

**CHILDREN AND YOUNG PEOPLE SERVICE**

**FINANCIAL AUTHORITY LEVELS**

**2018/19**

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| --- | --- |
| Date Last Reviewed | 31/01/2019 |
| Approved By |  |
| Date Approved |  |
| Version Number | 0.2 |
| Review Date | April 2019 |
| Document Owner | Rachel Boston |
| Post Holder | Finance and Project Manager |

The Council’s Scheme of Delegation (Part 2 delegation A4 and A4 (a)) provides that each Service Head must maintain a list of officers approved for the purposes of financial transactions. The Scheme of Delegation provides for certain financial levels to be applied in respect of procurement and write off. Section Heads cannot seek to alter those provisions (i.e. for procurement up to £500,000 for level one officers, up to £100,000 for level 2 and for level 3 officers up to £25,000. For write off the figures vary but are broadly £10k/5k for level one and two, £1k/£2k for level three and £5/£500 for level 4). Generally for any payments/orders that would create a contract the limits must be as per the procurement code but for those where there is already some form of instrument/contract in place the limits are to be determined by the Section Head.

**Note: Purchase orders are unlimited for Levels 1 and 2 only**

| **Officer Name** | **Post Title** | **Section/Team** | **Financial Limits on Purchase Cards**  **“A”= Authoriser**  **£** | **Financial Limit on Orders which would not create a new Contract**  **£** | **Financial Limit on Invoices which would not create a new Contract**  **£** | **Financial Limit on Accounts Payable**  **£** |
| --- | --- | --- | --- | --- | --- | --- |
| Grainne Siggins | Exec Director of Strategic Commissioning | Executive Directorate | N/A | £500,000 | £500,000 | £500,000 |
| Colin Ansell | Director of Integrated Support Service | Integrated Support Service | N/A | £50,000 | £100,000\* | £100,000\* |
| Roy Choudhury | Director of Operations | Children Social Care | N/A | £50,000 | £50,000 | £50,000 |
| Terry Reynolds | Director of Education | Education and Skills | N/A | £50,000 | £50,000 | £50,000 |
| Vacant | Director of Commissioning | Commissioning | N/A | £50,000 | £50,000 | £50,000 |
| Helen Page | Director Of Delivery, Compliance and Transformation | 0-19 Children Health Services | N/A | £50,000 | £50,000 | £50,000 |
| Sam Taylor | Head of Commissioning | Commissioning | N/A | £20,000 | £20,000 | £20,000 |
| Pauline Naraine | Head of Child Protection and Safeguarding | Children Social Care | N/A | £20,000 | £20,000 | £20,000 |
| Chris Chalmers | Head of Corporate Parenting | Children Social Care | N/A | £20,000 | £20,000 | £20,000 |
| Kelley Webb-Martin | Head of 0-19 Children Health | 00-19 Children Health Services | N/A | £20,000 | £20,000 | £20,000 |
| Simon McKenzie | Head of Service 0-25  (SEND) | SEND 0-25 Integrated Service | N/A | £20,000 | £20,000 | £20,000 |
| Rebecca Dawson | Senior Commissioning Manager - CYPMH | Headstart | N/A | £20,000 | £20,000 | £20,000 |
| Rachel Boston | Finance and Project Manager | Children Social Care | N/A | £20,000 | £20,000 | £20,000 |
| Beverley Halligan | Head of Social Work Improvement | Children Social Care | N/A | £10,000 | £10,000 | £10,000 |
| Angella Wells | Head of Quality Assurance | Children Social Care | N/A | £10,000 | £10,000 | £10,000 |
| Peter Gibbs | Head of Access and Infrastructure | Education and Skills | N/A | £10,000 | £10,000 | £10,000 |
| Dani Wade | Principal Adviser – School Improvement | Education and Skills | N/A | £10,000 | £10,000 | £10,000 |
| John Wood | Head of Unified Support Services | Education and Skills | N/A | £10,000 | £10,000 | £10,000 |
| Angie Ingleton | Team Manager | 0 – 25 Team | N/A | £10,000 | £10,000 | £10,000 |
| Sarfraz Akram | Inclusion Business Manager | Education and Skills | N/A | £10,000 | £10,000 | £10,000 |
| Rosie Die- Boateng | Service Manager | Commissioning | N/A | £5,000 | £5,000 | £5,000 |
| Filiz Osman | Safeguarding and Practice Improvement Manager | Children Social care | N/A | £5,000 | £5,000 | £5,000 |
| Michelle Henry | Service Manager | Children Social Care | £3,000 per month  £300 per transaction | £5,000 | £5,000 | £5,000 |
| Karis Ade- Williams | Service Manager  (MASH& EDT ) | Children Social Care | £3,000 per month  £300 per transaction | £5,000 | £5,000 | £5,000 |
| Lorraine Marshall | Service Manager | Children Social Care | £3,000 per month  £300 per transaction | £5,000 | £5,000 | £5,000 |
| Jane Dennison | Service Manager | Children Social Care | £3,000 per month  £300 per transaction | £5,000 | £5,000 | £5,000 |
| Alby Luguterah | Service Manager | Children Social Care | £3,000 per month  £300 per transaction | £5,000 | £5,000 | £5,000 |
| Steve Chaplin | Service Manager  (Leaving Care) | Children Social Care | £3,000 per month  £300 per transaction | £5,000 | £5,000 | £5,000 |
| Mussarat Gul | Service Manager  (Fostering and Adoption) | Children Social Care | £3,000 per month  £300 per transaction | £5,000 | £5,000 | £5,000 |
| Yvonne Michael | Service Manager ( LAC) | Children Social Care | £3,000 per month  £300 per transaction | £5,000 | £5,000 | £5,000 |
| Claire Belgard | Service Manager  (Early Help) | Children Social Care | N/A | £2,000 | £2,000 | £2,000 |
| Tamara Marsh | Service Manager | Children Planning and Review | N/A | £2,000 | £2,000 | £2,000 |

