

NHS Cheshire & Merseyside Integrated Care Board (ICB) Scheme of Reservation & Delegation Operational Limits

Version: 2

January 2023

1. Operational Delegated Limits

Section	Description	Reserved by	Delegated to											
		Integrated Care Board (ICB)	Finance, Investment & Resources Committee	Transformation Committee	Quality & Performance Committee	Primary Care Committee	'Place' Committee's	ICB Chief Executive	ICB Executive Director of Finance	ICB Deputy Director of Finance	ICB Executive Directors (Nursing / Medical)	Other ICB Directors (Named as Applicable)	'Place' Directors	Other named ICB Officer (or as per ICB authorised signatory list)
A	ACCEPTANCE OF GIFTS, HOSPITALITY & SPONSORSHIP (Governance Lead to maintain a register of declared gifts and hospitality received)							Gifts over £50	Gifts over £50		Gifts over £50	Gifts up to £50	Gifts up to £50	As delegated by Chief Executive/ CFO at the limits outlined within the Authorised Signatory List
B	LITIGATION CLAIM PAYMENTS Medical negligence and other litigation payments made on the advice of NHSLA	Over £1,000,000						£50,001 - £1,000,000	Up to £50,000					
C	LOSSES & SPECIAL PAYMENTS (CFO to maintain a register of losses and special payments (including bad debts to be written off). All payments to be reported to the Audit Committee.	Over £100,000						£50,001 - £100,000	£5,001 - £50,000	Up to £5,000				
D	PETTY CASH FLOAT													
D1	Authorisation to set up float							Over £300	Over £300	Up to £300 float				
D2	Replenish petty cash float													Head of Financial Services (or equivalent role) Up to maximum float
D3	Issue petty cash								Up to £50	Up to £50				Associate Director of Finance (Place) Up to £50
E	CREDIT CARD													
E1	Account signatories (who can make changes to the account, authorise additional card holders, amend card limit)							X	X	X				
E2	Authorise single transaction (single transaction limit £2,500)								X	X		X		X
F	REQUISITIONING GOODS & SERVICES: NON-HEALTHCARE													
F1	Utilisation of External Agency Staff (based on total expected cost as per below notes)	Over £500,000	Over £150,000					Up to £75,000	Up to £50,000	Up to £25,000	Up to £25,000	Up to £25,000	Up to £25,000 (within)	Up to £25,000

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	<p><i>Supporting Notes</i></p> <p>a) Prior approval from NHSE must be sought for:</p> <ul style="list-style-type: none"> Any appointments over £600 per day; or Any appointments for over a 6 month period; or Any appointment with significant influence (e.g. ICB roles) <p>b) prior to recruitment HR must conduct and sign off with relevant Director acknowledgement of IR35 compliance and/or status confirmation and in line with agreed ICB IR35 policy</p>												place based structure)	
F2	<p>Utilisation of Consultancy (based on total expected cost as per below notes).</p> <p><i>Supporting Notes</i></p> <p>a) Prior approval from NHSE must be sought for:</p> <ul style="list-style-type: none"> Any appointments over £600 per day; or Any appointments for over a 6 month period; or Any appointment with significant influence (e.g. ICB roles) <p>b) prior to recruitment HR must conduct and sign off with relevant Director acknowledgement of IR35 compliance and/or status confirmation and in line with agreed ICB IR35 policy</p>	Over £150,000	Over £150,000					Up to £75,000	Up to £50,000		Up to £25,000 (within approved budget)	Up to £25,000 (within approved budget)	Up to £25,000 (within approved budget)	
F3	Services including IT, maintenance, and support services (over lifetime of contract) were not included within agreed annual budgets	Over £1,000,000	Over £500,00 and Up to £1,000,000					Up to £500,000	Up to £250,000		Up to £100,000	Up to £100,000		As delegated by Chief Executive/ CFO at the limits outlined within the Authorised Signatory List
F4	Recharges from other public sector bodies not included within agreed annual budgets							Up to £500,000	Up to £250,000	Up to £100,000	Up to £100,000	Up to £100,000	Up to £100,000	As delegated by Chief Executive/ CFO at the limits outlined within the Authorised Signatory List

