

**SCHEME OF DELEGATION AND  
BOARD RESERVED POWERS**

**Introduction**

The NHS Foundation Trust Code of Governance requires that there should be a formal schedule of matters specifically reserved for decision by the Board of Directors. This document sets out the powers reserved to the Board of Directors and those that the Board of Directors has delegated. Notwithstanding any specific delegation, the Board of Directors remains accountable for all of its functions, including those which have been delegated. Therefore, the Board of Directors will also receive information about the exercise of delegated functions to enable it to perform its monitoring role.

All powers of the Trust, which have not been retained as reserved by the Board of Directors or delegated to a committee of the Board of Directors, shall be exercised on behalf of the Board of Directors by the Chief Executive or another Executive Director. The Scheme of Delegation identifies any functions which the Chief Executive shall perform personally and those delegated to other Executive Directors, Non-Executive Directors or Officers. All powers delegated by the Chief Executive can be reassumed by him/her should the need arise.

**Board, July 2016**

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# **FUNCTIONS WHICH ARE RESERVED FOR DECISION BY THE BOARD OF DIRECTORS:**

REFERENCE	DECISIONS RESERVED TO THE BOARD OF DIRECTORS
Constitution Paragraph 4	<p><b>General Enabling Provision</b></p> <p>The Board of Directors may determine any matter, for which it has delegated or statutory authority, it wishes in full session within its statutory powers, subject to any restrictions contained in the Trust's Constitution and/or the terms of its Authorisation.</p>
<p>Constitution Paragraph 4</p> <p>Constitution Paragraph 17.6</p> <p>Constitution Paragraph 23.1</p> <p>Constitution Paragraph 24</p> <p>Constitution paragraph 34.2</p> <p>Constitution Paragraphs 35, 36, 37</p> <p>Constitution Paragraph 40</p> <p>Constitution Paragraph 41.1</p> <p>Constitution Paragraph 41.2</p> <p>Constitution Paragraph 42.1</p>	<p><b>Constitutional Powers</b></p> <p>To exercise all powers of an NHS foundation trust set out in the NHS Act 2006, subject to any restrictions in the Trust's Licence; enforcement undertakings given to regulators or as delegated in accordance with this Scheme of Delegation.</p> <p>Request Replacement Governors from Partnership Organisations.</p> <p>Approve rates for travelling and other costs and expenses payable to members of the Council of Governors.</p> <p>Determine composition of the Board of Directors.</p> <p>Through the Nomination and Remuneration Committee, appoint, appraise, discipline and dismiss Executive Directors.</p> <p>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; Licence; latest Annual Accounts and Auditor's report on them; latest Annual Report and Forward Plan (previously known as the Trust's Five Year Plan, now forming part of the Sustainability and Transformation Plan for Hampshire and Isle of Wight); and any notice issued by the Independent Regulator under Section 52 of the NHS Act 2006.</p> <p>Keep accounts.</p> <p>Prepare Annual Report.</p> <p>Prepare Forward Plan (previously known as the Trust's Five Year Plan, now forming part of the Sustainability and Transformation Plan for Hampshire and Isle of Wight) and send to the Independent Regulator.</p> <p>Present Annual Accounts, any report of the Auditor on them and the Annual Report to the Council of Governors.</p>

REFERENCE	DECISIONS RESERVED TO THE BOARD OF DIRECTORS
<p>Constitution Paragraph 44.2 44.3</p> <p>Constitution Paragraph 45</p> <p>Constitution Paragraph 46</p> <p>Constitution Paragraph 47</p> <p>Constitution Annex 3, paragraph 1.3</p> <p>Constitution Rule 4, Election Rules, Annex 4</p> <p>Constitution Rule 6, Election Rules, Annex 4</p> <p>Constitution Rule 16, Election Rules, Annex 4</p> <p>Constitution Rule 22, Election Rules, Annex 4</p> <p>Constitution Rules 52 and 53, Election Rules, Annex 4</p> <p>Constitution Rules 58 and 59, Election Rules, Annex 4</p>	<p>Purchase and maintain insurance against liability.</p> <p>Receive and determine disputes under the Constitution, including disputes between the Council of Governors and Board of Directors, save for disputes about the entitlement to membership.</p> <p>Approve proposals to amend Constitution which must then be ratified by the Council.</p> <p>Apply for a merger, acquisition, separation or dissolution with the approval of more than half of the members of the Council of Governors.</p> <p>Enter into a Significant Transaction only if more than half of the members of the Council of Governors present and voting approve.</p> <p>Specify Partnership Organisations.</p> <p>Appoint Returning Officer.</p> <p>Approve payment of expenses and remuneration to Returning Officer.</p> <p>Make available for inspection by members of the public statements of nominated candidates and nomination papers.</p> <p>Approve and deliver to the Returning Officer a list of Members eligible to vote.</p> <p>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.</p> <p>Compile information about candidates standing for election to the Council of Governors and publish information about the candidates and the election.</p>
<p>Constitution Paragraph 1</p>	<p><b>Regulations and Control</b></p> <p>Approve Standing Orders for the Board of Directors (SOs), the Scheme of Delegation, Standing Financial Instructions (SFIs) and the Directors' and Governors' Code of Conduct for the regulation of their proceedings and business.</p>

REFERENCE	DECISIONS RESERVED TO THE BOARD OF DIRECTORS
SO 4	Resolve to require withdrawal of the press and public from meetings of the Board of Directors.
SO4	Determine arrangements and terms and conditions associated with invitations to observers, advisors and others to attend and address meetings of the Board of Directors.
SO 4.2	Call meetings of the Board of Directors.
SO 4.10	Approve minutes of the proceedings of meetings of the Board of Directors.
SO4.14	Resolve to adjourn any meeting of the Board of Board of Directors.
SO 5.2 (Emergency powers)	Ratify any urgent decisions taken by the Chair and Chief Executive in public session in.
SO 5.3 (Delegation to committees)	Establish terms of reference and reporting arrangements of all committees and sub-committees that are established by the Board of Directors.
SO 5.4 (Delegation to an Executive Director)	Approve a Scheme of Delegation and Board Reserved Powers.
SO 5.6 (Duty to report non-compliance with Standing Orders).	Ratify or otherwise instances of failure to comply with Standing Orders.
Constitution Paragraph 24 (Board of Directors – Composition) and SO 6.2 (Committees of the Board)	Adopt the organisation structures, processes and procedures to facilitate the discharge of business by the Trust and to agree modifications thereto. For clarity this would comprise details of the structure of the Board and its committees and the directorate structure of the Trust.
SO 7 (Declaration of interests)	Require and receive the declaration of Directors' interests that may conflict with those of the Trust and determine the extent to which each Director may remain involved with the matter under consideration.
SO 8 (Suspension of Standing Orders)	Suspend SOs.
SO 9.2 (Sealing of documents).	Authorise use of the common seal of the Trust.
10.2 (Review of SOs)	Review the SOs annually.
Business Conduct for Staff Interests, Gifts, Hospitality, Sponsorship and Bribery Act	Require and receive the declaration of Officers' interests that may conflict with those of the Trust.  Approve arrangements for dealing with complaints.

