


DIRECTORATE FOR ADULTS AND HEALTH

SCHEME OF DELEGATION ADULTS AND HEALTH

**Incorporating: Adult Social Care Operations; Mental Health and Learning Disabilities;
Integrated Commissioning; Customers and Communities**

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<i>Approved by</i>	<i>Richard Parry – Strategic Director</i> 
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DIRECTORATE FOR ADULTS AND HEALTH

**Strategic Director
Adults & Health
Richard Parry**

April 2021

Amanda Evans
Service Director
Adult Social Care Operations

Head of Service
Adult Social Care Operations North

Head of Service
Adult Social Care Operations South

Head of Service
Standards & Safeguarding
Partnerships

Head of Service
Adult Social Care Transformation

Michelle Cross
Service Director
Mental Health & Learning Disabilities

Head of Service
Care Provision (In House)

Head of Service
Mental Health & Learning Disabilities

Helen Severns
Service Director
Integrated Commissioning

Head of Service
Commissioning Partnerships &
Market Development

Senior Manager
Integrated Support

Jill Greenfield
Service Director
Customers & Communities

Head of Service
Local Integrated Partnerships

Head of Service
Access, Strategy & Delivery

Head of Service
Communities

Improvement & Relationship
Manager

Improvement & Relationship
Manager

Adult Social Care Services
Covered within Section One

Customers & Communities Services
Covered within Section Two

DIRECTORATE FOR ADULTS AND HEALTH

BACKGROUND AND CONTEXT

The [Constitution](#) of the Council is a written legal document that guides the council on its decision making processes. The legal framework for the constitution is agreed by central government. It provides a basis and framework for the councillors and officers to work within, and ensures honesty, accountability and lawful decision making. The Constitution includes a Scheme of Delegation to Officers ([Part 3.7](#)) which enables Strategic Directors to make certain decisions relating to their areas of responsibility. Strategic Directors are able to delegate decision further to Service Directors and other officers within their services.

However, there is a requirement for each Strategic Director together with the Service Director for Legal, Governance and Commissioning to prepare Service Schemes of Delegations which set out how decisions will be made in each of the services for which they are responsible. These schemes should clearly establish which officers have been given authority to make decisions under the delegated powers of the Strategic Director or Service Director for Legal, Governance and Commissioning, the extent of the delegated authority of those officers and any terms, conditions and/or limitations subject to which those delegations must be exercised. All service schemes of delegation have to be lodged with the Service Director for Legal, Governance and Commissioning which includes the role of Council Monitoring Officer and made available to the public on request.

This document forms the Service Scheme of Delegation for the services that come under the Adults and Health Directorate.

The officers holding posts named within this scheme may only exercise the delegated powers set out in this scheme in accordance with:

- a) All relevant statutory requirements including the principles of public law and the provisions of the Human Rights Act 1998, statutory guidance and statutory codes of practice; and
- b) The provisions of this Constitution (including the provisions of the Access to Information Procedure Rules relating to the taking of key decisions); and
- c) The revenue and capital budgets of the council, subject to any variation thereof permitted by the Council's Financial Procedure Rules.

All decisions taken must be clearly recorded and must clearly identify the officer responsible for taking the decision.

Where a post to which any decision has been delegated is renamed or is affected by a staffing reorganisation, then the relevant delegation shall be treated as applying to the renamed post or, as appropriate, to the post which has been allocated the same or substantially the same relevant duties as the original post following that reorganisation.

Although the decisions in this scheme have been delegated to officers, there is a requirement to consult local ward Councillors and community lead Councillors if the decision you are making has a direct impact on a local community. Local ward Councillors should be kept aware of any decisions made and implemented under delegated powers that affect members of the community in their ward – however, the advice of your Head of Service should be sought before contact is made with any Councillors.

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The Scheme of Delegation is divided into multiple sections, some sections are directorate wide and some are service specific. The sections included are:

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This document supersedes all previous scheme of delegation / officer delegation for all services within the Adults and Health Directorate.

Key:

Identified differences across generic sections (1. Financial Procedures and 2. Governance) within both schemes.

