

**Policy Document Control Page**

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**Originated By: Martin Roe**

**Designation: Director of Finance/DCEO**

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David Kay, Assistant Director of Finance – Planning and Reporting**

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**Where policy deemed relevant to equality-**

**EIA undertaken by : Christopher Corfield**

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**Responsibility of: Martin Roe**

**Designation: Director of Finance/Deputy Chief Executive**

**This policy is to be disseminated to all relevant staff.**

**This policy must be posted on the Intranet.**

**Date Posted: 8<sup>th</sup> September 2015**

**RESERVATION OF POWERS  
TO THE BOARD**

**AND**

**DELEGATION OF POWERS**

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## SCHEME OF RESERVATION AND DELEGATION

### 1. DECISIONS RESERVED TO THE BOARD

REF (to constitution)	THE BOARD	DECISIONS RESERVED TO THE BOARD
NA	THE BOARD	<b>General Enabling Provision</b> The Board may determine any matter, for which it has delegated or statutory authority, it wishes in full session within its statutory powers.
		<b>Constitutional Powers</b>
3,4	THE BOARD	To exercise all powers of an NHS Foundation Trust set out in the NHS Act 2006, subject to any restrictions in the Foundation Trust's Authorisation, or as delegated in accordance with this Scheme of Delegation
17	THE BOARD	Approve rates for travelling and other costs and expenses payable to members of the Council of Governors.
19	THE BOARD	Determine composition of the Board of Directors and any change in the number of Directors.
30-33	THE BOARD	Make available for inspection by members of the public the following: register of Members; register of members of the Council of Governors; register of interests of members of the Council of Governors; register of members of the Board of Directors; register of interests of members of the Board of Directors; Constitution; terms of Authorisation; latest Annual Accounts and Auditor's report on them; latest Annual Report and Annual Plan; and any notice issued by Monitor under Section 52 of the NHS Act 2006.
34.1	THE BOARD	Appoint an External Auditor to review and publish a report on the Foundation Trust's performance
35	THE BOARD	Establish committee of Non-Executive Directors as an Audit Committee.
36.1	THE BOARD	Keep accounts
36.3	THE BOARD	Prepare Annual Accounts.
37.1	THE BOARD	Prepare Annual Report and send to Monitor
38	THE BOARD	Present Annual Accounts, any report of the Auditor on them and the Annual Report to the Council of Governors.
Rule 4, Election Rules, Annex 4	THE BOARD	Appoint Returning Officer.
Rule 6,		Approve payment of expenses and remuneration to Returning Officer

<b>REF (to constitution)</b>	<b>THE BOARD</b>	<b>DECISIONS RESERVED TO THE BOARD</b>
Election Rules, Annex 4		
Rule 16, Election Rules, Annex 4	THE BOARD	Make available for inspection by members of the public statements of nominated candidates and nomination papers.
Rule 22, Election Rules, Annex 4	THE BOARD	Approve and deliver to the Returning Officer a list of Members eligible to vote.
Rule 43 - 46, Election Rules, Annex 4	THE BOARD	Retain documents relating to elections to the Council of Governors and make these available for inspection by members of the public, subject to any restrictions in the Election Rules and where consent is given by the Regulator.
Rule 52 and 53, Election Rules, Annex 4	THE BOARD	Compile information about candidates standing for election to the Council of Governors and publish information about the candidates and the election
Para 37.4	THE BOARD	Receive the views of the Council of Governors for the purposes of the preparation (by the Directors) of the Annual Plan, including Governors' views on the strategic direction of the Foundation Trust, targets for Foundation Trust performance, etc.
Para 3.1.1 Annex 5	THE BOARD	Request Replacement Governors from Partnership Organisations where a vacancy arises amongst the Appointed Governors.
Para 2.1 Annex 8	THE BOARD	Purchase and maintain insurance against liability so that if a member of the Council of Governors or the Board of Directors have acted in good faith and honestly then they will not have to meet costs out of their personal resources, unless they have acted recklessly

REF (to constitution)	THE BOARD	DECISIONS RESERVED TO THE BOARD
NA	THE BOARD	<p><b>Regulations and Control</b></p> <ol style="list-style-type: none"> <li>1. Approve Standing Orders (SO's), a schedule of matters reserved to the Board and Standing Financial Instructions for the regulation of its proceedings and business.</li> <li>2. Suspend Standing Orders.</li> <li>3. Vary or amend the Standing Orders.</li> <li>4. Ratify any urgent decisions taken by the Chairman and Chief Executive in public session in accordance with the Standing Orders (SO's) section 5.2.</li> <li>5. Approve a scheme of delegation of powers from the Board of Directors to committees.</li> <li>6. Require and receive the declaration of Board members' interests that may conflict with those of the Trust and determining the extent to which that member may remain involved with the matter under consideration.</li> <li>7. Require and receive the declaration of officers' interests that may conflict with those of the Trust.</li> <li>8. Approve arrangements for dealing with complaints, compliments, comments and concerns</li> <li>9. Adopt the organisation structures, processes and procedures to facilitate the discharge of business by the Trust and to agree modifications thereto.</li> <li>10. Receive reports from committees of the Board of Directors and/or The Council of Governors including those that the Trust is required by the Secretary of State or Monitor or other statutory or contractual obligation to establish and to take appropriate action on.</li> <li>11. Confirm the recommendations of the Trust's committees where the committees do not have executive powers.</li> <li>12. Approve arrangements relating to the discharge of the Trust's responsibilities as a corporate trustee for funds held on trust.</li> <li>13. Establish terms of reference and reporting arrangements of all committees and sub-committees that are established by the Board.</li> <li>14. Approve arrangements relating to the discharge of the Trust's responsibilities as a bailer for patients' property.</li> <li>15. Authorise use of the seal.</li> <li>16. Ratify or otherwise instances of failure to comply with Standing Orders brought to the Chief Executive's attention in accordance with SO 5.7.</li> <li>17. Discipline members of the Board or employees who are in breach of statutory requirements or SFIs/SO's .</li> <li>18. Approval of the Foundation Trust's banking arrangements in accordance with SFI 5.1</li> <li>19. Approval of the disciplinary procedure for Officers of the Foundation Trust</li> <li>20. Approval of the Foundation Trust's major incident plan</li> <li>21. Determine arrangements and terms and conditions associated with invitations to observers, advisors and others to attend and address meetings of the Board of Directors.</li> <li>22. Approve minutes of the proceedings of meetings of the Board of Directors.</li> <li>23. Resolve to adjourn any meeting of the Board of Directors</li> <li>22. 24. Review the SOs annually.</li> </ol>

REF	THE BOARD	DECISIONS RESERVED TO THE BOARD
NA	THE BOARD	<p><b>Appointments/ Dismissal</b></p> <ol style="list-style-type: none"> <li>1. Appoint and dismiss committees (and individual members) that are directly accountable to the Board.</li> <li>2. Appoint, appraise, discipline and dismiss Executive Directors (subject to SO 2.5).</li> <li>3. Confirm appointment of members of any committee of the Trust as representatives on outside bodies.</li> <li>4. Appoint, appraise, discipline and dismiss the Secretary</li> <li>5. Approve proposals of the Remuneration Committee regarding directors and senior employees and those of the Chief Executive for staff not covered by the Remuneration Committee.</li> </ol>
NA	THE BOARD	<p><b>Strategy, Plans and Budgets</b></p> <ol style="list-style-type: none"> <li>1. Define the strategic aims and objectives of the Trust.</li> <li>2. Approve proposals for ensuring quality and developing clinical governance in services provided by the Trust, having regard to any guidance issued by the Secretary of State and Monitor.</li> <li>3. .</li> <li>4. Approve and monitor the Foundation Trust's programme of risk management, which must identify risks and</li> <li>5. liabilities, evaluate them and ensure adequate responses are in place and are monitored</li> <li>6. Approve Outline and Final Business Cases for Capital Investment.</li> <li>7. Approve the Annual Plan.</li> <li>8. Approve budgets.</li> <li>9. Approve annually Trust's proposed organisational development proposals.</li> <li>10. Ratify proposals for acquisition, disposal or change of use of land and/or buildings.</li> <li>11. Approve PFI proposals.</li> <li>12. Approve the opening and closing of bank or investment accounts.</li> <li>13. Approve proposals on individual contracts (other than NHS contracts) of a capital or revenue nature amounting to, or likely to amount to over [£250,000] over a 3 year period or the period of the contract if longer.</li> <li>14. Approve proposals in individual cases for the write off of losses or making of special payments above the limits of delegation to the Chief Executive and Director of Finance (for losses and special payments) previously approved by the Board.</li> <li>15. Approve individual compensation payments and redundancy with a cost greater than £50,000.</li> <li>16. Approve proposals for action on litigation against or on behalf of the Trust.</li> <li>17. Review use of NHSLA risk pooling schemes (LPST/CNST/RPST).</li> <li>18. Approve any variations to contract payments &gt; £50,000 which must be supported by a written agreement from the appropriate commissioner.</li> </ol>
	THE BOARD	<p><b>Policy Determination</b></p> <ol style="list-style-type: none"> <li>1. Approve management policies including personnel policies incorporating the arrangements for the appointment, removal and remuneration of staff.</li> </ol> <p>Policies so adopted shall be listed and appended to this document [by the Secretary]</p>



REF	THE BOARD	DECISIONS RESERVED TO THE BOARD
	THE BOARD	<b>Audit TRANSFERRED TO THE AC</b> 1. Approve arrangements for Internal Audit and the appointment of the Chief Internal Auditor 2.
NA	THE BOARD	<b>Annual Reports and Accounts</b> 1. Receipt and approval of the Trust's Annual Report and Annual Accounts. 2.
NA	THE BOARD	<b>Monitoring</b> 1. Receive reports, such as the Board sees fit, from committees in respect of their exercise of powers delegated. 2. Continuous appraisal of the affairs of the Trust by means of the provision to the Board as the Board may require from directors, committees, and officers of the Trust as set out in management policy statements. All monitoring returns required by the Department of Health and/or Monitor; shall be reported, at least in summary, to the Board. 3. Receive the Annual Business Plan from the Chief Executive and reports from Director of Finance on financial performance against budget and Annual Business Plan.
N/A	THE BOARD	<b>Investments</b> 1. Approve any purchase of shareholding. 2. Approve any joint venture with external organisations.

