

# Internal Schemes of Management

All directorates

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## All directorates

For questions about the council's Schemes of Management, contact [committee.services@sutton.gov.uk](mailto:committee.services@sutton.gov.uk).

The functions delegated within this section apply to all directorates of the council. In all circumstances, where the matter is neither required by law nor the council's constitution to be decided by a specific officer of the council, all decisions may be taken by a more senior officer should this be considered appropriate. In such circumstances, consideration should be given to the complexity and sensitivity of the decision and, where appropriate, the response should be provided by a more senior officer.

Where a delegation is to be exercised by an officer threshold which does not exist within that directorate, the decision is automatically delegated to the next lower threshold of officer. For example, if a decision were to be taken by an Assistant Director and a directorate did not have an Assistant Director, the decision would automatically be delegated to a Head of Service within that directorate. Where this is the case, the Strategic Director may choose to implement a local arrangement in which a specific officer exercises these powers.

Some council officers hold statutory roles as part of their wider role. For example, the Strategic Director of Resources is also the council's Section 151 Officer. For ease of reference, this scheme uses the official job titles these officers hold rather than their statutory roles. Advice on the roles held by officers and their application in the council's Schemes of Management can be obtained from [committee.services@sutton.gov.uk](mailto:committee.services@sutton.gov.uk).

These cross-directorate matters have been authorised as follows:

Authorised by	Date last updated
Helen Bailey, Chief Executive	26 October 2022

## Management of staff

*Refer to the relevant HR policy for matters not delegated below*

Decision	Officer Level
Approval of HR policies	Chief Executive;  In consultation with the Corporate Management Team
Approval of Special Severance Payments (excluding maintained schools) in accordance with the Local Government Act 1999 and associated legislation under £20,000	Strategic Director of Resources;  In consultation with Assistant Director of Human Resources and Organisational Development
Approval of Special Severance Payments (excluding maintained schools) in accordance with the Local Government Act 1999 and associated legislation between £20,000 and £99,999.99	Chief Executive;  With the evidenced approval of the Leader of the Council
Approval of Special Severance Payments (excluding maintained schools) in accordance with the Local Government Act 1999 and associated legislation of £100,000 or more	N/A - decision of Council
Recruitment to any role above the budgeted establishment with the exception of maternity leave and long-term sickness cover	Strategic Director of Resources;  In consultation with Assistant Director of Human Resources and Organisational Development
Appointment of any non-permanent workers outside the managed service provider contract	Strategic Director of Resources;  In consultation with Assistant Director of Human Resources and Organisational Development
Initial escalation of employment policy matter	Any Head of Service within the Human Resources and Organisational Development Service
Second escalation of employment policy matter	Assistant Director of Human Resources and Organisational Development

Decision	Officer Level
Final escalation of employment policy matter	Chief Executive
Authorising recruitment of non-permanent workers through our managed service provider contract - up to the value of £99,999.99	Head of Service
Authorising recruitment of non-permanent workers through the managed service provider contract - £100,000 and above and for workers with tenure of more than 12 months	Assistant Director
Authorising recruitment of permanent/fixed term staff	Head of Service
Authorising overtime and expenses payments	Line Manager
Authorising loan payments (car, season ticket)	Head of Service
Authorising acting-up payments and honoraria	Strategic Director of Resources;  In consultation with Assistant Director of Human Resources and Organisational Development
Approval of special leave and unpaid leave	Assistant Director
Approval of extension of sick pay	Strategic Director
Approval of carry over and buy-out of annual leave	Head of Service
Approval of career break applications	Assistant Director
Approval of applications for additional employment	Assistant Director
Service structure changes (including changes to the establishment)	Assistant Director
Approval of changed and new job descriptions	Assistant Director
Authorisation for retirement, redundancy and pension transfer	Strategic Director

Decision	Officer Level
Issue notices of termination – redundancy and retirement	Assistant Director

## Finance

### Community funds

Decision	Officer Level
Authorisation of Neighbourhood Grant spends across the council's Local Committee areas	Strategic Director of Environment, Housing and Neighbourhoods
Authorisation of Public Realm spends across the council's Local Committee areas	Refer to Article 10 of <a href="#">the council's constitution</a>
Award of Events, Fees and Charges grants	Strategic Director of Environment, Housing and Neighbourhoods