-  Customers and Communities Services
-  Adult Social Care Services

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Section One – Adult Social Care Services

Responsibility	Strategic Director	Service Director	Head of Service	Service Manager	Team Manager	Deputy Team Manager	Officer	Named Individual(s) only	Procedure Reference
1. Financial Procedures									
1.1 Standards of Behaviour									
A) Sign off Gifts & Hospitality Register			Y over £25	Y under £25					Employee Handbook (EH)
B) Sign off Declarations of Interest		Y							EH
1.2 Assets									
A) Ensure detailed inventories are compiled and kept up to date					Y				Financial Procedure Rules (FPR)
B) Surplus or obsolete goods or inventory items are disposed of correctly					Y				FPR
C) Stock records in completed					Y				FPR
1.3 Security									
A) A register of all safe keys/codes and key/code holders is maintained					Y				FPR
B) Nominated officer responsible for the overseeing lost property and maintaining the register		Y						Y	FPR

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Responsibility	Strategic Director	Service Director	Head of Service	Service Manager	Team Manager	Deputy Team Manager	Officer	Named Individual(s) only	Procedure Reference
1.4 Cheques and Petty Cash									
A) Register of all officers authorised to sign cheques and other bank documents maintained		Y							FPR
B) Record of all petty cash imprests, including imprest holder, amount, location maintained and approver				Y					FPR
1.5 Purchasing Cards									
A) Review of monthly credit, transaction and cash limits and purchasing categories		Y						Y	FPR
B) Approving application form for new purchase card.		Y						Y	
C) Approving a temporary limit increase.		Y						Y	
D) Named purchasing cards are kept safe at all times								Y By all card holders	FPR
E) All expenditure incurred is supported by adequate records								Y By all card holders	FPR
1.6 Income and collection									
A) Sign off revised existing service fees and chargers		Y							FPR

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Responsibility	Strategic Director	Service Director	Head of Service	Service Manager	Team Manager	Deputy Team Manager	Officer	Named Individual(s) only	Procedure Reference
B) Sign off new service fees and chargers (prior to Cabinet)	Y								FPR
1.7 Amenities Funds									
A) Review annual Record of Audit against bank statements for each amenity fund				Y					FPR
B) Review named individuals linked to each amenity fund to ensure appropriate				Y					

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Responsibility	Strategic Director	Service Director	Head of Service	Service Manager	Team Manager	Deputy Team Manager	Officer	Named Individual(s) only	Procedure Reference
2. Governance									
2.1 Authorisation levels									
A) Check SAP requisitioner approvers and requisitioner type					Y				
B) Approving SAP procurement approvers and approval limits		Y							
C) Approving purchasing card approvers and levels		Y						Y	
D) Approving contract amendments or extensions for supplies and services			Y						
E) Vacancy Management Panel approval for a. requests to fill b. honorarium c. acting ups d. secondments e. extension to temporary arrangements f. matrix staff			Y						
F) Review approver levels for packages of care are correct (Carefirst approval levels)			Y						

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Responsibility	Strategic Director	Service Director	Head of Service	Service Manager	Team Manager	Deputy Team Manager	Officer	Named Individual(s) only	Procedure Reference
2.2 Signatory list									
A) Authorise entries on the corporate/ central contract signatory list are correct		Y							
2.3 Cabinet and Key Decision Notices (KDNs)									
A) Authorise documents or reports to be shared with Portfolio Holders or Councillors		Y							
B) Authorise flight path journey through to Cabinet		Y							
C) Sign off Key Decision Notice		Y							
2.4 Communications and Information									
A) Sign off pre-print run				Y					
B) Sign off new public facing information, correspondence, guidance and policies (both printed and web formats)		SCLT							
C) Sign off amended/updated public facing information, correspondence, guidance and policies (both printed and web formats)		SCLT							

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Responsibility	Strategic Director	Service Director	Head of Service	Service Manager	Team Manager	Deputy Team Manager	Officer	Named Individual(s) only	Procedure Reference
D) Sign off new internal procedures, correspondence, staff guidance and service updates			Y						
E) Sign off amended/updated internal procedures, correspondence, staff guidance and service updates				Y					
F) Sign off intranet content uploads		SCLT							
G) Sign off website content uploads		SCLT							
H) Sign off Press Release (Strategic Communication Team to be involved)	Y							Y Portfolio Holder	
I) Sign off interactions with the Press (Strategic Communication Team to be involved)	Y							Y Head of Comms	
J) Sign off Social Media accounts for service presence (Strategic Communication Team to be involved)	Y							Y Comms Rep	Social Media Guidelines

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Responsibility	Strategic Director	Service Director	Head of Service	Service Manager	Team Manager	Deputy Team Manager	Officer	Named Individual(s) only	Procedure Reference
2.5 Hazard Warning									
A) Decision to enforce a banning order				Y					
B) Review an appeal when a banning order is in place			Y						
C) Sign off Hazard Warning Database Authorised User list				Y	Y				Telephone Alert, Hazard Warning and Incident Reporting Guidance (TAHW&IRG)
D) Sign off Hazard Warning Database Service Link Officer				Y	Y				TAHW&IRG
E) Review entries on the Hazard Warning Database								Y Service Link Officer	TAHW&IRG
F) Approve entries to be removed from the Hazard Warning Database				Y	Y	Y		Y Originator	TAHW&IRG
G) Sign off completed V1 forms in role of Authorising Manager					Y	Y			TAHW&IRG
H) Review Authorising Manager names on submitted form to ensure correct and complete. If Authorising Manager has left the role, to identify a replacement								Y Service Link Officer	TAHW&IRG