REFERENCE	DECISIONS RESERVED TO THE BOARD OF DIRECTORS
<p>Committee terms of reference</p> <p>Committee terms of reference</p> <p>SFI 7.1 (Bank and GBS Accounts – General)</p> <p>SFI 18 (Patients' property)</p> <p>SFI 19 (Funds held on trust)</p>	<p>Receive reports from committees of the Board of Directors and/or the Council of Governors including those reports that the Trust is required by the Independent Regulator or other statutory or contractual obligation to establish and to take appropriate action on.</p> <p>Confirm the recommendations of the Trust's committees where the committees do not have executive powers.</p> <p>Approval of the Trust's banking arrangements such as the opening and closing of any bank or investment accounts.</p> <p>Approve arrangements relating to the discharge of the Trust's responsibility to provide safe custody for patients' property.</p> <p>Approval of arrangements relating to the discharge of the Trust's responsibilities as a corporate trustee for funds received in trust and Funds Held on Trust.</p> <p>Approval of the disciplinary procedure for Officers of the Trust.</p> <p>Discipline members of the Board of Directors or Officers who are in breach of statutory requirements or SOs.</p> <p>Approval of the Trust's Major Incident Plan.</p>
<p>SO 6.3.1</p>	<p><b>Appointments/ Dismissal</b></p> <p>Approve the appointments/dismissals of individuals to each of the committees established by the Board of Directors.</p>
<p>SFI 5.1 (Preparation and approval of business plans and Budgets)</p> <p>SFI 5.1 (Preparation and approval of business plans and Budgets)</p> <p>SFI 5.3 (Budgetary control and reporting)</p>	<p><b>Strategy, Business Plans and Budgets</b></p> <p>Define the strategic aims and objectives of the Trust.</p> <p>Exercise financial supervision and control including formulating the financial strategy and approval annually of Trust budgets.</p> <p>Approve the Annual Plan and Forward Plan (previously known as the Trust's Five Year Plan, now forming part of the Sustainability and Transformation Plan for Hampshire and Isle of Wight).</p> <p>Approve any likely overspend or reduction in income which cannot be met by virement.</p>

REFERENCE	DECISIONS RESERVED TO THE BOARD OF DIRECTORS
<p>SFI 9.21 (Private finance for capital procurement) and SFI 14.2 (Private finance)</p> <p>SFI 11.3 (Appointments)</p> <p>SFI 11.3 (Appointments)</p> <p>SFI 12 (Non-pay expenditure)</p> <p>SFI 13.2 (Borrowing procedure)</p> <p>SFI 16.2 (Condemnations, losses and special payments)</p> <p>SFI 23 (Risk Management)</p> <p>SFI 24 (Insurance)</p> <p>Annex 2, Appendix 1</p>	<p>Approve final business cases for the use of private finance (including PFI) for capital schemes.</p> <p>Approve procedures for the determination of pay rates and conditions of service for officers.</p> <p>Approve the appointment of management consultants where the total spend will exceed £50,000.</p> <p>Approve levels of non-pay expenditure.</p> <p>Agree list of officers who are authorised to make borrowings.</p> <p>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 Chief Finance Officer (for losses and special payments) previously approved by the Board.</p> <p>Approve and monitor the Trust's programme of risk management, which must identify risks and liabilities, evaluate them and ensure adequate responses are in place and are monitored.</p> <p>Review use of NHSLA risk pooling schemes, commercial insurers and self-insurance.</p> <p>Approve proposals on individual contracts of a capital or revenue nature amounting to, or likely to amount to over £3,000,000 over a 3 year period or the period of the contract if longer.</p> <p>Approve proposals for action on litigation against or on behalf of the Trust.</p>
<p>Committee terms of reference</p>	<p><b>Policy Determination</b></p> <p>Approve management policies including personnel policies incorporating the arrangements for the appointment, removal and remuneration of staff. Policies so adopted shall be set out on the Trust website.</p> <p>Approve annually Trust's proposed organisational development proposals.</p> <p>Determine specific responsibilities placed on the Board of Directors and delegated to nominated officers and committees.</p>

REFERENCE	DECISIONS RESERVED TO THE BOARD OF DIRECTORS
Committee terms of reference	<b>Monitoring</b> Receive such reports as the Board of Directors sees fit from committees in respect of their exercise of powers delegated.
Regulatory returns	Continuous appraisal of the affairs of the Trust by means of the provision to the Board of Directors as the Board of Directors may require of reports 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 the Independent Regulator and the Charity Commission or as required by any other regulatory or contractual obligation shall be reported, at least in summary, to the Board of Directors.
SFI 5.1 (Preparation and approval of business plans and budgets)	Receive the Annual Business Plan from the Chief Executive and other reports from the Chief Finance Officer on financial performance against the Budget, the Annual Business Plan and the Trust's Forward Plan (also known as the Trust's Five Year Plan, now forming part of the Sustainability and Transformation Plan for Hampshire and Isle of Wight).
SFI 5.3 (Budgetary control and reporting)	Approve the form for the monthly financial report received by the Board of Directors. Receive a monthly report on financial performance.
SFI 6 (Accounts, Annual Accounts and Annual Report, the Annual and Forward Plan)	Ensure that the Annual Accounts, any report of the Auditor on them and the Annual Report are presented to the Council of Governors at a general meeting.



## DECISIONS/DUTIES DELEGATED BY THE BOARD TO COMMITTEES

COMMITTEE	DUTIES DELEGATED BY THE BOARD TO COMMITTEES
NOMINATION AND REMUNERATION COMMITTEE	See terms of reference (available from Company Secretary) and SFI 11.1 (Remuneration, allowances and terms and conditions of office – Executive Directors).
AUDIT, ASSURANCE AND RISK COMMITTEE	See terms of reference (available from Company Secretary) and SFI 4.1 (Audit, Assurance and Risk Committee).
CHARITABLE FUNDS COMMITTEE	See terms of reference (available from Company Secretary).
TRUST EXECUTIVE GROUP	See terms of reference (available from Company Secretary)
QUALITY AND SAFETY COMMITTEE	See terms of reference (available from Company Secretary)
SERVICE PERFORMANCE AND TRANSFORMATION COMMITTEE	See terms of reference (available from Company Secretary).
STRATEGIC WORKFORCE COMMITTEE	See terms of reference (available from Company Secretary).

## SCHEME OF DELEGATION OF POWERS BY THE BOARD TO COMMITTEES AND MANAGEMENT

REFERENCE	DELEGATED TO	AUTHORITIES/DUTIES DELEGATED
Constitution Paragraph 4.4	Mental Health Act Managers	Functions pursuant to Section 23 of the Mental Health Act 1983 (as amended).
Constitution Paragraph 6.1	Company Secretary	Prescribe application form for membership of the Trust.
Constitution Paragraph 7.5	Company Secretary	Require applicants for membership of the Public Constituency to supply supporting evidence to confirm eligibility for membership.
Constitution Paragraph 7	Company Secretary	Enter applicants' names into the Trust's Register of Members.
Constitution Paragraph 10.4	Company Secretary	Receive Members' complaints about other Members.
Constitution Paragraph 10.7	Company Secretary	Accept resignations by Governors and Members.
Constitution Paragraph 15.5	Company Secretary	Declare Governors disqualified from office.
Constitution Paragraph 15.5	Company Secretary	Declare Governors either disqualified from office or temporarily suspended from office.
Constitution Paragraph 15.5	Company Secretary	Deliver disqualification notices to Members, determine continued eligibility (if any) and remove Members from the Trust's register of Members.
Constitution Paragraph 19.1	Chair/Vice Chair	Have a second or casting vote at meetings of the Council of Governors.
Constitution Paragraph 35.2	Company Secretary	Compile and maintain the Trust's registers of: Members; members of the Council of Governors; interests of the members of the Council of Governors; members of the Board of Directors; and interests of the members of the Board of Directors.
Constitution Paragraph 39	Audit, Assurance and Risk Committee	<b>Audit</b> <ol style="list-style-type: none"> <li>1. Approve arrangements for Internal Audit and the appointment of the Internal Auditors in accordance with SFI 4.3 (Role of Internal Auditor).</li> <li>2. Receive an annual report from the Internal Auditor and agree action on recommendations where appropriate.</li> <li>3. Receive the annual management letter from the Auditor and agree any proposed action, taking account of the advice, where appropriate.</li> </ol>
Constitution Paragraph 40.5	Accounting Officer (Chief Executive)	Preparation of Annual Accounts.