## Contracts

*The council's Contract Standing Orders are [set out in the constitution](#): Section 4, Part 6 Contract Standing Orders. Contracts exceeding £1 million are awarded by the relevant committee. This authorisation levels set out the officer level at which actions following from a contract award can be made. For more information, please [contact Committee Services](#).*

*For advice on the exercising of financial powers, officers should contact their service's Finance Business Partner.*

## Budget Management

### Authorisation of purchase orders

Decision	Officer Level
£500,000 and above	Strategic Director of Resources
£250,000 to £499,999.99	Strategic Director
£100,000 to £249,999.99	Assistant Director
£25,000 to £99,999.99	Head of Service
Less than £25,000	Budget Manager

## Authorisation of invoices and payments

Decision	Officer Level
£500,000 and above	Strategic Director of Resources
£250,000 to £499,999.99	Strategic Director
£100,000 to £249,999.99	Assistant Director
£25,000 to £99,999.99	Head of Service
Less than £25,000	Budget Manager

## Authorisation of expenditure

## Requisitions

Decision	Officer Level
£100,000+	Assistant Director
Up to £99,999.99	Head of Service

## Invoices: variations to requisitions

Decision	Officer Level
Variation of £100,000+	Assistant Director
Variation of £50 to £99,999.99 (or no requisition in agreed cases)	Head of Service
Variation of up to £49.99 providing this does not exceed 2.5% of the total value of the invoice	No authorisation threshold is set - variations of this value are automatically approved

## Treasury and banking

Decision	Officer Level
Approval of changes to account mandates	Any Head of Service in Finance
Approval of applications for GPCs or similar	Any Head of Service in Finance
Approval of Treasury investments	Any Head of Service in Finance
Approval of borrowing within Treasury Management Strategy	Strategic Director

## Capital and Revenue

Decision	Officer Level
<p>Capital virements between £100,000.01 and £250,000</p> <p>Such virements must be reported to the Strategy and Resources Committee in the next Finance and Performance report</p> <p><i>Section 4, Part 7 - Financial Regulations - of the council's constitution</i></p>	Strategic Director <b>AND</b> Strategic Director of Resources
Capital virements up to £100,000	Strategic Director
<p>Authorisation of addition of new capital schemes of up to £500,000 to the capital programme providing they are fully funded by grants or other external funding, or by virements from existing schemes, and reported to the Strategy and Resources Committee in the next Finance and Performance report</p> <p><i>Section 4, Part 7 - Financial Regulations - of the council's constitution</i></p>	Strategic Director of Resources
Capital virements between £100,000 and £249,999.99	Strategic Director in consultation with the Strategic Director of Resources
Capital virements up to £99,999.99	Strategic Director
Revenue virements of £500,000 and above	Committee decision
Revenue virements between £250 and £499,999.99	Strategic Director
Revenue virements up to £249.99	Assistant Director
Debt write offs up to £99,999.99	Assistant Director of Finance
Debt write offs of £100,00 or higher	Committee decision following the recommendation of the Strategic Director of Resources
Approval of Treasury investments	Strategic Director of Resources
Approval of borrowing within Treasury Management Strategy	Strategic Director of Resources

## Insurance

Decision	Officer Level
<p>To notify the Head of Insurance and Pensions Administration of variations to the extent or nature of risks to be insured to ensure the council complies with the Duty of Fair Presentation of the Insurance Act 2015 and associated legislation.</p> <p><i>Examples of such variations include: change in type of work undertaken, significant acquisitions, substantial work to property or change in its use, and other matters that materially increase the risk of loss, damage or injury that may give rise to a claim under the insurance policy.</i></p>	Head of Service
<p>To notify the Head of Insurance and Pensions Administration (and also the Police where appropriate) any incident or loss, which could give rise to an insurance claim.</p>	Head of Service

## Governance and Communications

### Authorisation of reports

*The following authorisation thresholds apply to reports produced by the authority. However, when the Strategic Director considers it to be appropriate, or when an officer within their directorate holds a statutory role, another officer may authorise a report.*

Decision	Officer Level
Reports to Corporate Management Team	Strategic Director
Reports to Strategic Team	Strategic Director
Reports to standing committees	Strategic Director
Reports to Local Committees	Assistant Director
Reports to regulatory committees	Head of Service
Financial implications in reports	Named Finance officer per report-writing guidance
Legal implications in reports	Named Legal officer per report-writing guidance
Equalities Impact Assessment accompanying a report (when applicable)	Assistant Director