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Responsibility	Strategic Director	Service Director	Head of Service	Service Manager	Team Manager	Deputy Team Manager	Officer	Named Individual(s) only	Procedure Reference
2.6 Emergency Planning									
A) Decision to implement emergency planning protocol		Y							Emergency and continuity planning
2.7 Information Governance									
A) Receipt new Freedom of Information requests from the Information Governance Team		Y						Y Customer Services team	
B) Assign Freedom of Information request to appropriate manager(s) or team(s) to collate information and/ or draft response		Y						Y Customer Services team	
C) Sign off completed Freedom of Information requests			Y						
D) Drafting and maintaining privacy notice					Y				
E) Sign off new or amended privacy notice				Y					
F) Drafting and updating Data Protection Impact Assessment (DPIA)					Y				
G) Sign off DPIA				Y					

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Responsibility	Strategic Director	Service Director	Head of Service	Service Manager	Team Manager	Deputy Team Manager	Officer	Named Individual(s) only	Procedure Reference
H) Create and maintain (where needed) Information Sharing Agreement				Y					
I) Sign off new or amended information sharing agreements			Y						
J) Information Asset Owner		Y							

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Responsibility	Strategic Director	Service Director	Head of Service	Service Manager	Team Manager	Deputy Team Manager	Officer	Named Individual(s) only	Procedure Reference
3. Adult Social Care Specific									
3.1 Deprivation Of Liberty Safeguards (DOLS)									
A) Authorise commencement of DOLS Assessments								Y DOLS Consultant	
B) Sign off DOLS application outcome			Y	Y					
C) Authorise IMCA								Y DOLS Consultant DOLS Business Support	
3.2 Safeguarding									
A) Referral for large scale enquiry						Y	Y	Y	
B) Authorisation to commence large scale enquiry					Y				
C) Authorise the commencement of safeguarding enquiries					Y	Y	Y	Y Safeguarding Consultant / Senior Safeguarding Consultant	
D) Authorising protection plans					Y	Y	Y	Y Safeguarding Consultant / Senior Safeguarding Consultant	

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Responsibility	Strategic Director	Service Director	Head of Service	Service Manager	Team Manager	Deputy Team Manager	Officer	Named Individual(s) only	Procedure Reference
E) Authorising large scale enquiries			Y	Y	Y				
F) Authorising closure of safeguarding			Y	Y	Y	Y	Y	Y Safeguarding Consultant / Senior Safeguarding Consultant	
3.3 Legal									
A) Authorisation of initial contact to be made with Legal when incurring a cost			Y						
B) Authorisation of general enquiries to be made with Legal (no cost to service)					Y				
C) Authorise Court of protection proceedings (welfare) and instruction of counsel and Legal			Y						
D) Authorisation of contact with Legal on Court of Protection proceedings (welfare) case				Y					
3.4 Case Management									
A) Case closure					Y	Y			
B) Case transfer to another Team/Service					Y	Y			
C) Case transfer to another Local Authority					Y	Y			

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Responsibility	Strategic Director	Service Director	Head of Service	Service Manager	Team Manager	Deputy Team Manager	Officer	Named Individual(s) only	Procedure Reference
D) Acceptance of a case from another Local Authority					Y	Y			
E) Case Disposal					Y				
F) Commencement of IMCA or Advocate							Y		
G) Requesting and gathering specialist medical reports where a cost is incurred					Y				
H) Independent Capacity Assessment					Y				
I) Initiate Missing persons Alert							Y		
3.5 Placements									
A) Agree 24 hour long term placements					Y				
B) Agree Emergency Placement					Y				
C) Agree Transitional Placement					Y				
D) Agree Spot Purchase Transitional placement					Y				
E) Agree Spot Purchase Transitional placement at a significant cost			Y						
F) Agree Nursing Transitional placement					Y				
G) Agree Contingency home care					Y				