REFERENCE	DELEGATED TO	AUTHORITIES/DUTIES DELEGATED
Constitution Paragraph 45	Company Secretary	Receive and determine membership disputes.
Constitution Paragraph 45	Chair	Receive and determine non-membership disputes and disputes between the Council of Governors and the Board of Directors.
Constitution Paragraph 46.1	Council	Ratify any amendment to the Constitution
Constitution Annex 2	Company Secretary	Allocate individuals to classes within the Staff Constituency.
Constitution Annex 2	Company Secretary	Accept letters of appointment for Local Authority Governors and Partnership Governors.
Constitution Rules 52 and 53, Election Rules, Annex 4	Chair	Receive documents relating to polls from Returning Officer.
Constitution Annex 5 paragraph 3	Council	Prepare and from time to time review the Foundation Trust's membership strategy.
	Company Secretary	<ol style="list-style-type: none"> <li>1. Ensure information flows within the Board of Directors and its committees and between senior management and the Council of Governors and Members.</li> <li>2. Ensure compliance with Standing Orders for the Council of Governors and Board of Directors.</li> <li>3. Advise Directors and Governors on governance matters.</li> <li>4. Advise and support Directors with personal development initiatives.</li> </ol>
	Chief Executive and Chair	Appoint, appraise, discipline and dismiss the Company Secretary of the Trust.
SO 4.7.2	Chair	Exercise final authority in interpretation of Standing Orders (SOs).
SO 4	Chair	Issue directions regarding arrangements for meetings of the Board of Directors and accommodation of the public and press.
SO 4.2	Chair	Call meetings.
SO 4.4.2	Company Secretary	Dispatch notices of meetings of the Board of Directors, together with agendas and supporting papers.
SO 4.4.4	Chair	Give final ruling to permit late requests for items to be included on the Board of Directors' agenda.
SO 4.4.4	Chair	Receive petitions on behalf of the Trust and to include the same as Board of Directors' agenda items.
SO 4.6	Chair	Chair all meetings of the Board of Directors. In the absence of the Chair, the deputy chair or other nominated non-executive director will chair the meeting.
SO 4.7.2	Chair	Give final ruling in questions of order, relevancy, regularity and any other procedural matters.

REFERENCE	DELEGATED TO	AUTHORITIES/DUTIES DELEGATED
SO 4.5.1	Chair	Give final ruling to requests to permit emergency motions.
SO 4.5.1	Chair	Give final ruling to requests to permit written motions.
SO 4.7.2	Chair	Give final ruling in questions of order and procedure on handling motions and associated matters (including proposals, contents of motions, amendments to motions, withdrawals of motions, debate of motions, rescinding of resolutions and voting) at meetings of the Board of Directors.
SO 4.9	Chair	Have a second or casting vote.
SO 4.10.1	Company Secretary	Prepare minutes of the proceedings of meetings of the Board of Directors.
SO 4.10.1	Chair	Sign minutes of the proceedings of meetings of the Board of Directors.
SO 8.5	Audit, Assurance and Risk Committee	Review every decision to suspend Standing Orders (power to suspend Standing Orders is reserved to the Board of Directors).
SO 5.2.1	Chair and Chief Executive together	Have power in emergencies or in cases where an urgent decision needs to be exercised by the Chief Executive and Chair after consulting at least two Non-Executive Directors.
SO 5.4.2	Chief Executive	Prepare the Scheme of Delegation identifying proposals that shall be considered and approved by the Board of Directors subject to any amendment agreed during the discussion.
SO 7.4	Directors	Declare relevant and material interests (including direct or indirect interests and actual or potential interests) and any pecuniary interest in any contract, proposed contract or other matter under consideration by the Board of Directors.
SO 7.3.4	Company Secretary	Compile and maintain the register of interests of Governors.
SO 7.4.5	Company Secretary	Compile and maintain the register of interests of Directors.
SO 2.7	Directors	Comply with the Code of Conduct.
SO 3.3	Governors	Comply with the Code of Conduct.
SO 7.5.2	Directors and Governors	Have a duty not to solicit for any person any appointment under the Trust, or recommend any person for appointment.
SO 9.1	Chief Executive or a nominated officer.	Have custody of the common seal of the Trust.
SO 9.2.2	Chief Executive and Chief Finance Officer	Chief Finance Officer to approve and sign any building, engineering, property or capital document and the Chief Executive to countersign.
SO 9.4.1	Chief Executive	Sign any document required as a necessary step in legal proceedings involving the Trust (unless any enactment otherwise requires or authorises, or the Board shall have given the necessary authority to some other person)
SO 9.4.2	Chief Executive or nominated officers	Have authority to sign any agreement or document (save for deeds) the subject matter of which has been approved by the Board of Directors or a committee thereof.
SO 10.1.1	Chief Executive	Have a duty to ensure that the Board, Council and new appointees are notified of and understand their responsibilities within the SOs.
SO 10.1.1	Company Secretary	Have a duty to distribute SOs to newly appointed Directors and Nominated Officers.

REFERENCE	DELEGATED TO	AUTHORITIES/DUTIES DELEGATED
SFI 1.7	CHIEF FINANCE OFFICER	Approval of all financial procedures.
SFI 1.8	CHIEF FINANCE OFFICER	Advice on interpretation or application of SFIs.
SFI 1.10	ALL MEMBERS OF THE BOARD AND OFFICERS	Duty to disclose any non-compliance with these Standing Financial Instructions to the Chief Finance Officer as soon as possible together with full details of the non-compliance and the circumstances around non-compliance.
SFI 2.1	CHAIR ON ADVICE FROM CHIEF EXECUTIVE OR CHIEF FINANCE OFFICER	Final authority on interpretation of Standing Financial Instructions (SFIs).
SFI 3.2.1 -3.2.4	CHIEF EXECUTIVE	Responsible as the Accounting Officer to ensure that the Board of Directors meets its obligations to perform its functions within the available financial resources, and has overall executive responsibility for the Trust's activities, is responsible to the Chair and the Board of Directors for ensuring that its financial targets and obligations are met and has overall responsibility for the System of Internal Control.
SFI 3.2.5	CHIEF EXECUTIVE	Responsible for propriety and regularity of public finances, keeping proper accounts as set out in the Constitution, prudent and economical administration of Trust affairs, avoidance of waste and extravagance and the efficient and effective use of all resources.
SFI 3.2.6 & 3.3.4	CHIEF EXECUTIVE & CHIEF FINANCE OFFICER	Accountable for financial control but will, as far as possible, delegate their detailed responsibilities.
SFI 3.2.7	CHIEF EXECUTIVE	To ensure all existing Directors and Officers and all new appointees, present and future, are notified of and understand their responsibilities within Standing Financial Instructions.
SFI 3.3.1 -3.3.2	CHIEF FINANCE OFFICER	Responsible for: <ul style="list-style-type: none"> <li>a) Implementing the Trust's financial policies and for coordinating corrective action necessary to further these policies;</li> <li>b) Maintaining an effective system of internal financial control including ensuring detailed financial procedures and systems incorporating the principles of separation of duties and internal checks are prepared, documented and maintained;</li> <li>c) Ensuring that sufficient records are maintained to explain Trust's transactions and financial position;</li> <li>d) Deciding at what stage to involve the police in cases of misappropriation and fraud</li> <li>e) Providing financial advice to the Trust, the Board of Directors and Officers;</li> <li>f) Preparing and maintaining such accounts, certificates, estimates, records and reports as are required for the Trust to carry out its statutory duties.</li> <li>g) The design, implementation and supervision of systems of internal control.</li> </ul>
SFI 3.4	ALL MEMBERS OF THE	Responsible for security of the Trust's property, avoiding loss, exercising economy and efficiency in using resources

