgets (excluding technical adjustments within Board of Members approved allocation)	Unlimited				£2,000,000	£1,000,000				<£500,000					
1.2 Journals (limits apply per journal rather than per line on a journal)	N/A					Unlimited				£20m and above			Up to £20m- Head of Finance/AD		
													Finance/Senior Financial Accountant in the CSU		
1.3 New Strategic Investments/Business Cases (per annum values)	Unlimited	Population Health Strategic Commissioning Committee up to £15m	Individual Funding Requests up to £50k	Unlimited-for delegated budgets	Up to £5m CEO and CFO acting together	Up to £5m CEO and CFO acting together	<£250,000 CTO and FD acting together	<£250,000 ED and FD acting together	<£250,000 Exec Director/CTO and FD acting together	<£10,000 Director and AD of Finance acting together					
- All Officer posts can approve up to a maximum contract length of 3 yrs. + 2 extension yrs.							<£500,000 CTO and CFO acting together								
- Board of Members & Committees do not have a max. contract length for approval purposes		Integrated Medicines Optimising Committee up to £0.4m		£5m for non-delegated budgets			<£500,000 CTO and CFO acting together								
1.4 Allocation of North Central London wide transformation or other funding that is not ICB specific	Unlimited			Unlimited-for delegated budgets	Unlimited	Unlimited									
2 Procurement (to be read alongside Procurement Policy and limits within Procurement Policy)															
2.1 Approval to proceed to procurement (per annum values)	Unlimited	Population Health Strategic Commissioning Committee - £15m		Unlimited-for delegated budgets	Up to £5m CEO and CFO acting together	Up to £5m CEO and CFO acting together	<£250,000 CTO and FD acting together	<£250,000 /ED and FD acting together	<£250,000 Exec Director/CTO and FD acting together	<£10,000 Director and AD of Finance acting together					
- All Officer posts can approve up to a maximum contract length of 3 yrs. + 2 extension yrs.							<£500,000 CTO and CFO acting together								
- Board of Members & Committees do not have a max. contract length for approval purposes		Report to Procurement Oversight		£5m for non-delegated budgets			<£500,000 CTO and CFO acting together								
		Procurement Oversight Group- Eas per approved business cases		Procurement Oversight Group- Eas per approved business cases											
2.2 Contract Award (per annum values)	Unlimited	Population Health Strategic Commissioning Committee - £15m		Unlimited-for delegated budgets	Up to £5m acting with CFO	Up to £5m acting with CEO	<£250,000 CTO and FD acting together	<£250,000 acting with FD	<£250,000 Exec Director/CTO and FD acting together	<£10,000 Director and AD of Finance acting together					
- All Officer posts can approve up to a maximum contract length of 3 yrs. + 2 extension yrs.							<£500,000 CTO and CFO acting together								
- Board of Members & Committees do not have a max. contract length for approval purposes							<£500,000 CTO and CFO acting together								
2.3 Signing of contracts/Service Level Agreements (per annum values)	Unlimited				Unlimited acting with CFO	Unlimited acting with CEO	<£500,000 CTO and FD acting together	<£250,000 acting with FD	<£250,000 Exec Director/CTO and FD acting together	<£10,000 Director and AD of Finance acting together					
- All Officer posts can approve up to a maximum contract length of 3 yrs. + 2 extension yrs.							<£1,000,000 CTO and CFO acting together								
- Board of Members & Committees do not have a max. contract length for approval purposes															
2.4 Complex & Individualised Commissioning (CIC) Care Placements including CHC and previously unassessed period of care (PuPOC)	Unlimited	Population Health Strategic Commissioning Committee - £5m			<£1,000,000 per annum CEO and CFO acting together	<£500,000 per annum / £9,590 per week CFO & ED/CTO/ acting together	<£250,000 per annum / £4,795 per week	<£250,000 per annum / £4,795 per week	<£182k per annum / £3,500 per week	CIC Commissioning Team - Complex & Individualised Care Director post holder (or CCG 'on call' Director / Out of Hours Director) up to annum / £1,336 per week	CIC Commissioning Team - Complex & Individualised Care Head of Service post holder up to £70k per annum / £1,336 per week	CIC Commissioning Team - Complex & Individualised Care Commissioner post holder up to Any Qualified Provider (AQP) rate (excluding Personal Health Budgets)			
					>£1,000,000 per annum CEO and CFO acting together	<£1,000,000 per annum CEO and CFO acting together	<£500,000 per annum / £9,590 per week CFO & CTO acting together	<£500,000 per annum / £9,590 per week CFO & ED/ acting together							