## 2. DECISIONS/DUTIES DELEGATED BY THE BOARD TO COMMITTEES

REF	COMMITTEE	DECISIONS/DUTIES DELEGATED BY THE BOARD TO COMMITTEES
	AUDIT COMMITTEE	<p>The Committee will:</p> <ol style="list-style-type: none"> <li>1. Advise the Board on internal and external audit services;</li> <li>2. Review the establishment and maintenance of an effective system of integrated governance, risk management and internal control, across the whole of the organisation's activities (both clinical and non-clinical), that supports the achievement of the organisation's objectives;</li> <li>3. Monitor compliance with Standing Orders and Standing Financial Instructions;</li> <li>3. Receive the annual management letter from the external auditor and agreement of proposed action, taking account of the advice, where appropriate, of the Audit Committee.</li> <li>4. Receive an annual report from the Internal Auditor and agree action on recommendations where appropriate of the Audit Committee</li> <li>5. Review the findings of other significant assurance functions, both internal and external to the Trust, and consider the implications for the governance of the Trust.</li> <li>6. Review waivers of tendering procedures</li> </ol>
	REMUNERATION AND TERMS OF SERVICE COMMITTEE	<p>The Committee will:</p> <ol style="list-style-type: none"> <li>1. Advise the Board about appropriate remuneration and terms of service for the Chief Executive, other Executive Directors and other senior employees including: <ul style="list-style-type: none"> <li>• All aspects of salary (including any performance-related elements/bonuses);</li> <li>• Provisions for other benefits, including pensions and cars;</li> <li>• Arrangements for termination of employment and other contractual terms;</li> <li>• Advice on, and monitoring of arrangements for the appraisal of the Chief Executive and (with the latter) other Executive Directors;</li> </ul> </li> <li>2. Make recommendations to the Board on the remuneration and terms of service of executive directors and senior employees to ensure they are fairly rewarded for their individual contribution to the Trust - having proper regard to the Trust's circumstances and performance and to the provisions of any national arrangements for such staff;</li> <li>3. Seek independent advice about pay and conditions as appropriate</li> <li>4. Report in writing to the Board the basis for its recommendations.</li> </ol>

### 3. SCHEME OF DELEGATION DERIVED FROM THE NHS FOUNDATION TRUST ACCOUNTING OFFICER MEMORANDUM

REF	DELEGATED TO	AUTHORITIES/DUTIES DELEGATED
Para 7	CHIEF EXECUTIVE (CE)	<p>The Accounting Officer has responsibility for the overall organisation, management and staffing of the NHSFT and for its procedures in financial and other matters.</p> <p>The accounting officer must ensure that;</p> <ul style="list-style-type: none"> <li>• There is a high standard of financial management in the NHSFT as a whole;</li> <li>• Financial systems and procedures promote the efficient and economical conduct of the business and safeguard financial property and regularity throughout the NHSFT;</li> <li>• Financial considerations are fully taken into account in decisions on NHSFT policy proposals.</li> </ul>
Para 8	CHIEF EXECUTIVE	<p>The essence of the Accounting Officer's role is a personal responsibility for:</p> <ul style="list-style-type: none"> <li>▪ The propriety and regularity of the public finances for which he or she is answerable;</li> <li>▪ The keeping of proper accounts</li> <li>▪ Prudent and economical administration;</li> <li>▪ The avoidance of waste and extravagance; and</li> <li>▪ The efficient and effective use of all the resources in their charge.</li> </ul>
Para 9	CHIEF EXECUTIVE	<p>The Accounting Officer must:</p> <ul style="list-style-type: none"> <li>▪ Personally sign the accounts and, in doing, so accept personal responsibility for ensuring their proper form and content as prescribed by Monitor in accordance with the Act;</li> <li>▪ Comply with the financial requirements of the terms of authorisation;</li> <li>▪ Ensure that proper financial procedures are followed and that accounting records are maintained in a form suited to the requirements of management, as well as in the form prescribed for published accounts (so that they disclose with reasonable accuracy, at any time, the financial position of the NHS foundation trust);</li> <li>▪ Ensure that the resources for which you are responsible as Accounting Officer are properly and well managed and safeguarded, with independent and effective checks of cash balances in the hands of any official;</li> <li>▪ Ensure that assets for which you are responsible such as land, buildings or other property, including stores and equipment, are controlled and safeguarded with similar care, and with checks as appropriate;</li> <li>▪ Ensure that any protected property (or interest in) is not disposed of without the consent of Monitor</li> <li>▪ Ensure that conflicts of interest are avoided, whether in the proceedings of the Board of Directors, Council of Members or in the actions or advice of the NHS foundation trust's staff, including yourself; and</li> <li>▪ Ensure that, in the consideration of policy proposals relating to the expenditure for which you are responsible as Accounting Officer, all relevant financial considerations, including any issues of propriety, regularity or value for money, are taken into account, and brought to the attention of the Board of Directors.</li> </ul>

REF	THE BOARD	AUTHORITIES/DUTIES DELEGATED
Para 10	CHIEF EXECUTIVE	<p>An Accounting Officer should ensure that effective management systems appropriate for the achievement of the NHS Foundation Trust's objectives, including financial monitoring and control system, have been put in place. An Accounting Officer should also ensure that managers at all levels:</p> <ul style="list-style-type: none"> <li>▪ Have a clear view of their objectives, and the means to assess and, wherever possible, measure outputs or performance in relation to those objectives;</li> <li>▪ Are assigned well-defined responsibilities for making the best use of resources (both those consumed by their own commands and any made available to organisations or individuals outside the NHS Foundation Trust), including a critical scrutiny of output and value for money; and</li> <li>▪ Have the information (particularly about costs), training and access to the expert advice, which they need to exercise their responsibilities effectively.</li> </ul>
Para 11	CHIEF EXECUTIVE	Accounting Officers must make sure that their arrangements for delegation promote good management and that they are supported by the necessary staff with an appropriate balance of skills. Arrangements for internal audit should accord with the objectives, standards and practices set out in the Government Internal Audit Standards
Para 12	CHIEF EXECUTIVE	An Accounting Officer has particular responsibility to see that appropriate advice is tendered to the Board of Directors and the Council of Members on all matters of financial propriety and regularity and, more broadly, as to all considerations of prudent and economical administration, efficiency and effectiveness. Accounting Officers will need to determine how and in what terms such advice should be tendered, and whether in a particular case to make specific reference to their own duty as Accounting Officer to justify, to the Public Accounts Committee, transactions for which they are accountable.
Para 13	BOARD OF DIRECTORS AND COUNCIL OF MEMBERS	The Board of Directors and the Council of Members should act in accordance with the requirements of propriety or regularity.
Para 13	CHIEF EXECUTIVE	If the Board of Directors, Council of Members or the Chairman is contemplating a course of action involving a transaction, which is considered would be an infringement to these requirements, the Accounting Officer should set out in writing the objection to the proposals and the reasons for this objection. If the Board of Directors, Council of Governors or Chair decides to proceed, seek a written instruction to take the action in question, and inform Monitor of the position (if possible, before the decision is implemented)
Para 14	CHIEF EXECUTIVE	If a course of action is contemplated which raises an issue not of formal propriety or regularity but relating to the wider responsibilities for economy, efficiency and effectiveness, it is the Accounting Officer's duty to draw the relevant factors to the attention of the Board of Directors and the Council of Members. If the Accounting Officer's decision is overruled and is one which he would not feel able to defend to the Public Accounts Committee as representing value for money, he should seek a written instruction before proceeding and inform Monitor of such an instruction, if possible, before the decision is implemented. If there is no time to submit advice in writing due to extreme urgency, ensure that if the advice is overruled, both the advice and the instructions are recorded in writing immediately afterwards

REF	THE BOARD	AUTHORITIES/DUTIES DELEGATED
	CHIEF EXECUTIVE	In practice, an Accounting Officer will normally have delegated authority to others, but cannot on that account disclaim responsibility or dilute his or her accountability.
Para 16	CHIEF EXECUTIVE	Appear before the Public Account Committee from time to time to give evidence on the reports arising from examinations undertaken by the Comptroller and Auditor General, and answer questions concerning expenditure and receipts for which he is Accounting Officer
Para 17	CHIEF EXECUTIVE	Furnish the Public Accounts Committee with explanations of any weaknesses in the matters covered in paragraphs 8-15 of the NHS Foundation Trust Accounting Officer Memorandum, to which his attention has been drawn by the Comptroller and Auditor General or about which they may wish to question to Accounting Officer
Para 19	CHIEF EXECUTIVE	Ensure that he is adequately and accurately briefed on matters which are likely to arise at any hearing of the Public Accounts Committee
Para 21	CHIEF EXECUTIVE	Ensure that he is generally available for consultation, and that in any temporary period of unavailability, there will be a senior officer in the Foundation Trust who can act on his behalf if required
Para 22	BOARD OF DIRECTORS	If it becomes clear to the Board of Directors that an accounting Officer is so incapacitated that he or she will be unable to discharge these responsibilities over a period of four weeks or more, the Board of Directors should appoint an acting Accounting Officer, usually the Director of Finance, pending the Accounting Officer's return.
Para 23	ACTING ACCOUNTING OFFICER	Sign accounts where the Accounting Officer is unable to sign in time for printing

#### 4. SCHEME OF DELEGATION DERIVED FROM THE CODES OF CONDUCT AND ACCOUNTABILITY

REF	DELEGATED TO	AUTHORITIES/DUTIES DELEGATED
Page 4 (para 1)	BOARD	Approve procedure for declaration of hospitality and sponsorship. Their authorisation should be carefully considered and the decision should be recorded
Page 4 (para 2)	BOARD	Ensure proper and widely publicised procedures for voicing complaints, concerns about misadministration, breaches of Code of Conduct, and other ethical concerns.
Page 5 (para 3 and 4)	ALL BOARD AND STAFF MEMBERS	Subscribe to NHS Code of Conduct.
Page 5 (para 4)	CHAIRMAN AND NON EXECUTIVE DIRECTORS	Chairman and non-executive directors of NHS boards are responsible for taking firm, prompt and fair disciplinary action against any executive director in breach of the Code of Conduct.
Page 5 (para 4)	BOARD	Breaches of the Code of Conduct by the chairman or non-executive member of the board should be drawn to the attention of the non-executive regional Policy Board member.
Page 6 (para 1)	BOARDS	Co-operate fully with the NHS Executive and the Audit Commission when require to account for the use of public funds. The delivery of patient care and other services, and compliance with statutes, directions, guidance and policies of the Secretary of State
Page 6 (para 2)	BOARD	Board members share corporate responsibility for all decisions of the Board.
Page 6 (para 2)	CHAIR AND NON EXECUTIVE/OFFICER MEMBERS	Chair and non-officer members are responsible for monitoring the executive management of the organisation and are responsible to the Secretary of State for the discharge of those responsibilities.
Page 6 (para 3)	BOARD	<p>The Board have six key functions for which it is held accountable by the Department of Health on behalf of the Secretary of State:</p> <ol style="list-style-type: none"> <li>1. to set the strategic direction of the organisation within the overall policies and priorities of the Government and the NHS, define its annual and longer term objectives and agree plans to achieve them,</li> <li>2. to oversee the delivery of planned results by monitoring performance against objectives and ensuring corrective action is taken when necessary,</li> <li>3. to ensure effective financial stewardship through value for money, financial control and financial planning and strategy,</li> <li>4. to ensure that high standards of corporate governance and personal behaviour are maintained in the conduct of the business of the whole organisation,</li> <li>5. to appoint, appraise and remunerate senior executives, and The Role</li> <li>6. to ensure that there is effective dialogue between the organisation and the local community on its plans and performance and that these are responsive to the community's needs.</li> </ol>