REFERENCE	DELEGATED TO	AUTHORITIES/DUTIES DELEGATED
	BOARD AND OFFICERS	and conforming to Standing Orders, Standing Financial Instructions and the Scheme of Delegation.
SFI 3.5.1	CHIEF EXECUTIVE	Ensure that any Officer, including a 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.
SFI 4.1.3	CHAIR OF THE AUDIT, ASSURANCE AND RISK COMMITTEE	Where there is evidence of ultra vires transaction or improper acts or other important matters these should be raised at the Board of Directors.
SFI 4.2.1	CHIEF FINANCE OFFICER	a) Ensure that there are arrangements to review, evaluate and report on the effectiveness of internal financial control including the establishment of an effective Internal Audit function b) Ensure that the Internal Audit Function meets the Independent Regulator's Internal Audit standards and provides sufficient independent and objective assurance to the Audit, Assurance and Risk Committee and the Accounting Officer c) Ensure the annual audit report is prepared for consideration by the Audit, Assurance and Risk Committee and the Board of Directors
SFI 4.3	HEAD OF INTERNAL AUDIT VIA CHIEF FINANCE OFFICER	Review, appraise and report in accordance with NHS Internal Audit Standards and best practice and provide to the Audit, Assurance and Risk Committee a risk based plan of internal audit work, regular updates, reports on the management progress on the implementation of action agreed as a result of internal audit findings, an annual opinion, a report supporting assurances to the Independent Regulator and any additional reports as required by the Audit, Assurance and Risk Committee.
SFI 4.4	CHIEF EXECUTIVE AND AUDIT, ASSURANCE AND RISK COMMITTEE	Ensure cost-effective External Audit and compliance with the Constitution and relevant Audit Code for NHS Foundation Trusts.
SFI 4.5.1	CHIEF EXECUTIVE & CHIEF FINANCE OFFICER	Monitor and ensure compliance with the guidance issued by the Independent Regulator or NHS Protect of the NHS Business Services Authority on fraud and corruption including the appointment of the Local Counter Fraud Specialist.
SFI 4.5.11	CHIEF FINANCE OFFICER	Preparation of the Fraud Response Plan
SFI 4.5.2 - 4.5.10	CHIEF FINANCE OFFICER	Ensure that the Local Counter Fraud Specialist is appropriately trained to carry out his/her functions, prepares a workplan, reports to the Audit, Assurance and Risk Committee and is able to fully investigate all instances of fraud and suspected fraud.
SFI 4.5.12	ANY OFFICER	Immediately inform their head of department who will inform the Chief Executive and Chief Finance Officer or an Officer charged with investigating loss or fraud or confidentiality on receipt of any information concerning the discovery of or suspicion of any loss or fraud
SFI 4.6.12	CHIEF FINANCE OFFICER	Immediately inform the LCFS and Operational Fraud Team on receipt of information concerning the discovery or suspicion of fraud.
SFI 4.5.12 –	CHIEF FINANCE	Immediately inform the police if theft or arson is involved but in the case of fraud or corruption will determine the

REFERENCE	DELEGATED TO	AUTHORITIES/DUTIES DELEGATED
4.5.13	OFFICER	appropriate stage in which to involve the police based on the facts of the case. Notify the Auditor of all identified frauds. Notify the Board and the Auditor of losses apparently caused by theft, fraud, arson, neglect of duty or gross carelessness except if trivial and where fraud is not suspected.
SFI 4.6	CHIEF EXECUTIVE	Security management and the appointment of a Local Security Management Specialist and the provision and promotion of security measures and reporting issues to the Audit, Assurance and Risk Committee and Board of Directors.
SFI 4.6.8	CHIEF FINANCE OFFICER	Prepare an annual workplan with the Local Security Management Specialist.
SFI 5.1.1	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 annual business plan is based;</li> <li>• details of major changes in workload, delivery of services or resources required to achieve the Annual business plan.</li> </ul>
SFI 5.1.2 – 5.1.3	CHIEF FINANCE OFFICER	Submit budgets to the Board for approval. Monitor performance against budget and the business plan; periodically review them and report to the Board of Directors.
SFI 5.1.5	CHIEF FINANCE OFFICER	Ensure adequate training is delivered on an ongoing basis to budget holders to help them manage their financial budget successfully.
SFI 5.2.1	CHIEF EXECUTIVE	Delegate the management of a budget to permit the performance of a defined range of activities to budget holders.
SFI 5.2.2	CHIEF EXECUTIVE & BUDGET HOLDERS	Must not exceed the budgetary total or virement limits set by the Board of Directors.
SFI 5.3.1	CHIEF FINANCE OFFICER	Devise and maintain systems of budgetary control.
SFI 5.3.2	BUDGET HOLDERS	Ensure that <ul style="list-style-type: none"> <li>a) no overspend or reduction of income that cannot be met from virement is incurred without prior consent of Board of Directors;</li> <li>b) the amount provided in the approved budget is not used in whole or in part for any purpose other than the specified purpose;</li> <li>c) no permanent Officers are appointed without the approval of the Chief Executive other than those provided for within available resources and manpower establishment as approved by the Board of Directors.</li> </ul>
SFI 5.3.3	CHIEF EXECUTIVE	Identify and implement cost improvements and income generation activities in line with the Annual Business Plan, the Trust's Forward Plan and a balanced budget.
SFI 5.5.1	CHIEF EXECUTIVE	Submit monitoring returns to the Regulators as required.

REFERENCE	DELEGATED TO	AUTHORITIES/DUTIES DELEGATED
SFI 6.1 – 6.2	CHIEF FINANCE OFFICER	Maintain accounts in accordance with requirements.
SFI 6.3	CHIEF EXECUTIVE	Preparation and submission of financial returns, annual accounts and reports to HM Treasury and Independent Regulator as necessary.
SFI 7.1 – 7.3	CHIEF FINANCE OFFICER	Managing banking arrangements, advising the Trust on the provision of banking services and operation of accounts
SFI 7.4	CHIEF FINANCE OFFICER	a) Review the banking arrangements of the Trust at regular intervals to ensure they reflect best practice and represent best value for money by periodically seeking competitive tenders for the Trust's banking business. b) Ensure competitive tenders are sought at least every five (5) years and the results of such a tendering exercise reported to the Board of Directors.
SFI 8.1 – 8.4	CHIEF FINANCE OFFICER	Designing, maintaining and ensuring compliance with systems for the proper recording, invoicing and collection of monies and coding of all monies including, but not limited to, prompt banking, review and approval of fees and charges, debt recovery arrangements, design and control of receipts, provision of adequate facilities and systems for Officers whose duties include collecting or holding cash.
SFI 8.2.2	ALL OFFICERS	Duty to inform Chief Finance Officer promptly of money due from transactions which they initiate/deal with.
SFI 9.1.3	CHIEF EXECUTIVE	The Chief Executive shall nominate an officer to oversee and manage the contract on behalf of the Trust.
SFI 9.5.1	CHIEF EXECUTIVE & CHIEF FINANCE OFFICER	Waive formal tendering procedures where it is not applicable to follow a competitive tendering process.
SFI 9.5.3	CHIEF FINANCE OFFICER	Report waivers of tendering procedures to the Board and the Audit, Assurance and Risk Committee where the value of the contract is over £25,000.
SFI 9.7.1	CHIEF FINANCE OFFICER	Record items purchased according to limits set in this Scheme of Delegation and Board Reserved Powers which subsequently prove to have a greater value and report to the Audit, Assurance and Risk Committee.
SFI 9.9	CHIEF EXECUTIVE OR NOMINATED OFFICER	Responsible for the receipt, endorsement and safe custody of tenders received until the time appointed for their opening.
SFI 9.10	CHIEF EXECUTIVE	Ensure tenders are opened by two independent officers.
SFI 9.11.1	CHIEF EXECUTIVE	Approve any contract to be awarded where the designated officers consider that the tenders received are not strictly competitive.
SFI 9.11.2	CHIEF EXECUTIVE AND CHIEF FINANCE OFFICER OR ASSOCIATE DIRECTOR OF ESTATES AND FACILITIES MANAGEMENT	Where only one tender is sought and/or received shall, as far as practicable, ensure that the price to be paid is fair and reasonable and will ensure value for money for the Trust.