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Responsibility	Strategic Director	Service Director	Head of Service	Service Manager	Team Manager	Deputy Team Manager	Officer	Named Individual(s) only	Procedure Reference
H) Stopping placements with named providers			Y						
3.6 Financial									
A) Authorisation of care package (within budget)					Y				
B) Authorisation of carers budget					Y				
C) Authorisation for 1-1 care				Y					FPR
D) Sign new or amended direct payment contracts								Y	
E) Authorisation for transport					Y				FPR
F) Authorisation for one off services (amount as in accordance with FPR)					Y				FPR
G) Authorising write offs		Y							FPR
H) Authorising waivers		Y							
I) Recommend waiver of charges for protection plans				Y					FPR
J) Recommend waiver of charges for 24 hour placements				Y					FPR
K) Authorise persons from abroad (no recourse to public funds) subsidy where there is a presenting care need				Y					FPR
L) Authorise credit notes				Y					FPR

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Responsibility	Strategic Director	Service Director	Head of Service	Service Manager	Team Manager	Deputy Team Manager	Officer	Named Individual(s) only	Procedure Reference
M) Authorise sundry debtors				Y					
N) Signing off disability related expenses					Y				FPR
3.7 Complaints									
A) Respond to complaints made direct to Teams or managed by Customer Services team as Concerns						Y			
B) Respond to complaint overseen by the Customer Services team					Y				
C) Additional Service Complaint Review, as deemed appropriate				Y					
D) Responding to Ombudsman enquiries and complaints			Y						

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Responsibility	Strategic Director	Service Director	Head of Service	Senior Contracting & Procurement Manager	Contract Manager	Partnership Commissioning/ Service Development Manager	Named Individual(s) only	Procedure Reference
4. Contracts and Commissioning								
4.1 Contracts and Commissioning								
A) In line with the Council's CPRs, undertaking of all procurement processes using an approved standard form of contract or process, or process pre-agreed with Service Director (Legal, Governance and Monitoring).								Contract Procurement Rules (CPR)
B) In line with the Council's CPRs, signing of all contracts on standard terms and conditions or format pre-agreed with Service Director (Legal Governance and Monitoring).								CPR

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Responsibility	Strategic Director	Service Director	Head of Service	Senior Contracting & Procurement Manager	Contract Manager	Partnership Commissioning/ Service Development Manager	Named Individual(s) only	Procedure Reference
C) In line with the Council's CPRs, authorisation for contract initiation.								CPR
D) In line with the Council's CPRs, creation and maintenance of Standing Lists.								CPR
E) In line with Council's CPRs, deletion of a supplier from a standing list.								CPR
F) In line with the Council's CPRs, taking contractual action to suspend placements / new work following the failure of a provider to meet the terms of the contract.								CPR
G) In line with the Council's CPRs, terminating contracts.								CPR
H) In line with the contractual arrangements and the Council's CPRs and FPRs, negotiating uplifts of fee rates for service providers.								CPR/FPR