					>£1,000,000 per annum CEO and CFO acting together	>£1,000,000 per annum CEO and CFO acting together									
2.5 Waiving quotations and tenders	Unlimited	Finance Committee - Unlimited			£1,000,000 with CEO and CFO acting together	£1,000,000 with CEO and CFO acting together	<£250,000 with CFO and CTO/ED acting together	<£250,000 with CFO and CTO/ED acting together	<£100,000 with FD and CTO/ED acting together	<£100,000 with FD and CTO/ED acting together					
Note:		Report to the Audit Committee					<£100,000 with FD and CTO/ED acting together								
- All approved waivers are reported to the Audit Committee															
3 Income and Expenditure (and associated purchase orders) within budget amounts															
3.1 Non- NHS: Commissioning Expenditure for agreed provider contracts (excl Complex & Individualised Care)	Unlimited				Unlimited acting with CFO	Unlimited acting with CEO	<£5m	<£500,000	<£500,000	Director of Acute Commissioning <£1m Director post holder within CTO Directorate <£1m Other Directors <£150,000	<£50,000	<£15,000			
3.2 Non-NHS: Ordering, invoices and payment of goods/services (within approved budgets)	Unlimited														
3.3 Approval of invoices against agreed NHS contracts/ monthly scheduled payments	Unlimited				Unlimited	Unlimited	<£250,000 £50m	<£250,000 £5m	<£250,000 £25m	Director of Acute Commissioning <£25m Director post holder within CTO Directorate <£5m Other Directors <£500,000	<£50,000	<£15,000			

3.4	Approval of invoices without agreed NHS contracts (Low value activity (LVA))	Unlimited		<£250,000	<£250,000	<£250,000	<£250,000	<£250,000	<£150,000	<£50,000	<£15,000	Band 7 and above £5k Band 8 and above £50k Band 9 and above £250k
3.5	Approval of invoices against agreed Local Authorities contracts	Unlimited		£20m	£20m	£10m	£10m	£10m	Director of Strategic Commissioning <£1m Complex & Individualised Care Director post holder <£1m	<£50,000	<£15,000	
3.6	Overtime - relating to pay	Unlimited		£5-10k	£5-10k	Up to £5k ED/CTO and FD acting together	Up to £5k ED/CTO and FD acting together	Up to £5k ED/CTO and FD acting together				
3.7	Travel & Subsistence	Unlimited		Unlimited	Unlimited	£500	£500	£500	£500	£500	£500	
3.8	Contract variations in line with approved business cases	Unlimited		Unlimited	Unlimited	<£500,000	<£250,000	<£250,000				
3.9	NHS Commissioning - where the CCG is an associate party to the contract	Unlimited		Unlimited	Unlimited	<£15m	<£15m	<£15m				
3.10	NHS Commissioning - sign off of annual contracts	Unlimited		Unlimited	Unlimited	<£15m	<£15m	<£15m				
3.11	Approval of scheduled payments for signed contracts	Unlimited		Unlimited	Unlimited							Band 7 and above £5k Band 8 and above £50k Band 9 and above £1m
3.12	NHS Commissioning - approval of payments over SLA values	Unlimited		Unlimited	Unlimited	Unlimited with FD and ED/CTO acting together	Unlimited with FD and ED/CTO acting together	Unlimited with FD and ED/CTO acting together				
3.13	Covid Related Expenditure (Non-Care-Placement)/ <u>Expenditure for reasons of extreme urgency</u>	Unlimited	Population Health Strategic Commissioning Committee - £15m	<£1,000,000 CEO and CFO acting together	<£1,000,000 CEO and CFO acting together	<£100,000 acting with the FD	<£100,000 acting with the FD	<£100,000 acting with the ED/CTO				
3.14	Complex & Individualised Commissioning (CIC) Care Placements including CHC and previously unassessed period of care (PuPOC). Approval limits per provider in-line with agreed contracts	Unlimited	Population Health Strategic Commissioning Committee - £5m	Unlimited	Unlimited	<£250,000	<£250,000	<£250,000	CIC Commissioning Team - Complex & Individualised Care Director post holder £182k	CIC Commissioning Team - Complex & Individualised Care Head of Service post holder up to £70k		
												CIC Commissioning Team Complex & Individualised Care Assistant Director post holder up to £100k
4	Capital Expenditure and Assets											
4.1	Capital Works Orders	Unlimited		Unlimited-for delegated budgets	<£1,000,000	<£1,000,000	<£250,000 FD acting with the CTO/ED/	<£250,000 FD acting with the CTO/ED				
4.2	Capital Schemes Approval (NCL)	Unlimited		Unlimited-for delegated budgets	<£1,000,000	<£1,000,000	<£250,000 FD acting with the CTO/ED	<£250,000 FD acting with the CTO/ED				
4.3	Entering, granting, extending and terminating leases and licences	Unlimited		Unlimited-for delegated budgets	<£2,000,000	<£2,000,000	<£250,000 FD acting with the CTO/ED/	<£250,000 FD acting with the CTO/ED				
4.4				Unlimited-for delegated budgets	Unlimited	Unlimited						