\*Delegated amount only to be used in the absence of the Director or with Directors permission. Normal Daily amount = £50k to be managed by Director of ISS.

**Areas covered considered by the policy:**

1. Agreeing a care packages (including Permanency packages)
2. Authorising placements packages on Azeus Care- this includes placements, support and Legal planning arrangements
3. Authorisation of Education Placements and Other cost
4. Purchase Card
5. General Supplies and services- i.e. stationery,
6. Signing off of invoices- contractual and one –off payments
7. Agency recruitment and agency invoices
8. Capital investment
9. PRF Request
10. Write off’s
11. Adaptations and DFG Approvals
12. **AGREEING A PLACEMENT, SUPPORT AND LEGAL PLANNING –:**

This includes all **new** placements/ support/ legal planning arrangements/ care packages or a variation to the placement/ support/ legal planning arrangement **(increase or decrease).** The level of sign off also includes the **‘notional’** costs.

* 1. **Weekly Commitment Placements and Support – New**

|  |  |  |
| --- | --- | --- |
| **Management**  **(post)** | **Process** | **Financial Levels- Placements including support** |
| Executive Director of Strategic Commissioning  Director of Operations | Recommendation provided from Heads of Service: | All:   * External residential placements, * Secure placements * Placements outside a 20 miles radius. * Permanency Packages * Legal Planning over £5,000   **Financial Limit**  As per cost of external placement/ legal planning costs |
| Executive Director of Strategic Commissioning  Director of Education | Recommendation provided from Heads of Service: | All:   * Education residential placement / establishment   **Financial Limit**  As per cost of external placement |
| Head of Service  (Children Social Care) | All cases agreed at Panel. Recommendation from Service Manager | All:   * P& V Fostering * Semi- Independent   **Financial Limit:**  Up to £1,000 per week. |
| Head of Service (SEND) | All cases agreed at Panel. Recommendation from Service Manager | All:   * Education Residential placements * Education placement * Care packages   **Financial Limit:**  Up to £1,500 per week. |
| Service Mangers | Recommendation from practitioner agreed by the manager | All:   * In-House Foster Care placement- **no financial authorisation required** * Independent Living   **Financial Limit**  Up to £500.00 per week |
| Team Leader (DCYPS) | Recommendation from practitioner agreed by the manager | * Care Package   **Financial Limit**  Up to £500.00 per week |
| Practice Lead | Recommendation from practitioner agreed by the manager | * In- House Foster Placement- **no financial authorisation required** |