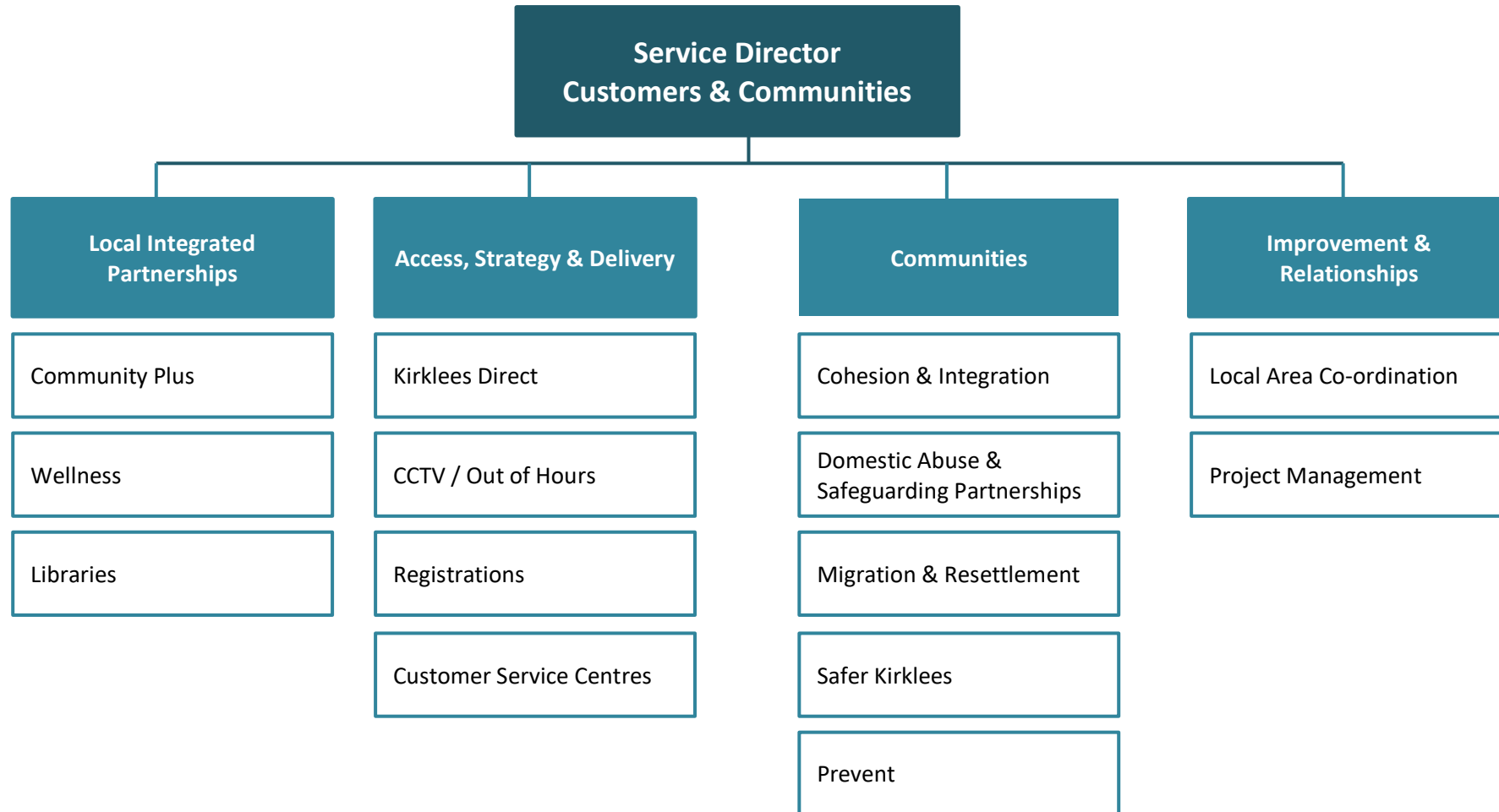
DIRECTORATE FOR ADULTS AND HEALTH

Responsibility	Strategic Director	Service Director	Head of Service	Senior Contracting & Procurement Manager	Contract Manager	Partnership Commissioning/ Service Development Manager	Named Individual(s) only	Procedure Reference
I) In line with the Council's CPRs and FPRs, including any exemptions to limitations previously agreed with the Service Director (Legal, Governance and Monitoring), approving invoice payments for contracted services.								CPR/FPR

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Section Two – Customers and Communities Services

Customers and Communities Structure



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Responsibility	Strategic Director	Service Director	Head of Service	Service Manager	Team Manager	Deputy Team Manager	Officer	Named Individual (s) only	Procedure Reference
1. Financial Procedures									
1.1 Standards of Behaviour									
1.1A Sign off Gifts & Hospitality Register			Y over £25	Y under £25					<u>Employee Handbook</u>
1.1B Sign off Declarations of Interest		Y							<u>Employee Handbook</u>
1.2 Assets									
1.2A Ensure detailed inventories are compiled and kept up to date					Y				<u>Financial Procedure Rules</u>
1.2B Surplus or obsolete goods or inventory items are disposed of correctly					Y				<u>Financial Procedure Rules</u>
1.2C Stock records completed					Y				<u>Financial Procedure Rules</u>
1.3 Security									
1.3A A register of all safe keys/codes and key/code holders is maintained					Y				<u>Financial Procedure Rules</u>
1.3B Nominated officer responsible for overseeing lost property and maintaining the register		Y						Y	<u>Financial Procedure Rules</u>
1.4 Cheques and Petty Cash									
1.4A Register of all officers authorised to sign cheques and other bank documents maintained		Y							<u>Financial Procedure Rules</u>
1.4B Record of all petty cash imprests, including imprest holder, amount, location maintained and approver				Y					<u>Financial Procedure Rules</u>

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Responsibility	Strategic Director	Service Director	Head of Service	Service Manager	Team Manager	Deputy Team Manager	Officer	Named Individual (s) only	Procedure Reference
1.5 Purchasing Cards									
1.5A Review of monthly credit, transaction and cash limits and purchasing categories		Y	Y					Y	<u>Financial Procedure Rules</u>
1.5B Approving application form for new purchase card		Y	Y					Y	
1.5C Approving a temporary limit increase		Y	Y					Y	
1.5D Named purchasing card are always kept safe								Y By all card holders	<u>Financial Procedure Rules</u>
1.5E All expenditure incurred is supported by adequate records								Y By all card holders	<u>Financial Procedure Rules</u>
1.6 Income and Collection									
1.6A Sign off revised existing service fees and chargers		Y							<u>Financial Procedure Rules</u>
1.6B Sign off new service fees and chargers (prior to Cabinet)	Y								<u>Financial Procedure Rules</u>
1.7 Grants									
1.7A Approval for Community Grants Funding		Y (>10k)	Y (<10k)						<u>Financial Procedure Rules</u>