	Capital allocation to other orgs within ICS											
5	Losses and Compensation (in conjunction with the Audit Committee)											
5.1	Losses due to theft, fraud and overpayment	Unlimited	Report to the Audit Committee		up to £1m- and reported to Audit committee		Up to £10,000 FD and CTO/ED acting together	Up to £10,000 FD and CTO/ED acting together	Up to £5,000			
									Up to £10,000 FD and CTO/ED acting together			
5.2	Fruitless payments	Unlimited	Report to the Audit Committee		up to £1m- and reported to Audit committee		Up to £10,000 FD and CTO/ED acting together	Up to £10,000 FD and CTO/ED acting together	Up to £5,000			
									Up to £10,000 FD and CTO/ED acting together			
5.3	Bad debts and claims abandoned	Unlimited	Report to the Audit Committee		up to £1m- and reported to Audit committee		Up to £10,000 FD and CTO/ED acting together	Up to £10,000 FD and CTO/ED acting together	Up to £5,000			
									Up to £10,000 FD and CTO/ED acting together			
5.4	Compensation under legal obligation including redundancy	Unlimited	Report to the Audit Committee		up to £1m- and reported to Audit committee		Up to £10,000 FD and CTO/ED acting together	Up to £10,000 FD and CTO/ED acting together	Up to £5,000			
									Up to £10,000 FD and CTO/ED acting together			
5.5	Extra contractual payments to contractors	Unlimited	Report to the Audit Committee		up to £1m- and reported to Audit committee		Up to £10,000 FD and CTO/ED acting together	Up to £10,000 FD and CTO/ED acting together	Up to £5,000			
									Up to £10,000 FD and CTO/ED acting together			
5.6	Ex-gratia payments: personal effects	Unlimited	Report to the Audit Committee		up to £1m- and reported to Audit committee		Up to £10,000 FD and CTO/ED acting together	Up to £10,000 FD and CTO/ED acting together	Up to £5,000			
									Up to £10,000 FD and CTO/ED acting together			

5.7 Ex-gratia payments: litigation and compensation	Unlimited	Report to the Audit Committee	up to £1m- and reported to Audit committee	Up to £10,000 FD and CTO/ED acting together	Up to £10,000 FD and CTO/ED acting together	Up to £5,000 Up to £10,000 FD and CTO/ED acting together
5.8 Ex-gratia payments: clinical negligence	Unlimited	Report to the Audit Committee	up to £1m- and reported to Audit committee	Up to £10,000 FD and CTO/ED acting together	Up to £10,000 FD and CTO/ED acting together	Up to £5,000 Up to £10,000 FD and CTO/ED acting together
5.9 Ex-gratia payments: personal injury claims	Unlimited	Report to the Audit Committee	up to £1m- and reported to Audit committee	Up to £10,000 FD and CTO/ED acting together	Up to £10,000 FD and CTO/ED acting together	Up to £5,000 Up to £10,000 FD and CTO/ED acting together
5.10 Ex-gratia payments: other	Unlimited	Report to the Audit Committee	up to £1m- and reported to Audit committee	Up to £10,000 FD and CTO/ED acting together	Up to £10,000 FD and CTO/ED acting together	Up to £5,000 Up to £10,000 FD and CTO/ED acting together
5.11 Write off: NHS debtors	Unlimited	Report to the Audit Committee	up to £1m- and reported to Audit committee	Up to £10,000 FD and CTO/ED acting together	Up to £10,000 FD and CTO/ED acting together	Up to £5,000 Up to £10,000 FD and CTO/ED acting together
5.12 Write off: non NHS debtors	Unlimited	Report to the Audit Committee	up to £1m- and reported to Audit committee	Up to £10,000 FD and CTO/ED acting together	Up to £10,000 FD and CTO/ED acting together	Up to £5,000 Up to £10,000 FD and CTO/ED acting together
5.13 Compromise Agreements, COT3 Agreements and other types of agreements for termination or loss of office or employment (NHS England agreement must also be sought)- outside of contract	Unlimited	Remuneration Committee - Unlimited	Up to £20,000 acting with the CFO and CPO	Up to £20,000 acting with the CEO and CPO	Up to £20,000 acting with the CEO and CFO	
6 Other						
6.1 Establishment Control Process			Unlimited	Unlimited	Unlimited	
Banking Arrangements						
Note on non-financial factors						
<p>This document relates specifically to financial limits. However, all staff should be aware that changes to service delivery models including but not limited to quality, operational performance and/or the balance of risk between the commissioner(s) and the provider(s) may be material regardless of the financial impact. These types of changes may require approval at a more senior level or by a committee so staff should refer to the relevant governance processes and policies.</p>						
Note on VAT						
<p>All of the above revenue amounts are exclusive of VAT. VAT will be added to the approved values as appropriate.</p>						