1. **AUTHORISATION OF PACKAGES ON AZEUSCARE- PLACMENTS AND OTHER COMMITMENTS**

Once a placement/cost has been agreed at Panel/ with the appropriate manager and notes updated with the relevant decision, the case is authorised in Azeus as follows:

|  |  |  |
| --- | --- | --- |
| **Management**  **(post)** | **Nature of Service** | **Authorisation Level** |
| Director of Operations- Children Social care | * Residential Placement * Secure Placement * Permanency Plans * Legal Planning and Arrangements Cost/ Section 17/ Section 24 | As per agreed cost  As per agreed cost  As per agreed cost  As per agreed cost |
| Head of Service  (Children Social Care)  Head of Service  (SEND) | * P&V Placements and Support * In- House Service * Legal Planning and Arrangements Cost/ Section 17/ Section 24 * Care Packages | External package maximum of £1,000 per week  Authority to authorise cost not required  Maximum of £5,000 in **tota**l  External package maximum of £1,500 per week |
| Service Manager | * Independent Placement and Support * In- House Service * Legal Planning and Arrangements Cost/ Section 17/ Section 24F | External package maximum package of £500 per week  Authority to authorise cost not required  Maximum of £3,000 in **total** |
| Team Leader (DCYPS) | * Care Package * Section 17 arrangements | External package maximum package of £500 per week  Maximum of £500 in **total** |
| Practice Lead | * In- House Service * Legal Planning and Arrangements Cost/ Section 17/ Section 24 | Authority to authorise cost  Maximum of £100 in **total** |

**Note:** Legal Planning and Arrangements cost include all cost associated with the young person such as contact, transport provision, accommodation etc

**2.1 Authorisation of care package invoices authorised on AzeusCare**

All placement/support/ legal planning/Section 17 and 24 invoices are paid by the Central Payments Team, authorising the cost on AzeusCare is treated as the ‘authority’ to pay. A placement/support/ legal planning/Section 17 and 24 will not be paid on AzeusCare unless authorised.

* 1. **Change or Adjustment to existing placement/support/ legal planning/Section 17 and Section 24**

Any change or adjustment to existing cost is to be in line with the scheme of delegation detailed in **2.0** above.

**2.3 Minor adjustments- Care Packages- Children With Disabilities**

(depending on journey of young person this may be undertaken within the DCYPS or Adults Service as the young person transitions)

| **Criteria** | **Team** | **£ Amount** | **Authorising Body** | **Note** |
| --- | --- | --- | --- | --- |
| Home care package  (DCYPS)   * Already an existing package in place * Scheduled Review due within 12 weeks * No adjustments have been made since the last full assessment/review | Access & 0-25 Service | **Up to an additional £51 p/w or 3 hours** | Team Manager  Practice Manager (s)  Head of Service  Service Managers | * All minor adjustments will be approved by the appropriate authorising body outside of the Panel * Over this amount/criteria will require a reassessment as the change in need is classified greater than a minor adjustment |
| * Already an existing long term package in place * No adjustments have been made since the last full assessment/review. * Or the Review Team are verifying the adjustment made previously in Access. * Increase not to exceed 3 hours or maximum value of £42 p/w | Review & 0-25 Service | **Up to an additional £51 p/w or 3 hours** | Review Team Manager  Review Practice  Practice Manager(s)  Head Of Service  Service Manager | * This can be done in addition to an adjustment already agreed by the Access Team. * Over this amount/criteria will require a reassessment as the change in need is classified greater than a minor adjustment * Increases to annual agreements to be made in line with scheme of delegation up to a maximum of £500 p/w, above this amount would need to be considered at Panel |

* 1. **One off packages- DCYPS**

The commissioned package is to be loaded as a normal package via Azeus.