REFERENCE	DELEGATED TO	AUTHORITIES/DUTIES DELEGATED
SFI 9.12	CHIEF FINANCE OFFICER	Responsible for treatment of 'late tenders' and reporting those accepted to Audit, Assurance and Risk Committee.
SFI 9.14.4	CHIEF FINANCE OFFICER	Authorise the acceptance of any tender which will commit expenditure in excess of that which has been allocated by the Trust.
SFI 9.14.6	CHIEF FINANCE OFFICER OR NOMINATED OFFICER	Record the rejection of any tender and the reasons for this.
SFI 9.16.1.1	ASSOCIATE DIRECTOR FOR ESTATES AND FACILITIES MANAGEMENT	Maintain a list of approved firms for Estates Services.
SFI 9.16.3	CHIEF FINANCE OFFICER, OR NOMINATED OFFICER INCLUDING ASSOCIATE DIRECTOR FOR ESTATES AND FACILITIES MANAGEMENT	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 where it is impractical to use a potential contractor from the list of approved firms/individuals or where a list has not been prepared. Where a supplier is chosen that is not on the approved list the reason shall be recorded in writing to the Chief Executive.
SFI 9.17.5	CHIEF EXECUTIVE OR NOMINATED OFFICER	Evaluate the quotations and select the quote which gives the best value for money documenting any reasons for not accepting the lowest quotation.
SFI 9.28.1	CHIEF EXECUTIVE	Ensure that best value for money can be demonstrated for all services provided under contract or in-house.
SFI 9.21 & 14.2	CHIEF FINANCE OFFICER	Demonstrate that the use of private finance represents value for money and genuinely transfers risk to the private sector.
SFI 9.22.1	CHIEF EXECUTIVE	Nominate Officers with delegated authority to enter into and manage contracts of employment of other Officers and enter into contracts for the employment of agency staff or temporary staff service contracts.
SFI 9.23.2 & 9.23.3	CHIEF EXECUTIVE	Nominate officers to commission and enter into contracts with health service bodies and providers. Ensure regular reports to the Board of Directors.
SFI 9.27	CHIEF EXECUTIVE	Determine the method of disposal of assets and consumables.
SFI 10.1	CHIEF EXECUTIVE	Ensure the Trust enters into suitable legally binding agreements with service commissioners for the provision of NHS services that provide quality and cost effective services.
SFI 11.1.3	NOMINATION AND REMUNERATION	Advise the Board on and make recommendations on the remuneration and terms of service of the CEO and Executive Directors and other senior Officers to ensure they are fairly rewarded having proper regard to the Trust's

REFERENCE	DELEGATED TO	AUTHORITIES/DUTIES DELEGATED
	COMMITTEE	<p>circumstances and any national agreements;</p> <p>Monitor and evaluate the performance of individual Executive Directors of the Trust;</p> <p>Advise on and oversee appropriate contractual arrangements for all Directors including proper calculation and scrutiny of termination payments taking account of such national guidance as appropriate.</p> <p>Report in writing to the Board of Directors its advice and its bases about remuneration and terms of service of the Chief Executive and other Executive Directors.</p>
SFI 11.4.2	CHIEF EXECUTIVE OR CHIEF FINANCE OFFICER	Approve variation to funded establishment of any department.
SFI 11.3	CHIEF EXECUTIVE OR RELEVANT DELEGATED DIRECTOR	Authorisation of the engagement, re-engagement, re-grade, hire or change in remuneration of any Officer including agency staff engaged either on a temporary or permanent basis, within the limit of the approved budget and funded establishment.
SFI 11.4	DIRECTOR OF WORKFORCE, DEVELOPMENT & COMMUNICATIONS	<p>Payroll:</p> <ul style="list-style-type: none"> <li>a) specifying timetables for submission of properly authorised time records and other notifications;</li> <li>b) final determination of pay and allowances;</li> <li>c) making payments on agreed dates;</li> <li>d) agreeing method of payment.</li> </ul>
SFI 11.4.3	DIRECTOR OF WORKFORCE, DEVELOPMENT & COMMUNICATIONS AND NOMINATED MANAGERS	<p>Submission of time records and notifications in accordance with agreed timetables.</p> <p>Completion of time records and other notifications in accordance with the Director of Workforce, Development &amp; Communications' instructions and in a form prescribed by the Director of Workforce, Development &amp; Communications .</p> <p>Submitting termination forms to the Director of Workforce, Development &amp; Communications in the prescribed form immediately upon knowing the effective date of an Officer's resignation, termination or retirement.</p> <p>Notifying the Director of Workforce, Development &amp; Communications immediately, who must in turn inform the Chief Finance Officer where an Officer fails to report for duty or to fulfill obligations in circumstances that suggest they have left without notice.</p>
SFI 11.4.4	CHIEF FINANCE OFFICER AND/OR DIRECTOR OF WORKFORCE, DEVELOPMENT & COMMUNICATIONS	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.
SFI 11.5.1	NOMINATED OFFICER	Ensure that all Officers and Executive Directors are issued with a Contract of Employment in a form approved by the Board of Directors and which complies with employment legislation.

REFERENCE	DELEGATED TO	AUTHORITIES/DUTIES DELEGATED
		Deal with variations to, or termination of, contracts of employment.
SFI 12.1	CHIEF EXECUTIVE	Determine the level of delegation for non-pay expenditure.
SFI 12.1.3	CHIEF EXECUTIVE	Set out procedures on the seeking of professional advice regarding the supply of goods and services.
SFI 12.2.1	REQUISITIONING OFFICER	Obtain the best value for money for the Trust for items to be supplied. Seek the advice of the Procurement Department or the Head of Procurement and/or the Chief Finance Officer. For requisitions over £100,000 the requisitioning Officer should consult the Head of Procurement.
SFI 12.2.2	CHIEF FINANCE OFFICER	Responsible for the prompt payment of accounts and claims subject to parameters agreed by the Board of Directors.
SFI 12.2.3.1.2	APPROPRIATE EXECUTIVE DIRECTOR OR NOMINATED OFFICER	Make a written case to support the need for a prepayment, setting out all the relevant circumstances of the purchase and the effects on the Trust if the supplier is at some time during the course of the prepayment agreement unable to meet his/her commitments
SFI 12.2.3.1.3	CHIEF FINANCE OFFICER	Approve proposed prepayment arrangements taking into account the EU public procurement rules where the contract is above a stipulated financial threshold.
SFI 12.2.3.1.4	BUDGET HOLDER	Ensure that all items due under a prepayment contract are received (and immediately inform as necessary the appropriate Director or the Chief Executive Officer if problems are encountered).
SFI 12.2.4.1.2	CHIEF FINANCE OFFICER	Approve the form of Official Orders. Authorise who may use and be issued with official orders.
SFI 12.2.5.1	OFFICERS	Ensure that they comply fully with the guidance and limits specified by the Chief Executive and the requirements detailed at SFI 9
SFI 12.2.6	CHIEF FINANCE OFFICER	Lay down procedures for joint finance payments to local authorities and voluntary organisations made under the powers of section 75 of the NHS Act 2006.
SFI 13.1.2	CHIEF FINANCE OFFICER	Advise the Board of Directors on the Trust's ability to pay dividend on, and repay PDC and any proposed new borrowing and report periodically, concerning the Trust's debt and all loans and overdrafts.
SFI 13.2.3	CHIEF FINANCE OFFICER	Prepare detailed procedural instructions concerning applications for loans and overdrafts, and the operation of investment accounts.
SFI 13.2.5	CHIEF EXECUTIVE OR CHIEF FINANCE OFFICER	Be on an authorising panel comprising one other member for short term borrowing approval and inform the Board of Directors of all short term borrowings at the next Board Meeting.
SFI 13.3.2	CHIEF FINANCE OFFICER	Advise the Board on investments and report periodically to the Board on performance of same.
SFI 14.1.1–14.1.2	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 business plans;