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Responsibility	Strategic Director	Service Director	Head of Service	Service Manager	Team Manager	Deputy Team Manager	Officer	Named Individual (s) only	Procedure Reference
2. Governance									
2.1 Authorisation Levels									
2.1A Check SAP requisitioner approvers and requisitioner type					Y				
2.1B Approving SAP procurement approvers and approval limits		Y							
2.1C Approving purchasing card approvers and levels		Y	Y					Y	
2.1D Approving contract amendments or extensions for supplies and services			Y						
2.1E Vacancy Management Panel approval for g. requests to fill h. honorarium i. acting ups j. secondments k. extension to temporary arrangements l. matrix staff			Y						
2.2 Signatory List									
2.2A Authorise entries on the corporate/ central contract signatory list are correct.		Y							

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Responsibility	Strategic Director	Service Director	Head of Service	Service Manager	Team Manager	Deputy Team Manager	Officer	Named Individual (s) only	Procedure Reference
2.3 Cabinet and Key Decision Notices (KDNs)									
2.3A Authorise documents or reports to be shared with Portfolio Holders or Councillors		Y							
2.3B Authorise flight path journey through to Cabinet		Y							
2.3C Sign off Key Decision Notice		Y							
2.4 Communications and Information									
2.4A Sign off pre-print run		Y SLT		Y					
2.4B Sign off new public facing information, correspondence, guidance, and policies (both printed and web formats)		Y SLT							
2.4C Sign off amended/updated public facing information, correspondence, guidance, and policies (both printed and web formats)		Y SLT							
2.4D Sign off new internal procedures, correspondence, staff guidance and service updates		Y SLT	Y						
2.4E Sign off amended/updated internal procedures, correspondence, staff guidance and service updates		Y SLT		Y					
2.4F Sign off intranet content uploads		Y SLT							
2.4G Sign off website content uploads		Y SLT							

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Responsibility	Strategic Director	Service Director	Head of Service	Service Manager	Team Manager	Deputy Team Manager	Officer	Named Individual (s) only	Procedure Reference
2.4H Sign off Press Release (Strategic Communication Team to be involved)	Y							Y Portfolio Holder	Social Media Guidelines
2.4I Sign off interactions with the Press (Strategic Communication Team to be involved)	Y							Y Head of Comms	Social Media Guidelines
2.4J Sign off Social Media accounts for service presence (Strategic Communication Team to be involved)	Y							Y Comms Rep	Social Media Guidelines
2.5 Hazard Warning									
2.5A Decision to enforce a banning order				Y					
2.5B Review an appeal when a banning order is in place			Y						
2.5C Sign off Hazard Warning Database Authorised User list				Y	Y				Telephone Alert, Hazard Warning and Incident Reporting Guidance (TAHW&IRG)
2.5D Sign off Hazard Warning Database Service Link Officer				Y	Y				(TAHW&IRG)
2.5E Review entries on the Hazard Warning Database.								Y Service Link Officer (Lee Hamilton)	(TAHW&IRG)
2.5F Approve entries to be removed from the Hazard Warning Database.				Y	Y	Y		Y Originator	(TAHW&IRG)
2.5G Sign off completed V1 forms in role of Authorising Manager.					Y	Y			(TAHW&IRG)

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Responsibility	Strategic Director	Service Director	Head of Service	Service Manager	Team Manager	Deputy Team Manager	Officer	Named Individual (s) only	Procedure Reference
2.5H Review Authorising Manager names on submitted form to ensure correct and complete. If Authorising Manager has left the role, to identify a replacement								Y Service Link Officer (Lee Hamilton)	(TAHW&IRG)
2.6 Emergency Planning									
2.6A Decision to implement emergency planning protocol		Y							<u>Business Continuity Framework & Policy</u>
2.7 Information Governance									
2.7A Receipt of new Freedom of Information requests from the Information Governance Team		Y						Y ASC Customer Services Team	
2.7B Assign Freedom of Information request to appropriate manager(s) or team(s) to collate information and/ or draft response		Y						Y ASC Customer Services Team	
2.7C Sign off completed Freedom of Information requests			Y						
2.7D Drafting and maintaining privacy notice					Y				
2.7E Sign off new or amended privacy notice				Y					
2.7F Drafting and updating Data Protection Impact Assessment (DPIA)					Y				
2.7G Sign off DPIA				Y					
2.7H Create and maintain (where needed) Information Sharing Agreement				Y					