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| --- | --- | --- |
| **Criteria** | **£ Amount** | **Authorising Body** |
| * Customer requires a ‘one off’ service for an unplanned event/emergency situation * Maximum of two ‘one off’ services commissioned in one financial year * Maximum total value for both of £2,600 | <£150 total value  £151 to £1,300 total value | * Team Managers * Practice Managers * Service Managers * Heads of Service * Director * Exec Director |

* 1. **Emergency Services**

Emergency Services should only be used at time of crisis as per the criteria below. The durations should allow presentation to Panel/manager meeting within 2 days of interim funding being agreed. All residential placements require Director of Operations approval or above.

|  |  |  |  |
| --- | --- | --- | --- |
| **Criteria** | **Duration** | **£ Amount** | **Authorising Body** |
| * Emergency residential or secure placement * Support: A stabilising placement/ family : commissioned while the needs of the young person/family are being reviewed | 2 weeks | As per placement costs  <£500 per week  £501 - £750 p/w  £750 -£999 p/w  >£1000 p/w | * Executive Director * Director of Operations * Service Manager * Head of Service * Directors * Executive Director / Directors |

* 1. **Out of hours packages-**

Agreement to packages during out of hours via EDT - Packages agreed outside of normal hours, Duty Officer to email Social Worker or Duty Assessment Officer with any decisions made. .

|  |  |  |  |
| --- | --- | --- | --- |
| * Criteria | **Duration** | **£ Amount** | **Authorising Body** |
| * Young Person/ Family affected by an incident needs a service commissioned while they are pending a further assessment outside business hours | maximum of 72 Hours | £5,000 | Manager on Duty with Delegated responsibility  / EDT Duty Officer |

1. **AUTHORISATION OF NON AZEUSCARE- EDUCATION PLACEMENTS AND OTHER COST**

Once an education placement/ costs has been agreed at Panel/ with the appropriate manager and notes updated with the relevant decision, the case is authorised and to be updated on the appropriate tracker:

|  |  |  |
| --- | --- | --- |
| **Management**  **(post)** | **Nature of Service** | **Authorisation Level** |
| Executive Director of Strategic Commissioning  Director of Education | * Education Placements * Transport Provision | As per agreed cost |
| Head of Service  0-25 Services | * Education Placements * Transport Provision | Education package maximum of £3,000 per week  Maximum of £15,000 in **per annum** |
| Head of Unified Support Service | * Transport Provision | Maximum of £7,500 in **per annum** |

1. **PURCHASE CARDS**

In some cases there may be a need for the payment to be made in advance or as a direct purchase. Approvers can approach named purchase card holders and agree spend as per the scheme of delegation. **No purchase card payment should be made for items where a contract/ formal letter to provide the service apply – any use of purchase card in this instance could be deemed as a disciplinary offence. Provision of Care Services will always be made via AzeusCare as a default.**

**5.0 GENERAL SUPPLIES AND SERVICES**

General supplies and services could include stationery, purchase of stamps. Some of the small items would probably be covered through the use of a purchase card; however there may be items i.e. such as purchase of one-off building/ decorating where the petty cash/ purchase card will not apply. Authorisation levels for General Supplies and Services as per the scheme of delegation.

**6.0 ENTERING INTO A CONTRACT/CONTRACTUAL INVOICES**

There are a number of invoices that come into Children and Young People Services that refer to implied or formal contractual arrangements i.e. third sector payments. Contractual agreements can be made in line with the “Financial Limit on Orders which would not create a new Contract” values set out on pages 2 – 5. However managers must ensure that sufficient agreement has been made to enter into the contract and that the Executive Director of Strategic Commissioning is informed of any contracts created above £50k.

All purchase orders for contracts need to be loaded and approved via the 1Oracle system – any orders above £50k will require Director Approval. All invoice approvals need to be carried out in line with the 1Oracle guidelines

**PLEASE NOTE THAT 1ORACLE CAN NOT BE USED FOR PLACEMENTS OR ANY TRANSACTIONS RELATING TO A FAMILY OR YOUNG PERSON’ S SUPPORT, THESE MUST BE LOADED ONTO AZEUSCARE.**

**7.0 RECRUITMENT/ AGENCY**

For existing posts no officer should be entering into an agreement to recruit a member of staff unless

1. They are the Budget Holder and;
2. There is a valid post number and;
3. There is sufficient budget available to pay for the post

All corporate systems should continue to be used when undertaking recruitment. Budget holders have to ensure that the correct HR processes are followed when undertaking recruitment.