REF	DELEGATED TO	AUTHORITIES/DUTIES DELEGATED
Page 7 (para 1)	BOARD	<p>It is the Board's duty to:</p> <ul style="list-style-type: none"> <li>• specify its requirements in organising and presenting financial and other information succinctly and efficiently to ensure the board can fully undertake its responsibilities,</li> <li>• be clear what decisions and information are appropriate to the board and draw up standing orders, a schedule of decisions reserved to the board and standing financial instructions to reflect this,</li> <li>• establish performance and quality targets that maintain the effective use of resources and provide value for money.</li> <li>• ensure that management arrangements are in place to enable responsibility to be clearly delegated to senior executives for the main programmes of action and for performance against programmes to be monitored and senior executives held to account,</li> <li>• establish audit and remuneration committees on the basis of formally agreed terms of reference which set out the membership of the sub-committee, the limit to their powers, and the arrangements for reporting back to the main board</li> </ul> <p>act within statutory financial and other constraints</p>
Page 7 and 8 (para 3)	CHAIRMAN	<p>It is the Chairman's role to:</p> <ol style="list-style-type: none"> <li>1. provide leadership to the Board;</li> <li>2. enable all Board members to make a full contribution to the Board's affairs and ensure that the Board acts as a team;</li> <li>3. ensure that key and appropriate issues are discussed by the Board in a timely manner,</li> <li>4. ensure the Board has adequate support and is provided efficiently with all the necessary data on which to base informed decisions;</li> <li>5. lead Non-Executive Board members through a formally-appointed Remuneration Committee of the main Board on the appointment, appraisal and remuneration of the Chief Executive and (with the latter) other Executive Board members;</li> <li>6. appoint Non-Executive Board members to an Audit Committee of the main Board;</li> <li>7. advise the Secretary of State on the performance of Non-Executive Board members.</li> </ol>
Page 8 (Para 1)	CHIEF EXECUTIVE	<p>The Chief Executive is accountable to the Chairman and Non-Executive members of the Board for ensuring that its decisions are implemented, that the organisation works effectively, in accordance with Government policy and public service values and for the maintenance of proper financial stewardship.</p> <p>The Chief Executive should be allowed full scope, within clearly defined delegated powers, for action in fulfilling the decisions of the Board.</p> <p>The other duties of the Chief Executive as Accountable Officer are laid out in the Accountable Officer Memorandum.</p>

REF	DELEGATED TO	AUTHORITIES/DUTIES DELEGATED
Page 8 (Para 2)	NON EXECUTIVE DIRECTORS	Non-Executive Directors are appointed by the Council of Governors to bring independent judgement to bear on issues of strategy, performance, key appointments and accountability.
Page 8 (Para 6)	BOARD	Produce through the timely publications of an annual report, annual accounts and other means, a balanced and readily-understood assessment of the authority's or trust's performance
Page 9 (Para 2)	CHAIR AND DIRECTORS	Declare any conflict of interest, that arises in the course on conducting NHS business. That requirement continues in force. Chairman and board members should declare on appointment any business interests, position of authority in a charity or voluntary body in the field of health and social care and any connection with a voluntary or other body contracting for NHS services. These should be formally recorded in the minutes of the board, and entered into a register which is available to the public. Directorships and other significant interests held by NHS board members should be declared on appointment, kept up to date and set out in the annual report
Page 9 (Para 3)	BOARD	NHS Boards must comply with legislation and guidance issued by Monitor and the Department of Health on behalf of the Secretary of State, respect agreements entered into by themselves or in on their behalf and establish terms and conditions of service that are fair to the staff and represent good value for taxpayers' money.



## 5. SCHEME OF DELEGATION FROM STANDING ORDERS

SO REF	DELEGATED TO	AUTHORITIES/DUTIES DELEGATED
1.1	CHAIRMAN	Final authority in interpretation of Standing Orders (SO's ).
2.2	COUNCIL OF GOVERNORS	Appointment of the Chairman and other Non-Executive Directors.
2.4	NON-EXECUTIVE DIRECTORS	Appointment and removal of the Chief Executive with the approval of the Council of Members.
2.10	COUNCIL OF GOVERNORS	Appointment of Deputy Chairman
2.14.5	CHAIRMAN	Be responsible for the operation of the Board.
2.14.6	CHAIRMAN	Appointment one of the Non-Executive Director as Senior Independent Director
3.2	CHAIRMAN, SECRETARY OR FOUR DIRECTORS	Call a meeting of the Board at any time
3.7	CHAIRMAN	Sign notice of meetings of the Board
3.22.1	CHAIRMAN	Having a second or casting vote subject to the provisions of SO's section 3.22.1
3.31	BOARD	Suspension of Standing Orders
3.28	CHAIRMAN	Sign minutes of the proceedings of meetings of the Board
3.35	AUDIT COMMITTEE	Audit Committee to review every decision to suspend Standing Orders (power to suspend Standing Orders is reserved to the Board)
3.42	NON-EXECUTIVE DIRECTORS	Evaluate the Chairman's performance annually
3.36	BOARD	Variation or amendment of Standing Orders subject to conditions in Standing Orders
4.1	BOARD	Establish Committees that report to the Board
4.2	FORMAL COMMITTEES	Appoint sub committees of committees
4.3	BOARD	Dismiss members of committees and sub committees
4.6	BOARD	Formal delegation of powers to committees or sub committees and approval of their constitution and terms of reference

<b>SO REF</b>	<b>DELEGATED TO</b>	<b>AUTHORITIES/DUTIES DELEGATED</b>
4.7	BOARD	Approve the appointments to committees
5.2	CHAIRMAN & CHIEF EXECUTIVE	The powers that the Board has retained to itself within these Standing Orders may in emergency be exercised by the Chair and Chief Executive after having consulted at least two Non-Executive Directors.
5.4	CHIEF EXECUTIVE	Responsible for the roles which have not been retained by the Board or delegated to a Committee or Sub Committee
5.5	CHIEF EXECUTIVE	The Chief Executive shall prepare a Scheme of Delegation identifying his proposals that shall be considered and approved by the Board, subject to any amendment agreed during the discussion.
5.7	ALL	Disclosure of non-compliance with Standing Orders to the Chief Executive as soon as possible.
7.1	BOARD	Declare relevant and material interests.
7.8	CHIEF EXECUTIVE	Maintain Register of Interests.
7.10	CHIEF EXECUTIVE	Will make reasonable steps to bring the existence of the register of interest to the attention of the local population and to publicise arrangements for viewing it.
9.1	BOARD	Comply with SFIs
9.2	BOARD	Behave in accordance with the NHS Foundation Trust Code of Governance
9.3	BOARD	Uphold the seven principles of public life as detailed by the Nolan Committee.
9.4 and 9.9	ALL	Declaration of any pecuniary interest in any contract that the Trust is proposing to enter, including employment appointments
9.13 – 9.15	ALL	Declare gifts and hospitality received from a individual, contractor or potential contractor
9.18	CHIEF EXECUTIVE	Maintain a register of second employments with, or interests in, contractors by employees.
9.18	CHIEF EXECUTIVE	Maintain a record of incidents concerning gifts and hospitality.
10.1	SECRETARY	Keep seal in a safe place.
10.5	CHIEF EXECUTIVE	Maintain a register of sealing
10.6	CHIEF EXECUTIVE/ EXECUTIVE DIRECTOR	Approve and sign all documents that will be necessary in legal proceedings.
11.1	CHIEF EXECUTIVE	Ensure that Standing Orders are given to members of the Board and Officers of the Trust.

\* Nominated officers and the areas for which they are responsible should be incorporated into the Trust's Scheme of Delegation document.

## 6. SCHEME OF DELEGATION FROM STANDING FINANCIAL INSTRUCTIONS

SFI REF	DELEGATED TO	AUTHORITIES/DUTIES DELEGATED
1.1.3	DIRECTOR OF FINANCE	Approval of all financial procedures.
1.1.4	DIRECTOR OF FINANCE	Advice on interpretation or application of SFIs.
1.1.6	ALL MEMBERS OF THE BOARD AND EMPLOYEES	Have a duty to disclose any non-compliance with these Standing Financial Instructions to the Director of Finance as soon as possible.
1.3.1	BOARD	Responsible for financial supervision and control
1.3.3	CHIEF EXECUTIVE	Responsible as the Accountable Officer to ensure financial targets and obligations are met and has overall responsibility for the Statement of Internal Control.
1.3.4	CHIEF EXECUTIVE & DIRECTOR OF FINANCE	Accountable for financial control but will, as far as possible, delegate their detailed responsibilities.
1.3.5	CHIEF EXECUTIVE	To ensure all Board members, officers and employees, present and future, are notified of and understand Standing Financial Instructions.
1.3.6	DIRECTOR OF FINANCE	Responsible for: a) Implementing the Trust's financial policies and coordinating corrective action; b) Maintaining an effective system of financial control including ensuring detailed financial procedures and systems are prepared and documented; c) Ensuring that sufficient records are maintained to explain Trust's transactions and financial position; d) Providing financial advice to members of Board and staff; e) the design, implementation and supervision of systems of internal financial control f) Maintaining such accounts, certificates etc as are required for the Trust to carry out its statutory duties.
1.3.7	ALL MEMBERS OF THE BOARD AND EMPLOYEES	Responsible for security of the Trust's property, avoiding loss, exercising economy and efficiency in using resources and conforming to Standing Orders, Standing Financial Instructions and financial procedures.
1.3.8	CHIEF EXECUTIVE	Ensure that any contractor or employee of a contractor who is empowered by the Trust to commit the Trust to expenditure or who is authorised to obtain income are made aware of these instructions and their requirement to comply.
2.1.1	AUDIT COMMITTEE	Oversee Internal and External Audit services; review financial systems; and monitor compliance with Standing Financial Instructions and Standing Orders
2.1.2	CHAIR OF THE AUDIT COMMITTEE	Raise the matter at the Board meeting where Audit Committee considers there is evidence of ultra vires transactions or improper acts.
2.1.3 & 2.4.1	DIRECTOR OF FINANCE	Ensure an adequate internal audit service, for which he is accountable, is provided (and involve the Audit Committee in the selection process when/if an internal audit service provider is changed.)