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F5	Approval of non-healthcare expenditure within agreed budget *With appropriate consideration of procurement requirements	Over £1,000,000	Over £500,000			Over £500,000		Up to £500,000	Up to £250,000	Up to £100,000	Up to £100,000	Up to £100,000	Up to £100,000	As delegated by Chief Executive/ CFO at the limits outlined within the Authorised Signatory List
F6	Approval of all other non-healthcare requisitions *With appropriate consideration of procurement requirements	Over £500,000						Up to £250,000	Up to £100,000	Up to £50,000	*Up to £50,000	Up to £50,000	Up to £50,000	As delegated by Chief Executive/ CFO at the limits outlined within the Authorised Signatory List
G	RELOCATION EXPENSES In line with Policy approved by ICB Remuneration Committee							Over £8,500	Up to £8,500					
H	DECISION TO APPROVE 'NEW' INVESTMENT BUSINESS CASES													
H1	Where funding is a) available and identified within agreed financial plan or b) from additional notified resource allocations (e.g new in-year) c) other identified income streams (e.g other agencies / recharges)	Over £1,000,000	Up to £1,000,000	?		Up to £1,000,000 *Primary Care Related		Up to £1,000,000	Up to £750,000	Up to £100,000 (within approved budget)	Up to £250,000 (within approved budget)	Up to £250,000 (within approved budget)	Up to £250,000 (within approved budget)	As delegated by Chief Executive/ CFO at the limits outlined within the Authorised Signatory List
H2	Where not included in approved financial plan (but still subject to ICB Executive / Place Leadership Team Approval) N.B any material underspend / variation from plan at individual budget holder level cannot be reinvested / redirected (see Virement Policy - Section L) without Executive team approval due to overall financial management requirements of the ICB.	Over £500,000	Up to £500,000	?		Up to £500,000 *Primary Care Related		Up to £250,000	Up to £100,000		Up to £100,000	Up to £100,000	Up to £100,000	As delegated by Chief Executive/ CFO at the limits outlined within the Authorised Signatory List
H3	Primary Care Capital Expenditure Approval (within ICB allocation) <i>NB - Capital Plan to be approved by the ICB for each financial year</i>	Over £1,000,000				Up to £1,000,000 *Primary Care Related		Up to £1,000,000 (in urgent cases)	Up to £500,000 (in urgent cases)					

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H4	Secondary Care Capital Expenditure Approval (within ICB allocation) NB - Capital Plan to be approved by the ICB for each financial year	Over £1,000,000	Up to £1,000,000					Up to £1,000,000 (in urgent cases)	Up to £500,000 (in urgent cases)					
I	CONTRACTING													
I1	Signing of Healthcare Contracts (Annual Contract Value)							Over £150,000,000	Up to £150,000,000	Up to £50,000,000				
I2	Approval of Healthcare Contract Payments All healthcare contract payments must be supported by signed contract (see I1).							As per agreed plan / budget value	As per agreed plan / budget value	As per agreed plan / budget value		As per agreed plan / budget value	As per agreed plan / budget value	As delegated by Chief Executive/ CFO at the limits outlined within the Authorised Signatory List
I3	Procurement Route Decision Whether to put Healthcare Service Out to Tender Committee to review and make risk-based decisions as appropriate on case by case basis	X (For Novel or Contentious issues escalated by FIR Committee)	X (Novel or Contentious Procurement Decisions to be escalated to the Board)											
I4	Approval of ICB Procurement Plan (on an annual basis and any ad-hoc procurement identified during the year) alongside the relevant specific elements of the ICB procurement activities <ul style="list-style-type: none"> Approve the commencement of any over threshold open tenders. Approve the procurement of goods and services via approved national / local frameworks (over delegated budgeted limits) Approve the award of a contract at the end of a tender process. Approve the extension of a contract rather than procurement, where it is permitted within the original terms of the contract. Approve the sign off of a tender waiver in line with the SORD and Signatory list. Approve the publication of a Contract Notice in line with Public Contract Regulations (2015) where a procurement will not be undertaken. (could be a contract award notice 		X											