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Responsibility	Strategic Director	Service Director	Head of Service	Service Manager	Team Manager	Deputy Team Manager	Officer	Named Individual (s) only	Procedure Reference
2.7I Sign off new or amended information sharing agreements			Y						
2.7J Information Asset Owner		Y							

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Responsibility	Strategic Director	Service Director	Head of Service	Service Manager	Team Manager	Deputy Team Manager	Officer	Named Individual (s) only	Procedure Reference
3. Customers and Communities Service Specific									
3.1 Safeguarding									
3.1A Referral for large scale enquiry				Y				Y (Karen Booth – SG Officer)	
3.1B Authorisation to commence large scale enquiry			Y						
3.1C Authorise the commencement of safeguarding enquiries				Y				Y (Karen Booth – SG Officer)	
3.1D Authorising protection plans				Y				Y (Karen Booth)	
3.1E Authorising closure of safeguarding			Y						
3.2 Legal									
3.2A Authorisation of initial contact to be made with Legal when incurring a cost			Y						
3.2B Authorisation of general enquiries to be made with Legal (no cost to service)					Y				
3.2C Authorise Court of protection proceedings (welfare) and instruction of counsel and Legal			Y						
3.2D Authorisation of contact with Legal on Court of Protection proceedings (welfare) case.				Y					

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Responsibility	Strategic Director	Service Director	Head of Service	Service Manager	Team Manager	Deputy Team Manager	Officer	Named Individual (s) only	Procedure Reference
3.3 Financial									
3.3A Authorisation for transport					Y				Financial Procedure Rules
3.3B Authorisation for one off services (amount as in accordance with FPR)					Y				Financial Procedure Rules
3.3C Authorising write offs		Y							Financial Procedure Rules
3.3D Authorising waivers		Y							
3.3E Recommend waiver of charges for protection plans			Y	Y					Financial Procedure Rules
3.3F Authorise credit notes				Y					Financial Procedure Rules
3.3G Authorise sundry debtors				Y					
3.4 Complaints									
3.4A Respond to complaints made direct to Teams or managed by Customer Services team as Concerns						Y			
3.4B Respond to complaint made direct to Teams or overseen by the Customer Services team					Y				
3.4C Additional Service Complaint Review, as deemed appropriate				Y					
3.4D Responding to Ombudsman enquiries and complaints			Y						
3.5 Communities Safer Kirklees									
3.5A Reject an ASB referral							Y		
3.5B Sign of a Community Trigger			Y	Y					

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Responsibility	Strategic Director	Service Director	Head of Service	Service Manager	Team Manager	Deputy Team Manager	Officer	Named Individual (s) only	Procedure Reference
3.5C Serving pre-enforcement notices i.e., Letters Before Action/ ASB Warning letters							Y		
3.5D Sign off Premises Closure Orders			Y						
3.5E Sign off legal papers i.e., injunctions, evictions etc				Y					
3.5F Closure of case (AS/ YIT)					Y	Y			
3.5G Case transfer to another team member					Y	Y			
3.5H Case transfer to another Local Authority					Y				
3.5I Commissioning of funding of groups/funding process				Y					
3.5J Home Office/Police and Crime Commissioner monitoring returns including financial returns			Y	Y	Y				
3.6 Communities Prevent/Channel									
3.6A Send Prevent referral to Fixed Intelligence Management Unit (FIMU)					Y			Y Channel Coordinator – Stevie Harrison	
3.6B Liaise with Counter Terrorism Unit re existing Channel cases (CTU)					Y			Y Channel Coordinator – Stevie Harrison	
3.6C Conduct Information Sweep across partner services					Y			Y Channel Coordinator – Stevie Harrison	

DIRECTORATE FOR ADULTS AND HEALTH

Responsibility	Strategic Director	Service Director	Head of Service	Service Manager	Team Manager	Deputy Team Manager	Officer	Named Individual (s) only	Procedure Reference
3.6D Complete Vulnerability Assessment Framework					Y			Y Channel Coordinator – Stevie Harrison	
3.6E Case transfer to another authority					Y			Y Channel Coordinator – Stevie Harrison	
3.6F Case closure on Case Management Information System					Y			Y Channel Coordinator – Stevie Harrison	
3.6G Home Office monitoring returns, including finance returns			Y						
3.7H Commissioning of Home Office funded projects				Y					
3.7 Communities Domestic Abuse									
3.7A MCHLG/ Police and Crime Commissioner monitoring returns including financial returns			Y						
3.7B Commissioning of MHCLG/ Home Office funded projects				Y					
3.7C Notifying Home Office of decision to proceed with Domestic Homicide Review		Y							
3.7D Approval of overview report, exec summary and action plan		Y							
3.7E Initial screening of Multi-Agency Risk Assessment Conference (MARAC) referrals							Y		