<b>SFI REF</b>	<b>DELEGATED TO</b>	<b>AUTHORITIES/DUTIES DELEGATED</b>
2.2.1	CHIEF EXECUTIVE AND DIRECTOR OF FINANCE	Monitor and ensure compliance with the guidance issued by Monitor or the NHS Counter Fraud and Security Management Division of the NHS Business Services Authority ("NHS CFSMS") on fraud and corruption in the NHS
2.2.2	DIRECTOR OF FINANCE	Responsible for the promotion of counter fraud measures within the Foundation Trust, and will ensure that the Foundation Trust co-operates with Monitor and the NHS CFSMS to enable them to carry out their functions in relation to the prevention, detection and investigation of fraud in the NHS.
2.2.4	DIRECTOR OF FINANCE	Ensure that the Foundation Trust's Local Counter Fraud Specialist receives appropriate training in connection with counter fraud measures and that he is accredited by the Counter Fraud Professional Accreditation Board.
2.2.5	DIRECTOR OF FINANCE	Where the Local Counter Fraud Specialist Services are provided to the Foundation Trust by an outside organisation, be satisfied that the terms of which those services are provided are such to enable the Local Counter Fraud Specialist to carry out his functions effectively and efficiently, and in particular, that he will be able to devote sufficient time to the Foundation Trust.
2.2.7	DIRECTOR OF FINANCE	Prepare a written work plan at the beginning of each Financial Year outlining the Local Counter Fraud Specialist's projected work for that year
2.2.9	DIRECTOR OF FINANCE	Ensure that the Local Counter Fraud Specialist: a) keeps full and accurate records of fraud and suspected fraud; b) reports to the Board of Directors any weaknesses in fraud-related systems and any other matters which may have fraud-related implications for the Foundation Trust; c) has necessary support to help him to efficiently, effectively and promptly carry out his functions; d) receives appropriate training and support, as recommended by the NHS CFSMS; and e) participates in activities which Monitor directs, or in which the NHS CFSMS is engaged, including national anti-fraud measures.
2.2.10	DIRECTOR OF FINANCE	Require all staff to co-operate with the Local Counter Fraud Specialist, and ensure that those responsible for HR disclose information which arises in connection with any matters which may have implications in relation to the investigation, prevention or detection of fraud.
2.2.11	DIRECTOR OF FINANCE	Preparation of the Fraud Response Plan.
2.2.12	ANY OFFICER	Immediately inform the Chief Executive, Finance Director or the Local Counter Fraud Specialist on the discovery or suspicion of any loss.
2.2.12	DIRECTOR OF FINANCE	Where a criminal offence is suspected, immediately inform the police if theft or arson is involved, but if cases involve suspicion of fraud and corruption or of anomalies that may indicate fraud or corruption, the particular circumstances will determine the stage at which the police should be notified, but such circumstances should be referred to the Local Counter Fraud Specialist.
2.2.13	DIRECTOR OF FINANCE	Immediately inform the Board of Directors and the Auditor of losses apparently caused by theft, arson, fraud, neglect of duty or gross carelessness except if trivial and where fraud is not suspected, on receipt of information concerning the discovery or suspicion of fraud.
2.3.1	CHIEF EXECUTIVE	Responsible for the security of Officers and people engaged in activities for the purposes of the Foundation Trust
2.3.2	CHIEF EXECUTIVE	Responsible for security management measures and the promotion of security management measures within the Foundation Trust.

<b>SFI REF</b>	<b>DELEGATED TO</b>	<b>AUTHORITIES/DUTIES DELEGATED</b>
2.3.4	CHIEF EXECUTIVE	Ensure that the Foundation Trust's Local Security Management Specialist received appropriate training in connection with security management measures in order to meet the requirements and objectives set out in the NHS CFSMS's Local Security Management Specialist Guidance.
2.3.6	CHIEF EXECUTIVE	Ensure that the Foundation Trust co-operates within Monitor and the NHS CFSMS to enable them to efficiently and effectively carry out their respective functions in relation to the security of people and property across the NHS.
2.3.7	CHIEF EXECUTIVE	Ensure that: a) the Foundation Trust has effective arrangements in place to ensure that breaches of security and weaknesses in security related systems are reported as soon as is practicable to the Local Security Management Specialist, the Audit Committee and the Auditor; b) any confidentiality of information relevant to the investigation of breaches of security is protected; and c) where possible, the Foundation Trust recovers money lost through breaches of security.
2.3.8	CHIEF EXECUTIVE	Prepare a written work plan at the beginning of each Financial Year, outlining the Local Security Management Specialist's projected work for that year
2.3.10	CHIEF EXECUTIVE	Ensure that the Local Security Management Specialist: a) keeps full and accurate records of any breaches, or suspected breaches of security; b) reports to the Board of Directors any weaknesses in security related systems or any other matters which may have implications for security management; c) has all necessary support to enable him to efficiently, effectively and promptly carry out his functions and responsibilities; d) receives appropriate training and support, as recommended by the NHS CFSMS; and e) participate in activities which Monitor directs, or in which the NHS CFSMS is engaged, relating to national security management measures
2.5	DIRECTOR OF FINANCE, AUDIT COMMITTEE AND HEAD OF INTERNAL AUDIT	Agree the reporting system for Internal Audit (in writing).
2.6.1	COUNCIL OF GOVERNORS	Appoint the External Auditors
2.6.1	AUDIT COMMITTEE	Ensure cost-effective External Audit and ensure that the Auditor meets the criteria included in the Independent Regulator's Audit Code for NHJS Foundation Trusts
3.1.1	CHIEF EXECUTIVE	Compile and submit to the Board an Annual Business Plan which takes into account financial targets and forecast limits of available resources. The Annual Business Plan will contain: <ul style="list-style-type: none"> <li>• a statement of the significant assumptions on which the plan is based;</li> <li>• details of major changes in workload, delivery of services or resources required to achieve the plan.</li> </ul>
3.1.2 and 3.1.3	DIRECTOR OF FINANCE	Submit budgets to the Board for approval. Monitor performance against budget; submit to the Board financial estimates and forecasts.
3.1.5	DIRECTOR OF FINANCE	Ensure adequate training is delivered on an on going basis to budget holders.

<b>SFI REF</b>	<b>DELEGATED TO</b>	<b>AUTHORITIES/DUTIES DELEGATED</b>
3.2.1	CHIEF EXECUTIVE	Delegate budget to budget holders.
3.3.2	CHIEF EXECUTIVE & BUDGET HOLDERS	Must not exceed the budgetary total or virement limits set by the Board.
3.3.1	DIRECTOR OF FINANCE	Devise and maintain systems of budgetary control.
3.3.2	BUDGET HOLDERS	Ensure that a) no overspend or reduction of income that cannot be met from virement is incurred without prior consent of Board; b) approved budget is not used for any other than specified purpose subject to rules of virement; c) no permanent employees are appointed without the approval of the CE other than those provided for within available resources and manpower establishment.
3.3.3	CHIEF EXECUTIVE	Identify and implement cost improvements and income generation activities in line with the Annual Business Plan.
3.5.1	CHIEF EXECUTIVE	Submit monitoring returns to Monitor as required in the Compliance Framework and the Quarterly Monitoring Checklist for NHS Foundation Trusts
3.6.1	BOARD	Review and approval of all grants and joint finance arrangements with local authorities and voluntary bodies
3.6.1	BOARD	Review and approval of all joint ventures with the private sector and the purchase of shares in a company
4.1	DIRECTOR OF FINANCE	Preparation of annual accounts and reports.
5.1 – 5.3	DIRECTOR OF FINANCE	Managing banking arrangements, including provision of banking services, operation of accounts, preparation of instructions and list of cheque signatories. (Board approves arrangements.)
6.	DIRECTOR OF FINANCE	Income systems, including system design, prompt banking, review and approval of fees and charges, debt recovery arrangements, design and control of receipts, provision of adequate facilities and systems for employees whose duties include collecting or holding cash.
6.2.3	ALL EMPLOYEES	Duty to inform Director of Finance money due from transactions which they initiate/deal with.
7.1.1 – 7.1.5	CHIEF EXECUTIVE	Responsible for ensuring the Trust enters into a relationship with commissioners for the provision of NHS services.
7.1.6	DIRECTOR OF FINANCE	Produce regular reports detailing actual and forecast income.
Appendix 1.5.3	CHIEF EXECUTIVE	Waive formal tendering procedures.
Appendix 1.5.3	CHIEF EXECUTIVE AND DIRECTOR OF FINANCE	Approve requests for single tenders

<b>SFI REF</b>	<b>DELEGATED TO</b>	<b>AUTHORITIES/DUTIES DELEGATED</b>
Appendix 1.5.3	CHIEF EXECUTIVE	Report waivers of tendering procedures to the Audit Committee
Appendix 1.5.5	DIRECTOR OF FINANCE	Where a supplier is chosen that is not on the approved list the reason shall be recorded in writing to the Chief Executive.
Appendix 1.6.2	CHIEF EXECUTIVE	Responsible for the receipt, endorsement and safe custody of tenders received.
Appendix 1.6.3	CHIEF EXECUTIVE	Shall maintain a register to show each set of competitive tender invitations despatched.
Appendix 1.6.3	CHIEF EXECUTIVE	Designate senior Officers for opening tenders (two senior Officers for each tender not from the originating department).Where the tender is estimated to be above £100,000, one of the senior Officers present must be a member of the Board of Directors
Appendix 1.6.4	CHIEF EXECUTIVE AND DIRECTOR OF FINANCE	Where one tender is received will assess for value for money and fair price.
Appendix 1.6.5	CHIEF EXECUTIVE	Make decisions as to whether to consider tenders received after the due date and time, but before the opening of other tenders, where there are exceptional circumstances. While such decisions are being made, keep all tender documents strictly confidential and in safe custody
Appendix 1.6.6	CHIEF EXECUTIVE	May authorise post tender clarification if it appears that that a marked financial benefit may accrue to the Trust or if there is a change to the specification which is not so significant and doesn't warrant abandonment of the project.
Appendix 1.6.6	CHIEF EXECUTIVE	No tender shall be accepted which will commit expenditure in excess of that which has been allocated by the Trust and which is not in accordance with these Instructions except with the authorisation of the Chief Executive.
Appendix 1.6.8	CHIEF EXECUTIVE	Will appoint a manager to maintain a list of approved firms and update it at least every 6 months.
Appendix 1.6.8	CHIEF EXECUTIVE	Arrange for advertisements to be issued in trade journals inviting applications for inclusion on the approved list, at least every 5 years.
Appendix 1.6.8	CHIEF EXECUTIVE	Shall ensure that appropriate checks are carried out as to the technical and financial capability of those firms that are invited to tender or quote.
Appendix 1.6.8	DIRECTOR OF FINANCE	Make or institute any enquires deemed appropriate concerning the financial standing and financial suitability of approved contractors.
Appendix 1.6.8	DIRECTOR WITH LEAD RESPONSIBILITY FOR CLINICAL GOVERNANCE	Make or institute any enquires deemed appropriate concerning the technical and/or clinical competence of approved contractors.
Appendix 1.7.2	CHIEF EXECUTIVE	The Chief Executive or his nominated officer should evaluate the quotation and select the quote that gives the best value for money.
Appendix 1.7.2	CHIEF EXECUTIVE AND DIRECTOR OF FINANCE	Approve non competitive quotes in writing may be obtained if it is not possible to obtain competitive quotations