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	(CAN), a contract modification notice (CMN) or a Voluntary Ex-Ante Transparency Notice (VEAT)													
I5	Signing of Non-Healthcare Contracts (Annual Contract Value)		Over £250,000						Up to £250,000	Up to £100,000		Up to £100,000	Up to £100,000	Up to £100,000
J	APPROVAL OF OTHER HEALTHCARE PAYMENTS WITHIN BUDGET See authorised signatory list for approval limits for other officers.	Over £1,000,000	Up to £1,000,000			Up to £1,000,000 *Primary Care Related		Up to £1,000,000	Up to £750,000	Up to £100,000 (within approved budget)	Up to £250,000 (within approved budget)	Up to £250,000 (within approved budget)	Up to £250,000 (within approved budget)	As delegated by Chief Executive/ CFO at the limits outlined within the Authorised Signatory List
K	QUOTATIONS AND TENDERS HEALTHCARE / NON-HEALTHCARE													
K1	Procurement through approved national / local framework agreement (in line with call off rules)								From £20k to delegated budgeted limit for expenditure within budget (with approval from procurement team) Above delegated budgeted limits, subject to Finance, Investment & Resources Committee Approval					
K2	Quotation Waiver Approval (Total Contract Value - see detailed financial policy on tendering when permissible)								From £20k to delegated limit for expenditure within budget					
K3	Tender Waiver Approval	Above Tender Limit for Healthcare / Non-Healthcare							Nil - N.B. Reporting of all Tender Waiver Approval to Audit Committee					
K4	Approval to issue a Formal Tender In compliance with 'Public Contract Regulations 2015 and amendments'.								All - Threshold and above approved by ICB Board Threshold is £213,477 (including VAT) unless light touch regime applies for healthcare services (see I3)					
K5	Approval to seek 3 quotes (up to identified tender limit) In compliance with 'Public Contract Regulations 2015 and amendments'.								Up to delegated limit for expenditure within budget £20,000 to Threshold Minimum of three written quotes required					
K6	Non Healthcare - Expenditure below quite threshold (quotes still recommended to secure VFM)								Up to £19,999					
K7	Opening of Tender Documentation (where not received electronically) (at least 2 people from list)							X	X	X	X			
K8	Approval of ICB Procurement Plan (on an annual basis and any ad-hoc procurement identified during the year) alongside the relevant specific elements of the ICB procurement activities <ul style="list-style-type: none"> Approve the commencement of any over threshold open tenders. 		X											

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	<ul style="list-style-type: none"> Approve the procurement of goods and services via approved national / local frameworks (over delegated budgeted limits) Approve the award of a contract at the end of a tender process. Approve the extension of a contract rather than procurement, where it is permitted within the original terms of the contract. Approve the sign off of a tender waiver in line with the SORD and Signatory list. Approve the publication of a Contract Notice in line with Public Contract Regulations (2015) where a procurement will not be undertaken. (could be a contract award notice (CAN), a contract modification notice (CMN) or a Voluntary Ex-Ante Transparency Notice (VEAT))													
L	VIREMENT	Relating to a transfer of funds from an unspent or underspent budget to another; within virement rules to allow greater financial flexibility in using available resources <i>All Transfers must be:</i> <ul style="list-style-type: none"> affordable within budget; and agreed by both budget holders Virements may not be used to create new budgets												
L1	Within Existing Approved Pay or Non-Pay Budgets							Over £1,000,000	Up to £750,000	Up to £500,000		Up to £250,000	Up to £250,000	As delegated by Chief Executive/ CFO at the limits outlined within the Authorised Signatory List
L2	With regards to transfers from reserves (including distribution of new in-year resource / capital allocations)								Over £25,000,000	Up to £25,000,000				As delegated by Chief Executive/ CFO at the limits outlined within the Authorised Signatory List
M	DISPOSALS AND CONDEMNATION All assets disposed at market value.	Over £50,000						Up to £50,000	Up to £10,000	Up to £5,000				

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N	CHARITABLE FUNDS (Not applicable to ICB)													
O	HUMAN RESOURCES													
O1	Approve HR Decisions Not Covered By ICB HR Policies or Is Exceptional To Policies (e.g. additional compassionate leave or exceptional carry forward of leave days)							X	X	X	X	X	X	
O2	Decisions As Set Out Within HR Policies (where there is some management discretion e.g. study leave authorisation)							X	X		X	X	X	
O3	Approval of Operational Structure (re staffing and departments), and in accordance with organisation change policy							X						
O4	Approval of Appointment to Posts Below Executive Directors								X	X	X	X	X	X
O5	Approval of the below arrangements as required by the ICB <ul style="list-style-type: none"> Approval of the arrangements for discharging the ICB statutory duties as an employer Approve human resources policies for ICB employees and for other persons working on behalf of the ICB Approve any other terms and conditions of services for ICB AFC employees Approve disciplinary arrangements for ICB employees Approve arrangements for staff appointments (excluding matters detailed within the Constitution) Approve the ICBs organisational development plans 		X											
P	EXTERNAL COMMUNICATIONS & REPORTING													
P1	Approve Complaints Responses and Letters to Politicians and Media Responses							X				X (Assistant Chief Executive)		
P2	Approve Public Consultation Material							X				X (Assistant Chief Executive)		
P3	Approve Public & Staff Engagement Material inc Website							X				X (Assistant Chief Executive)		
P4	Approve FOI Responses											X (Assistant		X* Corporate Affairs /

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												Chief Executive)		Governance Lead
P5	Approve Annual Engagement & Communication Plan	X										X (Assistant Chief Executive)		
Q	FINANCE													
Q1	Approval of Operational Policies as required by the organisation		X											