## Authorisation of Decision Notices

*The following authorisation thresholds apply to records of decisions taken by officers of the authority. These matters are formally set out in the council's constitution and the legislation but are outlined here for ease of reference.*

Decision	Officer Level
Delegated Decision Notices	Strategic Director (decisions taken by officers below Strategic Director level do not ordinarily require the publication of a Delegated Decision Notice)
Express Decision Notices	By the officer to whom the decision has been expressly delegated, but no lower than Assistant Director
Urgent Decision Notices	Strategic Director  Article 14.3 of the council's constitution
Shareholder Decision Notices	Appointed nominee of the Chief Executive  Article 7.27 of the council's constitution
Financial implications in decision notices	Same as report-writing requirements
Legal implications in decision notices	Same as report-writing requirements
Equalities Impact Assessment accompanying a decision notice (when applicable)	Same as report-writing requirements

## Communications

Decision	Officer Level
Responses to Members' Enquiries	Service Manager
Responses to formal requests for information, e.g.: <ul style="list-style-type: none"> <li>• Freedom of Information Act 2000</li> <li>• Environmental Information Regulations 2004</li> <li>• Subject Access Requests</li> </ul>	Refer to relevant procedures. In the absence of such a procedure, the officer level of authorisation is:  Head of Service
Responses to corporate complaints	<a href="#">Refer to Complaints Procedure</a>
Press releases – with potential for political or reputational impact	Assistant Director
Press releases – without potential for political or reputational impact	Head of Service
Authorisation of social media posts on council channels	Team Manager; or any member of the council's Communications and Engagement team as delegated by the Head of Communications and Engagement

## Legal

Decision	Officer Level
Appointment of counsel	Assistant Director
To arrange legal representation, as may be considered appropriate, for Council employees in cases of assault while carrying out their duties of employment	Assistant Director
Authorisation of statutory notices	Head of Service
Recommendations to prosecute offenders	Head of Service
To consult with the Strategic Director of Resources where the Council is requested to give an indemnity.	Head of Service

## Development, Growth and Regeneration Directorate

<b>Authorised by</b>	Carolyn Dwyer, Strategic Director of Development, Growth and Regeneration
<b>Date last updated</b>	26 October 2022

<b>Delegated Matter</b>	<b>Officer Level</b>
Submission of grant funding applications	Head of Service
Providing written confirmation of support for external partners bidding for grant funding	Head of Service
Approval for the council to enter into grant agreements or contracts where the council is the recipient of funding	Head of Service
Authorising the payment of non-statutory grants (e.g. to businesses or support organisations)	Head of Service

## Environment, Housing and Neighbourhoods Directorate

<b>Authorised by</b>	Spencer Palmer, Strategic Director of Environment, Housing and Neighbourhoods
<b>Date last updated</b>	26 October 2022

<b>Delegated Matter</b>	<b>Officer Level</b>
Chair of the London Borough of Sutton Channel Panel	Head of Community Safety
Compliance with statutory requirements set out under Part 5, Chapter 2, of the Counter Terrorism and Security Act 2015	Head of Community Safety

## People Directorate

<b>Authorised by</b>	Guy Van Dichele, Interim Strategic Director of People Services
<b>Date last updated</b>	26 October 2022

<b>Delegated Matter</b>	<b>Officer Level</b>
Authorisation of a Deprivation of Liberty order	Heads of Service within the Adult Social Care unit
Authorisation of statutory penalty notices for taking families to court for non-attendance at school	Assistant Director for Children's Social Care and Safeguarding
Placement of a young person in 72-hour secure accommodation	Assistant Director for Children's Social Care and Safeguarding

## Public Health and Wellbeing Directorate

<b>Authorised by</b>	Imran Choudhury, Strategic Director of Public Health and Wellbeing
<b>Date last updated</b>	26 October 2022