<b>SFI REF</b>	<b>DELEGATED TO</b>	<b>AUTHORITIES/DUTIES DELEGATED</b>
Appendix 1.7.4	CHIEF EXECUTIVE OR DIRECTOR OF FINANCE	No quotation shall be accepted which will commit expenditure in excess of that which has been allocated by the Trust and which is not in accordance with these Instructions except with the authorisation of the Chief Executive.
Appendix 1.9	CHIEF EXECUTIVE	The Chief Executive shall demonstrate that the use of private finance represents value for money and genuinely transfers risk to the private sector.
Appendix 1.9	BOARD	All PFI proposals must be agreed by the Board.
Appendix 1.9	CHIEF EXECUTIVE	The Chief Executive shall nominate an officer who shall oversee and manage each contract on behalf of the Trust.
Appendix 1.11	CHIEF EXECUTIVE	The Chief Executive shall nominate officers with delegated authority to enter into contracts of employment, regarding staff, agency staff or temporary staff service contracts.
Appendix 1.13	CHIEF EXECUTIVE	The Chief Executive shall be responsible for ensuring that best value for money can be demonstrated for all services provided on an in-house basis.
Appendix 1.13	CHIEF EXECUTIVE	The Chief Executive shall nominate an officer to oversee and manage the contract on behalf of the Trust.
8.1.1	BOARD	Establish a Remuneration & Terms of Service Committee
8.1.2	REMUNERATION COMMITTEE	Advise the Board on and make recommendations on the remuneration and terms of service of the CE, other officer members and senior employees to ensure they are fairly rewarded having proper regard to the Trust's circumstances and any national agreements; Monitor and evaluate the performance of individual senior employees; Advise on and oversee appropriate contractual arrangements for such staff, including proper calculation and scrutiny of termination payments.
8.1.3	REMUNERATION COMMITTEE	Report in writing to the Board its advice and its bases about remuneration and terms of service of directors and senior employees.
8.1.4	BOARD	Approve proposals presented by the Chief Executive for setting of remuneration and conditions of service for those employees and officers not covered by the Remuneration Committee.
8.2.2	SERVICE DIRECTOR	Approval of variation to funded establishment of any department.
8.3	CHIEF EXECUTIVE	Authorise staff within delegated limits to engage, re-engage or regrade employees including agency staff, .
8.3	BOARD	Approve procedures presented by the Chief Executive for change in the determination of pay rates, service conditions etc.
8.4.1 and 8.4.2	DIRECTOR OF FINANCE	Responsible for arranging the provision of an appropriate payroll Responsible for a) specifying timetables for submission of properly authorised time records and other notifications; b) final determination of pay and allowances; c) making payments on agreed dates;



SFI REF	DELEGATED TO	AUTHORITIES/DUTIES DELEGATED
		d) agreeing method of payment; e) issuing instructions (as listed in SFI 8.4.2).
8.4.3	NOMINATED MANAGERS*	Submit time records in line with timetable. Complete time records and other notifications in required form. Submitting termination forms in prescribed form and on time.
8.4.4	DIRECTOR OF FINANCE	Ensure that the chosen method for payroll processing is supported by appropriate (contracted) terms and conditions, adequate internal controls and audit review procedures and that suitable arrangements are made for the collection of payroll deductions and payment of these to appropriate bodies.
8.5	NOMINATED MANAGER*	Ensure that all employees are issued with a Contract of Employment in a form approved by the Board and which complies with employment legislation; and Deal with variations to, or termination of, contracts of employment.
8.5.2	CHIEF EXECUTIVE	In exceptional circumstances, approve Board members and senior officials being employed by the Trust but not on the Trust's payroll. This exception should be for a maximum of six months.
9.1.1	CHIEF EXECUTIVE	Determine, and set out, level of delegation of non-pay expenditure to budget managers, including a list of managers authorised to place requisitions, the maximum level of each requisition and the system for authorisation above that level.
9.1.1	BOARD	Approve the level of non pay expenditure on an annual basis
9.1.2	CHIEF EXECUTIVE AND DIRECTOR OF FINANCE	Set out the list of managers who are authorised to place requisitions for the supply of goods and services; and the maximum level of each requisition and the system for authorisation above that level.
9.1.3	CHIEF EXECUTIVE	Set out procedures on the seeking of professional advice regarding the supply of goods and services.
9.2.2	REQUISITIONER*	In choosing the item to be supplied (or the service to be performed) shall always obtain the best value for money for the Trust. In so doing, the advice of the Trust's Procurement Department shall be sought.
9.2.2	DIRECTOR OF FINANCE	Will act as arbitrator where the advice of the Procurement Department is not acceptable to the requisitioner
		a)
9.2.3	DIRECTOR OF FINANCE	a) Advise the Board regarding the setting of thresholds above which quotations (competitive or otherwise) or formal tenders must be obtained; and, once approved, the thresholds should be incorporated in standing orders and regularly reviewed; b) Prepare procedural instructions [where not already provided in the Scheme of Delegation or procedure notes for budget holders] on the obtaining of goods, works and services incorporating the thresholds; c) Be responsible for the prompt payment of all properly authorised accounts and claims; d) Be responsible for designing and maintaining a system of verification, recording and payment of all amounts payable; e) A timetable and system for submission to the Director of Finance of accounts for payment; provision shall be

SFI REF	DELEGATED TO	AUTHORITIES/DUTIES DELEGATED
		made for the early submission of accounts subject to cash discounts or otherwise requiring early payment; f) Instructions to employees regarding the handling and payment of accounts within the Finance Department; g) Be responsible for ensuring that payment for goods and services is only made once the goods and services are received
9.2.4	APPROPRIATE EXECUTIVE DIRECTOR	Make a written case to support the need for a prepayment.
9.2.4	DIRECTOR OF FINANCE	Approve proposed prepayment arrangements.
9.2.4	BUDGET HOLDER	Ensure that all items due under a prepayment contract are received (and immediately inform Director of Finance if problems are encountered).
9.2.5	CHIEF EXECUTIVE	Authorise who may issue verbal orders but only in the case of emergency or urgent necessity.
9.2.5	MANAGERS AND OFFICERS	Ensure that they comply fully with the guidance and limits specified by the Director of Finance.
9.2.6	CHIEF EXECUTIVE DIRECTOR OF FINANCE	Ensure that the arrangements for financial control and financial audit of building and engineering contracts and property transactions comply with the guidance contained within CONCODE and ESTATECODE. The technical audit of these contracts shall be the responsibility of the relevant Director.
9.3 and 21.1.3	DIRECTOR OF FINANCE	Lay down procedures for payments to local authorities and voluntary organisations made under the powers of section 28A of the NHS Act.
10.1.1	DIRECTOR OF FINANCE	The Director of Finance will advise the Board on the Trust's ability to pay dividend on PBC and report, periodically, concerning the PDC debt and all loans and overdrafts.
10.1.2	BOARD	Approve a list of employees authorised to make short-term borrowings on behalf of the Trust. (This must include the CE and Director of Finance.)
10.1.3	DIRECTOR OF FINANCE	Prepare detailed procedural instructions concerning applications for loans and overdrafts.
10.1.4	DIRECTOR OF FINANCE	Be on an authorising panel comprising one other member for short term borrowing approval.
10.1.6	DIRECTOR OF FINANCE	Must ensure compliance with the Prudential Borrowing Limit
10.2.2	DIRECTOR OF FINANCE	Will advise the Board on investments and report, periodically, on performance of same.
10.2.3	DIRECTOR OF FINANCE	Prepare detailed procedural instructions on the operation of investments held.
10.3.1	BOARD	Ensure that funds are available for short-term cash flow management by negotiating an irrevocable working capital facility with a commercial bank. The value of this facility shall not exceed the limit set in the Trust's authorisation
11.1.1	BOARD	Shall approve a programme of building, engineering and design schemes know as the capital programme, as part of the budgetary process.
11.1.1	CHIEF EXECUTIVE	Shall approve the commencement of capital reserve schemes for: <ul style="list-style-type: none"> <li>• all additional monies; and</li> </ul>

SFI REF	DELEGATED TO	AUTHORITIES/DUTIES DELEGATED
		<ul style="list-style-type: none"> <li>slippage which exceeds the delegated limits of the Chair of the Capital Investment Group (CIG).</li> </ul>
11.1.11	CAPITAL INVESTMENT GROUP	Approve the use of capital slippage under the delegated limits of the Chair of The Capital Investment Group Report to the Board quarterly on showing the impact of all new schemes on the capital programme and the revenue consequences
11.1. 2 & 11.1.3	CHIEF EXECUTIVE	Capital investment programme: a) ensure that there is adequate appraisal and approval process for determining capital expenditure priorities and the effect that each has on plans b) responsible for the management of capital schemes and for ensuring that they are delivered on time and within cost; c) ensure that capital investment is not undertaken without availability of resources to finance all revenue consequences; d) ensure that a business case is produced for each proposal. e) The approval of a capital programme shall not constitute approval for the initiation of expenditure on any scheme.
11.1.3	DIRECTOR OF FINANCE	Certify professionally the costs and revenue consequences detailed in the business case for capital investment.
11.1.4	CHIEF EXECUTIVE	Issue manager responsible for any capital scheme with authority to commit expenditure, authority to proceed to tender and approval to accept a successful tender.  Issue a scheme of delegation for capital investment management. .
11.1.5	CHIEF EXECUTIVE	Will issue a scheme of delegation for capital investment management in accordance with "Estatecode" guidance and the Trust's Standing Orders. .
11.1.6	DIRECTOR OF FINANCE	Issue procedures for the regular reporting of expenditure and commitment against authorised capital expenditure.
11.1.6	DIRECTOR OF FINANCE	Issue procedures governing financial management, including variation to contract, of capital investment projects and valuation for accounting purposes.
11.2.1	DIRECTOR OF FINANCE	Demonstrate that the use of private finance represents value for money and genuinely transfers significant risk to the private sector.
11.2.1	BOARD	Proposal to use PFI must be specifically agreed by the Board.
11.3.1	CHIEF EXECUTIVE	Maintenance of asset registers (on advice from Director of Finance).
11.3.5	DIRECTOR OF FINANCE	Approve procedures for reconciling balances on fixed assets accounts in ledgers against balances on fixed asset registers.