REFERENCE	DELEGATED TO	AUTHORITIES/DUTIES DELEGATED
		b) be responsible for the management of all stages of capital schemes and for ensuring that they are delivered on time and within cost; c) ensure that capital investment is not undertaken without confirmation of purchaser support and the availability of resources to finance all revenue consequences, including capital charges; d) ensure that a business case is produced for every capital proposal setting out the matters referred to at SFI 14.1.2.1.1 – 14.1.2.1.3.
SFI 14.1.2.2	CHIEF FINANCE OFFICER	Certify the costs and revenue consequences detailed in the business case.
SFI 14.1.3	CHIEF EXECUTIVE	Issue procedures for management of contracts for capital schemes which stipulate stage payments.
SFI 14.1.5	CHIEF EXECUTIVE	Issue to the Officer responsible for any capital scheme specific 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.
SFI 14.1.6	CHIEF FINANCE OFFICER	Issue procedures governing the financial management, including variations to contract, of capital investments projects and valuation for accounting purposes. Ensure compliance with any guidance issued by the Independent Regulator regarding financial reporting in the production of the Trust's Annual Accounts and Annual Reports concerning the accounting treatment of capital investments.
SFI 14.2.1.1	CHIEF FINANCE OFFICER	Demonstrate that the use of private finance represents value for money and genuinely transfers significant risk to the private sector.
SFI 14.3.1	CHIEF EXECUTIVE	Maintain asset registers taking account of the guidance of the Independent Regulator concerning the form and content of any register and the method of updating the register in question.
SFI 14.3.4	CHIEF FINANCE OFFICER	Approve procedures for reconciling balances on fixed assets accounts in ledgers against balances on fixed asset registers.
SFI 14.3.7	CHIEF FINANCE OFFICER	Calculate and pay capital charges as specified by any relevant guidance issued by the Independent Regulator regarding the financial reporting procedures for NHS foundation trusts. .
SFI 14.4.1	CHIEF EXECUTIVE	Overall responsibility for the control of fixed assets.
SFI 14.4.2	CHIEF FINANCE OFFICER	Approval of asset control procedures.
SFI 14.4.4	MEMBERS OF THE BOARD & SENIOR OFFICERS	Responsibility to apply routine security practices in relation to Trust property as may be determined by the Board of Directors. Any breach should be reported in accordance with agreed procedures.
SFI 15.2.1	CHIEF EXECUTIVE & NOMINATED OFFICER	Overall responsibility for control of stocks and stores may be delegated to an Officer. Further delegation for day-to-day responsibility to departmental Officers subject to such delegation being recorded in a record available to the Chief Finance Officer.

REFERENCE	DELEGATED TO	AUTHORITIES/DUTIES DELEGATED
SFI 15.2.1	DESIGNATED PHARMACEUTICAL OFFICER	Responsible for the control of any Pharmaceutical stocks
SFI 15.2.1	DESIGNATED ESTATES OFFICER	Responsible for control of stocks of fuel, oil, coal and gas.
SFI 15.2.2	RELEVANT DESIGNATED OFFICER	Responsibility for defining in writing the security arrangements relating to the custody of keys for all stores and locations.
SFI 15.2.3	CHIEF FINANCE OFFICER	Set out procedures and systems to regulate the stores including receipt of goods, issues, returns to stores and losses.
SFI 15.2.4	CHIEF FINANCE OFFICER	Agree stocktaking arrangements.
SFI 15.2.5	CHIEF FINANCE OFFICER	Approve alternative arrangements where a complete system of stores control is not justified.
SFI 15.2.6	CHIEF FINANCE OFFICER	Approve system for review of slow moving and obsolete items and for condemnation, disposal and replacement of all unserviceable articles.
SFI 15.2.6	DESIGNATED OFFICER	Operate a system approved by the Chief Finance Officer for slow moving and obsolete stock, for condemnation, disposal and replacement of unserviceable articles. Report to the Chief Finance Officer evidence of significant overstocking and any negligence or malpractice.
SFI 16.1.1	CHIEF FINANCE OFFICER	Prepare detailed procedures for disposal of assets in accordance with the Regulatory Framework and Guidance issued by the Independent Regulator in respect of protected assets and including condemnations and ensure that these are notified to Directors and relevant Officers.
SFI 16.1.2	APPROPRIATE DEPARTMENTAL MANAGER OR AUTHORISED DEPUTY	Inform the Chief Finance Officer of the estimated market value of any disposal item taking account of professional advice where appropriate
SFI 16.2.1	CHIEF FINANCE OFFICER	Prepare procedural instructions on the recording of and accounting for condemnations, losses and special payments
SFI 16.2.3	CHIEF FINANCE OFFICER	Notify NHS Protect and the Auditor of all frauds.
SFI 16.2.4	CHIEF FINANCE OFFICER	Notify Board of Directors and the Auditor of losses caused by fraud etc.
SFI 16.2.6	CHIEF FINANCE OFFICER	Take the necessary steps to safeguard the Trust's interests in bankruptcies and company liquidations.
SFI 16.2.7	CHIEF FINANCE OFFICER	Consider whether any insurance claim can be made for a loss.

REFERENCE	DELEGATED TO	AUTHORITIES/DUTIES DELEGATED
SFI 16.2.8	CHIEF FINANCE OFFICER	Maintain losses and special payments register in which write off action is recorded
SFI 17.1	CHIEF EXECUTIVE OFFICER	Ensure the Trust participates in any national requirements for information technology.
SFI 17.2.1	CHIEF FINANCE OFFICER	Responsible for the accuracy and security of computerised financial data and ensuring that the adequate controls, procedures and management trails as specified at SFI 17.2.1.1 to 17.2.1.4 are in place.
SFI 17.2.2	CHIEF FINANCE OFFICER	Satisfy him/herself 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, assurance of adequacy must be obtained from them prior to implementation.
SFI 17.2.3	CHIEF FINANCE OFFICER	Ensure orders for the acquisition of information technology hard and software are placed in accordance with the Trust's Information Technology Strategy.
SFI 17.2.4	CHIEF FINANCE OFFICER	Ensure that separate control procedures are put in place for computer systems including: the acquisition and disposal of IT systems and equipment and the decommissioning of systems containing confidential data.
SFI 17.3	SENIOR INFORMATION RISK OFFICER	Own the Trust's Information Risk Policy. Ensure that NHS IG policy, information risk management method and standards are documented, applied and maintained consistently throughout the organisation's information governance risk assessment and management framework.
SFI 17.5.1–17.5.2	CHIEF FINANCE OFFICER	Ensure that contracts for computer services for financial applications with other health organisations or any other agency shall clearly define the 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 where such a computer service is provided for financial applications.
SFI 17.6.1	CHIEF FINANCE OFFICER	Ensure that risks to the Trust arising from the use of IT are effectively identified and considered and appropriate action taken to migrate or control risk including the preparation and testing of appropriate disaster recovery and business continuity plans.
SFI 17.6.1	CHIEF FINANCE OFFICER	Where computer systems have an impact on corporate financial systems satisfy him/herself that: a) systems acquisition, development and maintenance are in line with corporate policies such as the Information Technology Strategy; b) data produced for use with financial systems is adequate, accurate, complete and timely, and that a management audit trail exists; c) The Chief Finance Officer and staff have access to such data; d) Such computer audit reviews are being carried out as are considered necessary.
SFI 18.2	CHIEF EXECUTIVE	Ensure patients and guardians are informed before or at admission that the Trust will generally not accept responsibility or liability for patients' property unless it is deposited for safe custody and a copy of the patient's property record is obtained as a receipt.