<b>Delegated Matter</b>	<b>Officer Level</b>
Authorisation of patient group directions	Strategic Director of Public Health and Wellbeing
Approval of paperwork for court protection orders	Lawyer appointed by the Strategic Director of Public Health and Wellbeing
Signatory for paperwork on: <ul style="list-style-type: none"> <li>• Applying for access to bank accounts</li> <li>• Applying for access to stocks</li> <li>• Writing and confirming changes in details</li> <li>• Applying for access to private pensions</li> <li>• Reports to the Office of the Public Guardian</li> </ul>	Deputy
Approval of paperwork for selling of property	Deputy
Approval of paperwork for house clearances	Deputy
Approval of paperwork to secure solicitors on behalf of appointeeships and deputyships	Deputy
Approval of release of petty cash to appointeeship	Deputy
Decision on the use of assets e.g. whether equity release is appropriate	Deputy

Delegated Matter	Officer Level
Power to swear oaths and affidavits on behalf of the Council and do all acts necessary to obtain a grant of representation (or to renounce probate or administration)	Deputy
Appointment of attorneys to deal with Grants of Representation in any and all estates in which the Deputy is appointed as the executor or is otherwise entitled to a grant of representation	Deputy

## Resources Directorate

<b>Authorised by</b>	Richard Simpson, Strategic Director of Resources
<b>Date last updated</b>	1 December 2022

## Information, Legal and Finance

<b>Delegated Matter</b>	<b>Officer Level</b>
Senior Information Risk Owner	Strategic Director of Resources
Senior Responsible Officer for codes of practice and guidance related to the Regulation of Investigatory Powers Act 2000	Strategic Director of Resources
<p>To authorise officers in writing to represent the London Borough of Sutton in proceedings before the Magistrates Court for the grant and renewal of authorisations relating to:</p> <ul style="list-style-type: none"> <li>• directed surveillance;</li> <li>• use of covert human intelligence sources; and</li> <li>• acquisition of communications data</li> </ul> <p>Pursuant to S23A, S23B, S32A, and S32B of the Regulation of Investigatory Powers Act 2000.</p>	Strategic Director of Resources

Delegated Matter	Officer Level
<p>To authorise officers to:</p> <ul style="list-style-type: none"> <li>• Represent the council in the magistrates court for all matters relating to the recovery of council tax and non domestic rates. including;</li> <li>• Institute or defend proceedings for the recovery of council tax, or in connection with liability for the application of discounts and exemptions,</li> <li>• Requests for statutory information for distraint, attachment of earnings orders, attachment of benefit orders, committal to prison, application and issue of charging orders, issue proceedings for winding up or bankruptcy.</li> <li>• Determine, impose and quash penalties on behalf of the charging authority.</li> <li>• Refund overpayments plus interest, as appropriate.</li> </ul>	Strategic Director of Resources
<p>To authorise officers to:</p> <ul style="list-style-type: none"> <li>• Grant discretionary rate relief under section 47, Local Government Finance Act 1988 in accordance with any council agreed scheme.</li> </ul>	Strategic Director of Resources

## Insurance

Delegated Matter	Officer Level
To assess the insurable risks of the council and ensure the council has adequate insurance cover	Strategic Director of Resources
To enter into new insurance service arrangements subject to the satisfactory outcome of a due diligence process	Strategic Director of Resources
To determine the decision-making authority limits for claims within the council's insurance programme	Head of Insurance and Pensions Administration

## Management of property

Delegated Matter	Officer Level
To authorise the acquisition and disposal of land where value is less than £1m	Strategic Director of Resources
Agreeing licences or short term rental or membership of workspace (ie where a lease will not be created and there is no security of tenure)	Head of Asset Management
To authorise terms for new leases of seven years or more	Assistant Director of Assets
To authorise terms for new leases of less than seven years	Estates and Valuation Manager or Investment and Development Manager
To authorise rent reviews and lease negotiations in respect of property under the council's management	Estates and Valuation Manager or Investment and Development Manager
To authorise terms of licences, wayleaves	Estates and Valuation Manager or Investment and Development Manager
To approve routine requests for assignment or consents under the terms of an existing lease where normal tests for financial standing have been met	Estate Surveyor
To negotiate and agree terms for occupation of buildings not owned by the council	Assistant Director of Assets
To authorise the termination of leases or other interests in council land and property where desirable in delivery of approved projects or Asset Strategy	Assistant Director of Assets
To countersign property valuations and assessments	MRICS/FRICS Qualified Senior Estates Surveyor
To countersign any Right To Buy valuations or redetermination submissions	MRICS/FRICS Qualified Senior Estates Surveyor