**Any request to create additional posts within the Children Young People Services – whether temporary or permanent has to have written agreement from the Executive Director and Finance and Project Manager**

**8.0 CAPITAL INVESTMENT –**

All commitments for capital costs will follow the same process:

|  |  |  |  |
| --- | --- | --- | --- |
| **Management Level** | **Weekly Limit** | **Annual Limit** | **Manager** |
| Exec Director of Commissioning (Children and Education) | As per Current Scheme of Delegation | **As per Current Scheme of Delegation** | Grainne Siggins  (this may be delegated to an appropriate officer) |
| Director of Commissioning Support Unit | As per Current Scheme of Delegation | **As per Current Scheme of Delegation** | Colin Ansell |
| Director of Operations  (Children) | As per Current Scheme of Delegation | **As per Current Scheme of Delegation** | Roy Choudhury |
| Director of Operations  (Education) | As per Current Scheme of Delegation | **As per Current Scheme of Delegation** | Terry Reynolds |

**9.0 PAYMENT REQUEST FORM (PRF)**

A Payment Request Form (PRF) is one of the methods available to the Council for making a payment to a third party.

A PRF should only be used in certain restricted circumstances and should not be used as an alternative to the Purchase Ordering system. Those circumstances include, but are not restricted to:

* Payment of grants and allowances e.g. International Payments to Guardians/ individuals, providers
* Reimbursement of expenses that cannot be paid through Payroll;
* Where suppliers request a cheque with the order

**PRF Authorisation Level:**

|  |  |  |  |
| --- | --- | --- | --- |
| **Management Level** | **Weekly Limit** | **Annual Limit** | **Manager** |
| Executive Director of Strategic Commissioning | As per Current Scheme of Delegation | **As per Current Scheme of Delegation** | Grainne Siggins  (this may be delegated to an appropriate officer) |
| Director of Integrated Support Service | As per Current Scheme of Delegation | **As per Current Scheme of Delegation** | Colin Ansell |
| Director of Operations | As per Current Scheme of Delegation | **As per Current Scheme of Delegation** | Roy Choudhury |
| Director of Education | As per Current Scheme of Delegation | **As per Current Scheme of Delegation** | Terry Reynolds |
| **Operational** – PRF’s agreed where service provision agreed in line with Scheme of Delegation i.e. Special Guardianship payments | | | |
| Finance and Project Manager | As per Current Scheme of Delegation | **As per Current Scheme of Delegation** | Rachel Boston |
| Head of Service | As per Current Scheme of Delegation | **As per Current Scheme of Delegation** | All Head of Service in Children Social Care |
| Service Managers | As per Current Scheme of Delegation | **As per Current Scheme of Delegation** | All Service Manager in Children Social Care |

**10.0 PAYMENT AUTHORISATION FORMS**

Payment authorisation forms are required only where the an approved payment as per the Scheme of Delegation has been made via an interface and Central Payments Team (CPPT) require the Payment Authorisation Form to be signed to release payment. These items have already been authorised in the appropriate system (Azeus/ DPS), as such any manager with a signatory can sign off the form.

**11.0 WRITE OFF**

Write off of any debt should be presented to the Finance and Project Manager, with supporting evidence as to the reasons for the debt to be written off. The Finance and Project Manager has the authority to write off any debt to **£20k in consultation with the Director. Debts over £20k are to follow the corporate policy.**

**12.0 Adaptations and DFG approvals – DCYPS**

**12.1 Occupational Therapists for authorisation of equipment and minor adaptations**

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| --- | --- | --- |
| **Item** | **Limit** | **Authoriser** |
| All stock items | £1,000  £1,999 | Clinical supervisor  (OT Practice manager  or OT Team Manager)  Clinical supervisor Plus Second Signatory (OT Practice manager  or OT Team Manager) |
| Minor adaptations | £1,000 | Clinical supervisor  (OT Practice manager  or OT Team Manager |
| Non-stock items | £1,000  £1,999  Up to £7000  £15,000 | Clinical supervisor  (OT Practice manager  or OT Team Manager)  Clinical supervisor and secondary signatory (OT Practice manager or OT Team Manager)  OT Professional Lead & Service Manager  TBC |

**12.2 Disabled Facilities Grant and Council Adaptations - DCYPS**

All assessments and recommendations for any Adaptations (Above £1000) need to be authorised by the Major Adaptations Panel. This is held fortnightly and attended by Health and Social Care, chaired on rotation by a Practice Manager.