<b>SFI REF</b>	<b>DELEGATED TO</b>	<b>AUTHORITIES/DUTIES DELEGATED</b>
11.3.8	DIRECTOR OF FINANCE	Calculate and pay capital charges as specified by any relevant guidance issued by Monitor regarding the financial reporting procedures for NHS foundation trusts
11.4.1	CHIEF EXECUTIVE	Overall responsibility for fixed assets.
11.4.2	DIRECTOR OF FINANCE	Approval of fixed asset control procedures.
11.4.4	BOARD, EXECUTIVE MEMBERS AND ALL SENIOR STAFF	Responsibility for security of Trust assets including notifying discrepancies to Director of Finance, and reporting losses in accordance with Trust procedure.
12	DIRECTOR OF FINANCE	Ensure that Board members are aware of the Financial Framework and ensure compliance
12.1..2	CHIEF EXECUTIVE	Delegate overall responsibility for control of stores (subject to Director of Finance responsibility for systems of control). Further delegation for day-to-day responsibility subject to such delegation being recorded. (Good practice to append to the scheme of delegation document.)
12.1.2	DIRECTOR OF FINANCE	Responsible for systems of control over stores and receipt of goods.
12.1.3	DESIGNATED PHARMACEUTICAL OFFICER	Responsible for controls of pharmaceutical stocks
12.1.2	DESIGNATED ESTATES OFFICER	Responsible for control of stocks of fuel oil and coal.
12.1.3	NOMINATED OFFICERS*	Security arrangements and custody of keys
12.1.4	DIRECTOR OF FINANCE	Set out procedures and systems to regulate the stores.
12.1.5	DIRECTOR OF FINANCE	Agree stocktaking arrangements.
12.1.6	DIRECTOR OF FINANCE	Approve alternative arrangements where a complete system of stores control is not justified.
12.1.7	DIRECTOR OF FINANCE	Approve system for review of slow moving and obsolete items and for condemnation, disposal and replacement of all unserviceable items.
12.1.7	NOMINATED OFFICERS*	Operate system for slow moving and obsolete stock, and report to Director of Finance evidence of significant overstocking.
12.1.8	CHIEF EXECUTIVE	Identify persons authorised to requisition and accept goods from NHS Supplies stores.
13.2.1	DIRECTOR OF FINANCE	Prepare detailed procedures for disposal of assets including condemnations and ensure that these are notified to managers.

<b>SFI REF</b>	<b>DELEGATED TO</b>	<b>AUTHORITIES/DUTIES DELEGATED</b>
13.2.1	DIRECTOR OF FINANCE	Prepare procedures for recording and accounting for losses, special payments and informing police in cases of suspected arson or theft.
13.2.2	ALL STAFF	Discovery or suspicion of loss of any kind must be reported immediately to either head of department or nominated officer. The head of department / nominated officer should then inform the Chair of Audit Committee and Director of Finance.
13.2.2	DIRECTOR OF FINANCE	Where a criminal offence is suspected, Director of Finance must inform the police if theft or arson is involved. In cases of fraud and corruption Director of Finance must inform the relevant Counter Fraud and the LCFS and NHS Protect in accordance with NHS Protect Standards for Providers in Countering Fraud and Bribery
13.2.3	DIRECTOR OF FINANCE	Notify Board and External Auditor of losses caused by theft, arson, neglect of duty or gross carelessness (unless trivial).
13.2.4	BOARD	Approve write off of losses (within limits delegated by DH).
13.2.6	DIRECTOR OF FINANCE	Consider whether any insurance claim can be made.
13.2.7	DIRECTOR OF FINANCE	Maintain losses and special payments register.
14.1	DIRECTOR OF FINANCE	Responsible for accuracy and security of computerised financial data.
14.1.2	DIRECTOR OF FINANCE	Satisfy himself that new financial systems and amendments to current financial systems are developed in a controlled manner and thoroughly tested prior to implementation. Where this is undertaken by another organisation assurances of adequacy must be obtained from them prior to implementation.
14.1.3	DIRECTOR OF FINANCE	Ensure that contracts with other bodies for the provision of computer services for financial applications clearly define responsibility of all parties for security, privacy, accuracy, completeness and timeliness of data during processing, transmission and storage, and allow for audit review.  Seek periodic assurances from the provider that adequate controls are in operation.
14.1.4	DIRECTOR OF FINANCE	When another organisation provides a computer service for financial applications, seek assurances that adequate controls are in operation
14.1.5	DIRECTOR OF FINANCE	Ensure that risks to the Trust from use of IT are identified and considered and that disaster recovery plans are in place.
14.1.6	DIRECTOR OF FINANCE	Where computer systems have an impact on corporate financial systems satisfy himself that: a) systems acquisition, development and maintenance are in line with corporate policies; b) data assembled for processing by financial systems is adequate, accurate, complete and timely, and that a management rail exists; c) Director of Finance and staff have access to such data; Such computer audit reviews are being carried out as are considered necessary.

<b>SFI REF</b>	<b>DELEGATED TO</b>	<b>AUTHORITIES/DUTIES DELEGATED</b>
15.1.1	DEPARTMENTAL MANAGERS	Inform staff of their responsibilities and duties for the administration of the property of patients.
15.1.2	CHIEF EXECUTIVE	Responsible for ensuring patients and guardians are informed about patients' money and property procedures on admission.
15.1.2	DIRECTOR OF FINANCE	Provide detailed written instructions on the collection, custody, investment, recording, safekeeping, and disposal of patients' property (including instructions on the disposal of the property of deceased patients and of patients transferred to other premises) for all staff whose duty is to administer, in any way, the property of patients' money in order to maximise the benefit of the patient
15.1.5	DIRECTOR OF FINANCE	Authorise re-imburement to patients if the Trust has been negligent with patients' property (up to delegated limits)
16	DIRECTOR OF FINANCE	Ensure all staff are made aware of the Trust policy on the acceptance of gifts and other benefits in kind by staff
17	CASH DONATIONS GROUP	Allocation of donations to service portfolio and approval to local charities.
18.1.3	CHIEF EXECUTIVE	Retention of document procedures in accordance with NHS Code of Practice 2006 – Records Management
18.1.4	ALL	Responsible for the security and confidentiality of all information collected in the course of their duties. The requirements of the Data Protection Act 1998 and the Freedom of Information Act 2000 are to be strictly adhered to at all times
19.1	CHIEF EXECUTIVE	Risk management programme.
19.1.2	BOARD	Approve and monitor risk management programme.
19.1.4	BOARD	Decide whether the Trust will use the risk pooling schemes administered by the NHS Litigation Authority or self-insure for some or all of the risks (where discretion is allowed). Decisions to self-insure should be reviewed annually.
19.1. - 19.1.6	DIRECTOR OF FINANCE	<p>Where the Trust decides to use the risk pooling schemes administered by the NHS Litigation Authority the Director of Finance shall ensure that the arrangements entered into are appropriate and complementary to the risk management programme. The Director of Finance shall ensure that documented procedures cover these arrangements.</p> <p>Where the Trust decides not to use the risk pooling schemes administered by the NHS Litigation Authority for any one or other of the risks covered by the schemes, the Director of Finance shall ensure that the Board is informed of the nature and extent of the risks that are self insured as a result of this decision. The Director of Finance will draw up formal documented procedures for the management of any claims arising from third parties and payments in respect of losses that will not be reimbursed.</p> <p>Where the Trust decides to use the Schemes for one or other of the risks covered by the Schemes, the Director of</p>

SFI REF	DELEGATED TO	AUTHORITIES/DUTIES DELEGATED
		Finance shall ensure that the arrangements entered into are appropriate and complementary to the Trust's risk management programme. The Director of Finance shall ensure that documented procedures cover these arrangements
19.1.7	DIRECTOR OF FINANCE	Ensure documented procedures cover management of claims and payments below the deductible.
20.1	BOARD	Approve the level of expenses to be funded and the principles of refund
22.3	Director of Finance Service Director	All Partnership set up under Health Act Flexibilities should have agreements in place. No agreements should be signed which may have a legal or financial consequence for the Trust without consultation with Service Directors and the Director of Finance
22.4	ALL	<p>The Trust may enter into partnerships with third parties, including the private sector where it is satisfied it has complied with Public Contracts Regulations 2006 and Trust SFIs. The two scenarios to be considered are:</p> <ul style="list-style-type: none"> <li>• Following the receipt of a commissioner tender and where the Trust identifies the need for a third party contractor to submit a joint bid, there is no requirement for the Trust to run a competitive process as the Commissioners' tender process would provide cover for the Trust against the Public Contracts Regulations 2006 's requirements. (However Due diligence should be carried out by the Trust to confirm that the commissioners' tendering process is in compliance with the requirements of procurement law)</li> <li>• Where Trust seeks to enter into longer term relationships with providers, i.e. not connected with a specific tender, then the Trust should run a tender process to procure such sub-contractors in line with the requirements of the Public Contracts Regulations 2006.</li> </ul>

- Nominated officers and the areas for which they are responsible should be incorporated into the Trust's Scheme of Delegation document.

## 7. DETAILED SCHEME OF DELEGATION

The attached Scheme of Delegation is prepared in accordance with SO 5. It should be read in conjunction with the Trust's Standing Orders, Standing Financial Instructions and Code of Conduct. Together, they provide a regulatory framework for the business conduct of the Trust. They fulfil the dual role of protecting the Trust's interests and protecting staff from any possible accusation that they have acted less than properly.

All Executive and Non-Executive Directors, and all members of staff, should be aware of the existence of these documents and, where necessary, be familiar with the detailed provisions. Copies are available from the Trust Secretary.

**The delegation shown in the Scheme is the lowest level to which authority is delegated.** Delegation to lower levels is only permitted with written approval of the Chief Executive who will, before authorising such delegation, consult with other senior officers as appropriate. All items concerning Finance must be carried out in accordance with Standing Financial Instructions and the Standing Orders (SO's ).