REFERENCE	DELEGATED TO	AUTHORITIES/DUTIES DELEGATED
SFI 18.3	CHIEF FINANCE OFFICER	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 Officers whose duty is to administer, in any way, the property of patients.
SFI 18.4	CHIEF FINANCE OFFICER	Approve arrangements put in place for the opening and operation of separate accounts for the management of patient moneys.
SFI 18.6	DEPARTMENTAL MANAGERS	Inform Officers on appointment of their responsibilities and duties for the administration of the property of patients.
SFI 19.1 -19.11	CHIEF FINANCE OFFICER	Ensure compliance with the obligations specified at SFI 19.1 to 19.11 relating to Funds held on Trust.
SFI 20.1	COMPANY SECRETARY	Ensure all staff are made aware of the Trust policy on the acceptance and giving of gifts and hospitality, and other benefits in kind by staff.
SFI 21.1-21.2	CHIEF EXECUTIVE	Maintain Archives for all documents. Develop retention of document procedures in accordance with the Records Management Code.
SFI 21.4	CHIEF EXECUTIVE	Authorise the destruction of documents and maintain records of the same.
SFI 22.1 – 22.2	DIRECTOR OF PERFORMANCE, QUALITY AND SAFETY	Publish and maintain a Freedom of Information Publication Scheme or adopt a model Publication scheme approved by the Information Commissioner. Ensure compliance with these schemes.
SFI 23.1	CHIEF EXECUTIVE	Ensure that the Trust has a risk management programme which shall contain the detail specified at SFI 23
SFI 24.1.2 – 24.1.3	CHIEF FINANCE OFFICER	Where the Board decides to use the risk pooling schemes administered by the NHS Litigation Authority, ensure that the arrangements entered into are appropriate and complementary to the risk management programme. Ensure that documented procedures cover these arrangements.  Where the Board 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, ensure that the Board is informed of the nature and extent of the risks that are self-insured as a result of this decision. 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. Ensure insurances held are appropriate.
SFI 24.1.4	CHIEF FINANCE OFFICER	Ensure documented procedures cover management of claims and payments below the deductible.

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

## ANNEX 1 - DETAILED SCHEME OF DELEGATION

### DETAILED SCHEME OF DELEGATION

*Delegated matters in respect of decisions which may have a far reaching effect for the Trust must be reported to the Chief Executive. **The delegation shown below is the lowest level to which authority is delegated.** Delegation to lower levels is only permitted with written approval of the Chief Executive. Where powers are delegated to the Chief Executive this means that in his/her absence those powers are delegated to his/her nominated deputy.*

#### Key to Levels of Authority in Detailed Scheme of Delegation:

All Departments recognise the following levels of Executives and Managers	
	Chief Executive
	Executive Directors of the Board of Directors
	Non-Board Directors including Associate Directors and those with 'Director' in their job title and who report to an Executive Director
	Band 8D and 8C Managers
	Band 8B and 8A Managers
	Band 7 Managers
	Band 6 Managers
	Band 5 Managers
	Band 4 Managers
	GP Practice Managers
	GP Deputy Practice Managers (as band 5)
	GP Order Approvals Staff (as Band 4)



DELEGATED MATTER	AUTHORITY DELEGATED TO	REFERENCE DOCUMENTS
<b>Management of Budgets</b> <b>1. Responsibility for keeping expenditure within budgets</b> a) At individual budget level (Pay and Non Pay) b) At service level c) For the totality of services covered by Executive Directors and non-Board Directors including Associate Directors and those with 'Director' in their job title and who report to an Executive Director.	Budget Manager Service Manager Executive Directors and non-Board Directors including Associate Directors and those with 'Director' in their job title and who report to an Executive Director	SFI 5
<b>2. Virement of underspent Budgets</b> Up to £150,000	Executive Directors and non-Board Directors including Associate Directors and those with 'Director' in their job title and who report to an Executive Director subject to consultation with both the Chief Finance Officer and the Director of Performance, Quality and Safety. (Virement over the amount stated requires Board approval).	
<b>3. Maintenance/Operation of Bank Accounts</b>	Chief Finance Officer	SFI 7
<b>4. Expenditure/Requisitioning /Ordering/Payment of Goods and Services</b>  a) <u>Delegated limits</u> – refer to Annex 2 <b>Appendix 1 Financial Levels – Purchasing Goods and Services (all non-pay expenditure including agency spend)</b>  <u>Petty cash payments</u> –refer to Annex 2 <b>Appendix 2 Financial Levels – Petty Cash and Patient Monies</b>  <u>Patients Monies</u> – refer to Annex 2 <b>Appendix 2 Financial Levels – Petty Cash and Patient Monies</b>		

DELEGATED MATTER	AUTHORITY DELEGATED TO	REFERENCE DOCUMENTS
<p>b) Non-Pay Expenditure for which no specific budget has been set up and which is not subject to funding under delegated powers of virement. (Subject to the limits specified above in (a))</p> <p>c) Orders exceeding 12 month period (excluding office equipment support e.g. PCs and printers)</p> <p>d) All contracts for goods and services and subsequent variations to contracts</p> <p>e) All inter-trust expenditure covered by Agreements that are fixed monthly/annual amounts</p>	<p>Chief Executive, COO/Deputy Chief Executive, D of O/MD or Chief Finance Officer</p> <p>Executive Directors and non-Board Directors including Associate Directors and those with 'Director' in their job title and who report to an Executive Director</p> <p>Executive Directors and non-Board Directors including Associate Directors and those with 'Director' in their job title and who report to an Executive Director or in accordance with this Scheme of Delegation</p> <p>Finance Business Partner (Executive Directors and non-Board Directors including Associate Directors and those with 'Director' in their job title and who report to an Executive Director will notify Accountant in writing of the annual agreed sum which the Accountant will adhere to, and implement immediately if this is changed)</p>	
<p><b>5. Capital Schemes (Including Leases)</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>c) Granting and termination of leases with an annual value of up to £250K</p> <p>d) Granting and termination of leases over £250k</p>	<p>Associate Director of Estates and Facilities Management</p> <p>Chief Finance Officer</p> <p>Chief Finance Officer or Associate Director of Estates and Facilities Management *</p> <p>Chief Executive (with reference to Associate Director</p>	

DELEGATED MATTER	AUTHORITY DELEGATED TO	REFERENCE DOCUMENTS
	of Estates and Facilities Management or Associate Director of Estates and Facilities Management)	
<b>6. Quotation, Tendering &amp; Contract Procedures</b>		
a) Contract summary for Goods and Services	Annex 2, Appendix 1 to this Scheme of Delegation	SFI 9
b) Contract summary for Capital Construction Projects and Estate Services	Annex 2 Appendix 1 to this Scheme of Delegation	
<b>Waiving of Competitive Tendering</b> Single tender summary	Annex 2 Appendix 3 to this Scheme of Delegation	
<b>7. Setting of Fees and Charges</b>		
a) Private Patient, Overseas Visitors, Income Generation and other patient related services.	Chief Finance Officer or Nominated Deputy	SFI 8
b) Price of NHS Contracts, Charges for all NHS Patient Contracts whether for GPs or PCTs	Chief Finance Officer	
<b>8. Engagement of Staff not on the Establishment</b>		
a) Non Medical Consultancy Staff/Management Consultants/other off-payroll arrangements Where aggregate commitment in any one year (or total commitment) is less than £50,000	Executive Directors subject to a business case	SFI 11
b) Where aggregate commitment in any one year is more than £50,000	Board of Directors	
c) Where aggregate commitment of a number of smaller contracts leads to a cumulative total commitment more than £50,000, review to be undertaken by Audit, Assurance and Risk Committee and then reported to Board.	Audit, Assurance and Risk Committee and Board	
d) Receive a quarterly report on the use of all non-medical consultancy staff and management consultants/other off-payroll arrangements in the quarter and projected for the	Audit, Assurance and Risk Committee and Board	