DIRECTORATE FOR ADULTS AND HEALTH

Responsibility	Strategic Director	Service Director	Head of Service	Service Manager	Team Manager	Deputy Team Manager	Officer	Named Individual (s) only	Procedure Reference
3.7F Information sharing on DRAMM-MARAC cases with partner agencies							Y		
3.7G Information sharing on DRAMM-MARAC cases with agencies outside of the partnership						Y			
3.7H Transfer MARAC case to another Local Authority							Y		
3.8 Contracts and Commissioning									
3.8A In line with the Council's CPRs, undertaking of all procurement processes using an approved standard form of contract or process, or process pre-agreed with the Service Director (Legal, Governance and Monitoring).			Y						Contract Procurement Rules (CPR)
3.8B In line with the Council's CPRs, signing of all contracts on standard terms and conditions or format pre-agreed with Service Director (Legal Governance and Monitoring).			Y						Contract Procurement Rules (CPR)
3.8C In line with the Council's CPRs, authorisation for contract initiation.			Y						Contract Procurement Rules (CPR)
3.8D In line with the Council's CPRs, creation and maintenance of Standing Lists.			Y						Contract Procurement Rules (CPR)
3.8E In line with Council's CPRs, deletion of a supplier from a standing list.			Y						Contract Procurement Rules (CPR)

DIRECTORATE FOR ADULTS AND HEALTH

Responsibility	Strategic Director	Service Director	Head of Service	Service Manager	Team Manager	Deputy Team Manager	Officer	Named Individual (s) only	Procedure Reference
3.8F In line with the Council's CPRs, taking contractual action to suspend placements / new work following the failure of a provider to meet the terms of the contract.			Y						<u>Contract Procurement Rules (CPR)</u>
3.8G In line with the Council's CPRs, terminating contracts.			Y						<u>Contract Procurement Rules (CPR)</u>
3.8H In line with the contractual arrangements and the Council's CPRs and FPRs, negotiating uplifts of fee rates for service providers.			Y						<u>Contract Procurement Rules (CPR)</u>
3.8I In line with the Council's CPRs and FPRs, including any exemptions to limitations previously agreed with the Service Director (Legal, Governance and Monitoring), approving invoice payments for contracted services.			Y						<u>Contract Procurement Rules (CPR)</u>

DIRECTORATE FOR ADULTS AND HEALTH

Section Three – Appendices

Appendix 1 – Reference List of Differences

This list captures the differences across generic sections (1. Financial Procedures and 2. Governance) within both schemes.

Responsibility	Adult Social Care Services Level	Customer and Communities Services	Rationale
1.5 Purchasing Cards			
A) Review of monthly credit, transaction and cash limits and purchasing categories	Service Director	Head of Service	
B) Approving application form for new purchase card.	Service Director	Head of Service	
C) Approving a temporary limit increase.	Service Director	Head of Service	
1.7 Amenities Fund	Only included within Section One – Adult Social Care Services		Not required within Customer and Communities Services
1.7 Grants		Only included within Section Two – Customer and Community Services	Not required within Adult Social Care Services
2.1 Authorisation Levels			
F) Review approver levels for packages of care are correct (Carefirst approval levels)	Only included within Section One – Adult Social Care Services		Not required within Customer and Communities Services
2.4 Communications and Information			
A) Sign off pre-print run	Service Manager	Service Director	Balance of risk, content and costs.

DIRECTORATE FOR ADULTS AND HEALTH

Responsibility	Adult Social Care Services Level	Customer and Communities Services	Rationale
D) Sign off new internal procedures, correspondence, staff guidance and service updates	Head of Service	Service Director	Due to the number of procedures in Adult Social Care Services, potential demand on Service Director time. Service Director/ SCLT to be made aware of any contentious content.
E) Sign off amended/updated internal procedures, correspondence, staff guidance and service updates	Service Manager	Service Director	Due to the number of procedures in Adult Social Care Services, potential demand on Service Director time. Heads or Service and/or Service Director/SCLT to be made aware of any contentious content.
2.7 Information Governance			
A) Receipt new Freedom of Information requests from the Information Governance Team	Named Individual(s) only	Service Director and Named Individual(s) only	Different practice in place across the services, the Customer Services team undertake for all Adult Social Care Services but not all Customer and Communities Services.
B) Assign Freedom of Information request to appropriate manager(s) or team(s) to collate information and/ or draft response	Named Individual(s) only	Service Director and Named Individual(s) only	Different practice in place across the services, the Customer Services team undertake for all Adult Social Care Services but not all Customer and Communities Services.