DELEGATED MATTER	AUTHORITY DELEGATED TO	REFERENCE DOCUMENTS
<p><b>1. Management of Budgets</b></p> <p>Responsibility of keeping expenditure within budgets</p> <p>a) At individual budget level (Pay and Non Pay)</p> <p>b) At service level</p> <p>c) For the totality of non-medical (excluding drugs budgets) services covered by Locality</p> <p>d) Drugs budgets</p> <p>e) For all other areas (including Corporate Services)</p> <p>f) Approving expenditure &gt;tender price up to 10% (up to a maximum of £15k).</p> <p>g) Approving expenditure &gt;tender price &gt; 10% (up to a maximum of £50k).</p> <p>h) Approving expenditure &gt;tender price &gt; 10% (over £50k).</p> <p>h) Corporate budgets</p>	<p>Service Manager</p> <p>Service Director</p> <p>Service Director</p> <p>Medical Director</p> <p>Appropriate Delegated Manager</p> <p>Director of Finance</p> <p>Chief Executive</p> <p>Board</p> <p>Executive Directors</p>	<p>SFIs Section 3</p>

DELEGATED MATTER	AUTHORITY DELEGATED TO	REFERENCE DOCUMENTS
i) VIREMENT (i) REVENUE EXPENDITURE Virement of existing budget provision between staff and non-staff budgets: Up to £10,000 From £10,000	Service Director/Budget Holder Chief Executive	
(ii) REVENUE TO CAPITAL Up to £250,000 From £250,000	Chief Executive Board of Directors	
<b>2. Maintenance / Operation of Bank Accounts</b>	Director of Finance	SFIs Section 5
<b>3. Non Pay Revenue and Capital Expenditure/Requisitioning/Ordering/            Payment of Goods &amp; Services (exclusive of VAT)</b> a) <b>Non pay revenue</b>  Stock /non stock requisitions £4,999 All requisitions from £5,000 to £24,999 all requisitions from £25,000 to £49,999 all requisitions from £50,000	Budget Holder Service Directors Executive Director and/or Director of Estates Chief Executive or Director of Finance	SFIs Section 9

DELEGATED MATTER	AUTHORITY DELEGATED TO	REFERENCE DOCUMENTS
<p><b>Capital</b></p> <p>Works orders up to £49,999 Works orders above £50,000</p> <p>b) Non-Pay Expenditure for which no specific budget has been created and which is not subject to funding under delegated powers of Virement.</p> <p>c) Orders exceeding 12 month period</p> <p>d) All contracts for goods &amp; services and subsequent variations to Contracts</p> <p>e) Approval of Management Consultancy Assignments Up to £49,999 From £50,000</p>	<p>Director of Estates Chief Executive and Director of Finance</p> <p>Director of Finance</p> <p>Director of Finance or Chief Executive</p> <p>Service Director or Director of Finance</p> <p>Executive Director and Director of Finance Chief Executive and Director of Finance</p>	
<p><b>4. Capital Schemes</b></p> <p>a) Selection of architects, quantity surveyors, consultant engineer and other professional advisors within EU regulations</p> <p>b) Financial monitoring and reporting on all capital scheme expenditure</p>	<p>Chief Executive or Director of Finance or Head of Estates &amp; Facilities</p> <p>Director of Finance or Nominated Deputy or Head of Estates &amp; Facilities</p>	<p>SFIs Section 11</p>

DELEGATED MATTER	AUTHORITY DELEGATED TO	REFERENCE DOCUMENTS
<p>5. <b>Quotation, Tendering &amp; Contract Procedures (exclusive of VAT)</b></p> <p><b>NON ESTATES</b></p> <p>a) Obtaining <b>3 written quotations</b> for goods/services from £1,000 - £4,999</p> <p>b) Obtaining <b>4 written quotations</b> for goods/services from £5,000 - £24,999</p> <p>c) Obtaining <b>4 written quotations</b> for goods/services from £25,000 to £49,999</p> <p>d) Obtaining <b>4 written competitive tenders</b> for / supplies/services from £50,000 to £113,057 (excl VAT) current OJEU limit and £173.934 (excl VAT) current OJEU limit for part B services</p> <p>e) Waiving of quotations &amp; Tenders subject to SFIs</p> <p>e) Opening Tenders and Quotations</p> <p><b>Estates</b></p> <p>f) Obtaining 1 written quotation for goods/services from £1,000 - £4,999</p> <p>g) Obtaining <b>4 written quotations</b> for goods/services from £5,000 to £49,999</p> <p>h) Obtaining <b>4 written competitive tenders</b> for goods/services from £50,000 to £249,999</p> <p>i) Obtaining 5 written competitive tenders for goods/services from £250,000 to £999,999</p> <p>j) Obtaining 6 written competitive tenders for goods/services from £1 million to £4,348,350 (excl VAT) current OJEU limit</p> <p><b>CONSULTANTS</b></p> <p>k) Obtaining 1 written quotation for goods/services from £1,000 - £4,999</p> <p>l) Obtaining <b>4 written quotations</b> for goods/services from £5,000 to £49,999</p> <p>m) Obtaining <b>4 written competitive tenders</b> for goods/services from £50,000 to £113,057 (excl VAT) current OJEU limit and £173.934 (excl VAT) current OJEU limit for part B services</p>	<p>Budget Holder Service Director Executive Director Chief Executive and Director of Finance under seal.</p> <p>Chief Executive or Director of Finance Chief Executive or Executive Director</p> <p>Budget Holder Executive Director or Director of Estates Chief Executive and Director of Finance under seal. Chief Executive and Director of Finance under seal. Chief Executive and Director of Finance under seal.</p> <p>Budget Holder Executive Director Chief Executive and Director of Finance under seal.</p>	<p>SFIs Sections 7</p>

DELEGATED MATTER	AUTHORITY DELEGATED TO	REFERENCE DOCUMENTS
<p><b>6. Setting of Fees and Charges</b></p> <p>a) Private Patient, Overseas Visitors, Income Generation and other patient related services.</p> <p>b) Price of NHS Contracts Charges for all NHS Contracts, be they block, cost per case, cost and volume, spare capacity</p>	<p>Director of Finance or Nominated Deputy</p> <p>Director of Finance or Nominated Deputy</p>	
<p><b>7. Engagement of Staff not on the Establishment</b></p> <p>a) Non Medical Consultancy Staff</p> <p>b) Booking of Bank or Agency Staff</p> <ul style="list-style-type: none"> <li>• Medical Locums</li> <li>• Nursing</li> <li>• Clerical</li> </ul>	<p>Executive Director</p> <p>Service Director/Budget Holder or Nominated Deputy</p>	<p>SFIs Section 8</p>
<p><b>8. Donations</b></p> <ul style="list-style-type: none"> <li>• Donations less than £24,999</li> <li>• Donations greater than £25,000</li> <li>• Approval of payments to local charities</li> </ul>	<p>Cash Donations Group</p> <p>Trust Board</p> <p>Cash Donations Group</p>	<p>SFIs Section 17</p>
<p><b>9. Agreements/Leases</b></p> <p>a) Preparation and signature of all new leases.</p> <p>b) Extensions to existing leases</p> <p>c) Letting of premises to outside organisations</p>	<p>Chief Executive and Director of Finance</p> <p>Chief Executive and Director of Finance</p> <p>Director of Finance and Chief Executive</p>	

<p><b>10. Condemning &amp; Disposal</b></p> <p>a) Items obsolete, obsolescent, redundant, irreparable or cannot be repaired cost effectively</p>	<p>Director of Finance</p>	<p>SFIs Section 13</p>
<p><b>11. Losses, Special Payments, Write-off limits.</b></p> <p>1. Losses of cash due to:-</p> <p>(a) Theft, Fraud, etc.</p> <p>(b) Overpayment of Salaries, Wages, Fees and allowances</p> <p>(c) Causes, other than those included under 1(b); e.g. physical losses of cash and cash equivalents, e.g. stamps due to fire (other than arson), accident and similar causes.</p> <p>2. Fruitless payments (including abandoned capital schemes).</p> <p>3. Bad Debts and claims abandoned.</p> <p>(a) Private patients (Section 65 and 66 NHS Act 1977)</p> <p>(b) Overseas visitors (Section 121 NHS Act 1977)</p> <p>(c) Causes other than a-b.</p>	<p>All Losses, Write-Off's and compensations to be reported to the Board of Directors</p> <p>Director of Finance (NIL - £5,000)  Chief Executive (£5,001-£10,000)  Board of Directors (£10,001 - £50,000)</p> <p><i>(As above)</i></p> <p><i>(As above)</i></p> <p>Board of Directors (NIL - £250,000)</p> <p>Director of Finance (NIL - £5,000)  Chief Executive (£5,001 - £10,000)  Board of Directors (£10,001 - £50,000)</p> <p><i>(As above)</i>  <i>(As above)</i></p>	<p>SFIs Section 13</p>

<p><b>11. Losses, Special Payments, Write-off limits – continued</b></p> <p>4. Damage to buildings, their fittings, furniture and equipment and loss of equipment and property in stores and in use due to:-</p> <p>(a) Culpable causes e.g. theft, fraud, arson or sabotage whether proved or suspected, neglect of duty or gross carelessness.</p> <p>(b) Other causes.</p> <p>5. Compensation payments made under legal obligation.</p> <p>6. Extra contractual payments to contractors.</p> <p>7. Ex-gratia payments</p> <p>(a) To patients and staff for loss of personal effects</p> <p>(b) For clinical negligence (negotiated settlements following legal advice) where the guidance relating to such payments has been applied.</p> <p>(c) For personal injury claims involving negligence where legal advice obtained and relevant guidance has been applied.</p> <p>(d) Other clinical negligence cases and personal injury claims.</p>	<p>All Losses, Write-Off's and compensations to be reported to the Board of Directors</p> <p>Director of Finance (NIL - £5,000)  Chief Executive (£5,001 - £10,000)  Board of Directors (£10,001 - £50,000)</p> <p><i>(As above)</i></p> <p>Chief Executive (NIL - £50,000)  Board of Directors (£50,000 +)</p> <p>Chief Executive (NIL - £10,000)  Board of Directors (£10,001 - £50,000)</p> <p>Chief Executive (NIL - £10,000)  Board of Directors (£10,001 - £50,000)</p> <p>Chief Executive (NIL - £100,000)  Board of Directors (£100,001 - £1,000,000)</p> <p><i>(As above)</i></p> <p>Chief Executive (NIL - £10,000)  Board of Directors (£10,001 - £50,000)</p> <p><i>(As above)</i></p>	

DELEGATED MATTER	AUTHORITY DELEGATED TO	REFERENCE DOCUMENTS
<p><b>11. Losses, Special Payments, Write-off limits – continued</b></p> <p>(e) Other, except cases of maladministration where there was no financial loss by claimant.</p> <p>(f) Maladministration where there was no financial loss by claimant.</p> <p>(g) Patient referrals outside the UK and EEA guidelines.</p> <p>8. Extra statutory and extra regulatory payments.</p>	<p>All Losses, Write-Off's and compensations to be reported to the Board of Directors</p> <p>NIL</p> <p>NIL</p> <p>NIL</p> <p>NIL</p>	
<p><b>12. Reporting of Incidents to the Police</b></p> <p>a) Where a criminal offence is suspected</p> <p>i) criminal offence of a violent nature</p> <p>ii) other</p> <p>b) Where a fraud is involved</p>	<p>Chief Executive/Director on call.</p> <p>Director of Finance</p>	<p>SFIs Section 2 &amp; 13</p>
<p><b>13. Petty Cash Disbursements (not applicable to central Cashiers Office)</b></p> <p>a) Expenditure up to £25 per item</p> <p>b) Reimbursement of patients monies up to £50</p> <p>c) Reimbursement of patients monies in excess of £50</p>	<p>Petty Cash Holder</p> <p>Cashier</p> <p>Chief Financial Accountant</p>	<p>SFIs Section 15</p>



DELEGATED MATTER	AUTHORITY DELEGATED TO	REFERENCE DOCUMENTS
<p><b>14. Receiving Hospitality</b></p> <p>Applies to both individual and collective hospitality receipt items in excess of £25.00 per item received</p>	<p>Declaration required in Trust's Hospitality Register</p>	<p>Register held by Secretary to the Chief Executive</p>
<p><b>15. (a) Implementation of Internal and External Audit Recommendations</b></p> <p>(b) Revisions to Audit Programme</p>	<p>Director of Finance or designated Director/Manager</p> <p>Director of Finance (verbal report to Chairman of Audit Committee)</p>	<p>SFIs Section 2</p>
<p><b>16. Maintenance &amp; Update on Trust Financial Procedures</b></p>	<p>Director of Finance</p>	<p>SFIs Section 1</p>
<p><b>17. External Investment and Borrowing</b></p>	<p>Director of Finance</p>	<p>SFI's Section 10</p>
<p><b>18. Personnel &amp; Pay</b></p> <p>a) Authority to fill funded post on the establishment with permanent staff.</p> <p>b) Authority to appoint staff to post not on the formal establishment.</p> <p>c) <u>Additional Increments</u></p> <p>The granting of additional increments to staff within budget</p> <p>d) <u>Upgrading &amp; Regrading</u></p> <p>All requests for upgrading/regrading shall be dealt with in accordance with Trust Procedure.</p>	<p>Service Director/Budget Holder</p> <p>Chief Executive</p> <p>People &amp; Development Director - HR</p> <p>Chief Executive or Budget Holder, in accordance with policy.</p>	<p>SFIs Section 8</p>

DELEGATED MATTER	AUTHORITY DELEGATED TO	REFERENCE DOCUMENTS
<p>e) <u>Establishments</u></p> <p>i) Additional staff to the agreed establishment with specifically allocated finance.</p> <p>ii) Additional staff to the agreed establishment without specifically allocated finance.</p> <p>f) <u>Pay</u></p> <p>a) Authority to complete standing data forms effecting pay, new starters, variations and leavers</p> <p>b) Authority to complete and authorise positive reporting forms</p> <p>c) Authority to authorise overtime</p> <p>d) Authority to authorise travel &amp; subsistence expenses</p> <p>e) Remuneration of Executive Directors</p>	<p>Service Director/Budget Holder</p> <p>Chief Executive</p> <p>People &amp; Development Director - HR or Nominated Deputy</p> <p>Service Director/Budget Holder/ Nominated Deputy</p> <p>Service Director/Budget Holder/ Nominated Deputy</p> <p>Line Managers/Directorate Managers/ Executive Directors</p> <p>Remuneration Sub-Committee</p>	

DELEGATED MATTER	AUTHORITY DELEGATED TO	REFERENCE DOCUMENTS
<p>g) <u>Leave</u></p> <p>i) Approval of annual leave</p> <p>ii) Annual leave - approval of carry forward (up to maximum of 5 days or in the case of Ancillary &amp; Maintenance staff as defined in their initial conditions of service).</p> <p>iii) Annual leave - approval of carry over in excess of 5 days but less than 10 days.</p> <p>iv) Annual leave - approval to carry forward 10 days or more.</p> <p>iv) Compassionate leave up to 3 days</p> <p>vi) Compassionate leave up to 6 days</p> <p>vii) Special leave arrangements</p> <ul style="list-style-type: none"> <li>• paternity leave - up to 3 days</li> <li>• carers leave - up to 5 days</li> </ul> <p>viii) Leave without pay</p> <p>ix) Medical Staff Leave of Absence</p> <ul style="list-style-type: none"> <li>• Paid and unpaid</li> </ul> <p>x) Time off in lieu</p>	<p>Line Manager</p> <p>Line Manager</p> <p>Line Manager</p> <p>Line Manager</p> <p>Line Manager</p> <p>Line Manager</p> <p>Line Manager Line Manager</p> <p>Service Director/Budget Holder or Nominated Deputy</p> <p>Medical Director/Chief Executive</p> <p>Line Manager/Service Director</p>	
<p>h) <u>Sick Leave</u></p> <p>i) Extension of sick leave on half pay up to three months</p> <p>ii) Return to work part-time on full pay to assist recovery</p> <p>iii) Extension of sick leave on full pay</p>	<p>Executive Director in conjunction with People and Development Director - HR Service Director/Budget Holder or Nominated Deputy People and Development Director – HR or Chief Executive</p>	

DELEGATED MATTER	AUTHORITY DELEGATED TO	REFERENCE DOCUMENTS
<p>i) <u>Study Leave</u></p> <p>i) Non Medical Study leave outside the UK</p> <p>ii) All Medical staff study leave</p> <p>iii) All other study leave (UK)</p> <p>j) <u>Removal Expenses, Excess Rent and House Purchases</u></p> <p>Authorisation of payment of removal expenses incurred by officers taking up new appointments (providing consideration was promised at interview)</p> <p>i) up to £8,000</p> <p>ii) over £8,000</p> <p>k) <u>Grievance Procedure</u></p> <p>All grievances cases must be dealt with strictly in accordance with the Grievance Procedure and the advice of a Human Resources Officer must be sought when the grievance reaches the level of Service Manager</p> <p>l) <u>Authorised Mobile Phone Users</u></p> <p>Requests for new posts to be authorised as mobile telephone users</p> <p>m) <u>Staff Retirement Policy</u></p> <p>Authorisation of extensions of contract beyond normal retirement age.</p>	<p>Chief Executive</p> <p>Medical Director</p> <p>Line Manager</p> <p>People &amp; Development Director – HR</p> <p>Chief Executive</p> <p>People &amp; Development Director – HR</p> <p>Service Director</p> <p>Line Manager</p>	<p>Trust Grievance Procedure</p> <p>Mobile Communication Policy</p>

DELEGATED MATTER	AUTHORITY DELEGATED TO	REFERENCE DOCUMENTS
n) <u>Severance Payments</u> i) Redundancy ii) Compromise	Chief Executive with notification to the next Remuneration Sub-Committee  Approval – Remuneration Sub Committee Authority to negotiate – Director of Operations	
o) <u>Ill Health Retirement</u> Decision to pursue retirement on the grounds of ill-health	People & Development Director – HR	
p) <u>Dismissal</u>	Dismissing Officers	Disciplinary Procedures
<b>19. Authorisation of Sponsorship deals</b>	Chief Executive/ Medical Director	
<b>20. Authorisation of Research Projects</b>	Chief Executive/ Medical Director	
<b>21. Authorisation of Clinical Trials</b>	Chief Executive, /Medical Director	
<b>22. Insurance Policies</b>	Director of Finance	SFIs Section 19
<b>23. Risk Management</b>	Chief Executive	

DELEGATED MATTER	AUTHORITY DELEGATED TO	REFERENCE DOCUMENTS
<p><b>24. Patients &amp; Relatives Complaints</b></p> <p>a) Overall responsibility for ensuring that all complaints are dealt with effectively</p> <p>b) Responsibility for ensuring complaints relating to a directorate are investigated thoroughly.</p> <p>c) Medical – Legal Complaints Co ordination of their management.</p>	<p>Chief Executive Risk/Complaints Managers</p> <p>Chief Executive Risk/Complaints Managers</p> <p>Chief Executive Risk/Complaints Managers</p>	
<p><b>25. Relationships with Press</b></p> <p>All Enquiries</p>	<p>Chief Executive or Nominated Deputy.</p>	
<p><b>26. Extended Role Activities</b> Approval of Nurses to undertake duties / procedures which can properly be described as beyond the normal scope of Nursing Practice.</p>	<p>Director of Nursing and Integrated Governance</p>	<p>Nurse/Midwives/ Health Visitors Act Midwives Rules / Code of Practice UKCC Code of Professional Conduct</p>
<p><b>27. Facilities for staff not employed by the Trust to gain practical experience</b> Professional Recognition, Honorary Contracts, &amp; Insurance of Medical Staff. Work experience students</p>	<p>Director of Operations</p>	
<p><b>28. Review of fire precautions</b></p>	<p>Head of Estates &amp; Facilities</p>	
<p><b>29. Review of all statutory compliance legislation and Health and Safety requirements including control of Substance Hazardous to Health Regulations</b></p>	<p>Head of Estates &amp; Facilities / Risk Advisor</p>	

<b>DELEGATED MATTER</b>	<b>AUTHORITY DELEGATED TO</b>	<b>REFERENCE DOCUMENTS</b>
30. <b>Review of Medicines Inspectorate Regulations</b>	Medical Director	
31. <b>Review of compliance with environmental regulations, for example those relating to clean air and waste disposal</b>	Head of Estates & Facilities	
32. <b>Review of Trust's compliance with the Data Protection Act</b>	Director of Nursing and Integrated Governance	
33. <b>Monitor proposals for contractual arrangements between the Trust and outside bodies</b>	Director of Finance	
34. <b>Review the Trust's compliance with the Access to Records Act</b>	Director of Planning, Performance and Information	
35. <b>Review of the Trust's compliance code of Practice for handling confidential information in the contracting environment and the compliance with "safe haven" per EL 92/60</b>	Director of Nursing and Integrated Governance	
36. <b>The keeping of a Declaration of Interests Register.</b>	Chief Executive	SO Section 7
37. <b>The keeping of a register of Sealings</b>	Chief Executive	SO Section 10
38. <b>The keeping of the Hospitality Register</b>	Chief Executive	SO Section 9
39. <b>Retention of Records</b>	Chief Executive	SFIs Section 18
40. <b>Clinical Audit</b>	Director of Nursing and Integrated Governance	
41. <b>Legal Framework</b>	Nominated Non-Executive Director or Director of Finance	