DELEGATED MATTER	AUTHORITY DELEGATED TO	REFERENCE DOCUMENTS
<p>next quarter.</p> <p>e) Receive an annual report on the use of non-medical consultancy staff and management consultants/other off-payroll arrangements.</p> <p>f) Engagement of Trust's Solicitors</p> <p>g) Booking of Bank, MATCH or Agency Staff</p> <ul style="list-style-type: none"> <li>• Medical Locums</li> <li>• Nursing</li> <li>• Clerical</li> </ul>	<p>Audit, Assurance and Risk Committee and Board</p> <p>Chief Executive or Executive Director, Litigation and Information Governance Manager, Property Manager or Company Secretary</p> <p>Budget Manager</p>	
<p><b>9. Expenditure on Charitable Funds</b></p> <ul style="list-style-type: none"> <li>• up to £1,000 per request</li> <li>• up to £10,000 per request</li> <li>• up to £25,000 per request</li> <li>• over above limits</li> </ul>	<p>Fund Holder</p> <p>Relevant - Executive Director</p> <p>Chief Executive</p> <p>Board of Directors as Corporate Trustee (via the Charitable Funds Committee)</p>	
<p><b>10. Property Agreements/Licences</b></p> <p>a) Preparation and signature of all tenancy agreements</p> <p>b) Extensions to existing leases</p> <p>c) Letting of premises to outside organisations</p> <p>d) Approval of rent based on professional assessment</p>	<p>Chief Finance Officer or Associate Director of Estates and Facilities Management</p> <p>Chief Finance Officer or Associate Director of Estates and Facilities Management</p> <p>Chief Finance Officer or Associate Director of Estates and Facilities Management</p> <p>Chief Finance Officer or Associate Director of Estates and Facilities Management</p>	
<p><b>11. Condemning &amp; Disposal</b> (see Trust Policy)</p> <p>Items obsolete, obsolescent, redundant, irreparable or</p>	<p>Non-Board Directors including Associate Directors</p>	<p>SFI 16</p>

DELEGATED MATTER	AUTHORITY DELEGATED TO	REFERENCE DOCUMENTS
cannot be repaired cost effectively	and those with 'Director' in their job title and who report to an Executive Director	
<b>12. Losses, Write-off and Compensation</b>  a) Losses and Cash due to theft, fraud, overpayment (salaries, wages, fees and allowances) and other causes <ul style="list-style-type: none"> <li>up to and including £5,000</li> <li>over £5,000</li> </ul> b) Fruitless Payments (including abandoned Capital Schemes) <ul style="list-style-type: none"> <li>up to and including £5,000</li> <li>over £5,000</li> </ul> c) Bad Debts and Claims Abandoned. Private Patients, Overseas Visitors and Other d) Damage to buildings, fittings, furniture and equipment and loss of equipment and property in stores and in use due to: Culpable causes (e.g. fraud, theft, arson) or other (stores losses or other causes) <ul style="list-style-type: none"> <li>up to and including £20,000</li> </ul>	Executive Directors and Non-Board Directors including Associate Directors and those with 'Director' in their job title and who report to an Executive Director  Chief Executive or Chief Finance Officer report to Board if over £250,000  Executive Directors and non-Board Directors including Associate Directors and those with 'Director' in their job title and who report to an Executive Director  Chief Executive or Chief Finance Officer and report to Board if over £10,000  Chief Executive or Chief Finance Officer and report to Board if over £10,000  Executive Directors and non-Board Directors including Associate Directors and those with	SFI 16

DELEGATED MATTER	AUTHORITY DELEGATED TO	REFERENCE DOCUMENTS
<ul style="list-style-type: none"> <li>over £20,000</li> </ul> <p>e) Compensation payments made under legal obligation</p> <p>f) Extra Contractual payments to contractors</p> <ul style="list-style-type: none"> <li>up to and including £5,000</li> <li>over £5,000</li> </ul> <p>g) Ex-Gratia Payments to patients, staff and visitors for loss of personal effects</p> <ul style="list-style-type: none"> <li>up to and including £5,000</li> <li>over £5,000</li> </ul> <p>h) Ex gratia payments for clinical negligence (negotiated settlements following legal advice)</p> <ul style="list-style-type: none"> <li>up to and including £10,000 plus costs</li> </ul>	<p>'Director' in their job title and who report to an Executive Director and report to Board if over £10,000</p> <p>Chief Executive or Chief Finance Officer and report to Board</p> <p>Chief Executive or Chief Finance Officer and report to Board</p> <p>Executive Directors and non-Board Directors including Associate Directors and those with 'Director' in their job title and who report to an Executive Director</p> <p>Chief Executive or Chief Finance Officer and report to Board if over £10,000</p> <p>Executive Directors and non-Board Directors including Associate Directors and those with 'Director' in their job title and who report to an Executive Director</p> <p>Chief Executive or Chief Finance Officer and report to Board if over £10,000</p> <p>Litigation and Information Governance Manager or Executive Directors and non- Board Directors including Associate Directors and those with 'Director' in their job title and who report to an</p>	

DELEGATED MATTER	AUTHORITY DELEGATED TO	REFERENCE DOCUMENTS
<ul style="list-style-type: none"> <li>over £10,000 and up to £1,000,000 plus costs</li> </ul> <p>i) For personal injury claims involving negligence where legal advice has been obtained and guidance applied</p> <ul style="list-style-type: none"> <li>up to and including £2,500</li> </ul> <ul style="list-style-type: none"> <li>over £2,500 and up to £1,000,000 (including plaintiff's costs)</li> </ul> <p>j) Other, except cases of maladministration where there was no financial loss by claimant</p> <ul style="list-style-type: none"> <li>up to and including £50,000</li> </ul> <p>k) Special Severance Payments (requiring Her Majesty's Treasury (HMT) approval)</p> <p>l) Extra statutory and extra regulatory payments</p>	<p>Executive Director</p> <p>Chief Executive or Chief Finance Officer and report to Board if over £10,000</p> <p>Litigation and Information Governance Manager or Executive Directors and non-Board Directors including Associate Directors and those with 'Director' in their job title and who report to an Executive Director</p> <p>Chief Executive or Chief Finance Officer and report to Board if over £10,000</p> <p>Chief Executive or Chief Finance Officer and report to Board if over £10,000</p> <p>Chief Executive or Chief Finance Officer to approach HMT. Report to Board</p> <p>Chief Executive or Chief Finance Officer to approach HMT. Report to Board</p>	
<b>13. Computer Software and Licences</b>	Director of Information in accordance with Trust's Information Technology Strategy	SFI 17
<b>14. Reporting of Incidents to the Police</b>		
a) Where a criminal offence is suspected	Band 7, 8A and 8B or On Call Manager	SFI 4

DELEGATED MATTER	AUTHORITY DELEGATED TO	REFERENCE DOCUMENTS
b) Where a fraud is suspected	Executive Director and Chief Finance Officer  Ensure Company Secretary aware of all suspicions of criminal offence and fraud	
<b>15. Receiving Hospitality</b>	Declaration by all staff required in Trust's Hospitality Register, held by Company Secretary	SFI 20
<b>16. Implementation of Internal and External Audit Recommendations</b>	Chief Finance Officer or Executive Directors	
<b>17. Maintenance and Update on Trust Financial Procedures</b>	Chief Finance Officer	
<b>18. Investment of Funds</b> (including Charitable Funds)	Chief Finance Officer	
<b>19. Personnel and Pay</b> <b>A All Staff Excluding Medical Staff</b> a) Authority to fill funded post on the establishment with permanent staff.  b) Authority to appoint staff to post not on the formal establishment  c) <u>Additional Increments</u> The granting of additional increments to staff within budget  d) <u>Upgrading and Regrading</u> All requests for upgrading/regrading shall be dealt with in accordance with Trust Procedure	Budget Manager  Executive Directors and non-Board Directors including Associate Directors and those with 'Director' in their job title and who report to an Executive Director (keeping within overall budget)  Non-Board Directors including Associate Directors and those with 'Director' in their job title and who report to an Executive Director; Band 8D and 8C Managers  Non-Board Directors including Associate Directors and those with 'Director' in their job title and who report to an Executive Director; Band 8D and 8C Managers with advice from Director of Workforce and Communications	SFI 11



DELEGATED MATTER	AUTHORITY DELEGATED TO	REFERENCE DOCUMENTS
<p>e) <u>Establishments</u></p> <p>i) Additional staff to the agreed establishment within specifically allocated finance</p> <p>ii) Additional staff to the agreed establishment without specifically allocated finance</p> <p><b>B Medical Staff</b></p> <p><b>CONSULTANTS (INCLUDING LOCUMS)</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) Granting of salary or allowances in excess of usual Trust policy</p> <p>d) Additional payments</p>	<p>Budget Manager</p> <p>Executive Directors and non-Board directors including Associate Directors and those with 'Director' in job title and who report to an Executive Director (keeping within overall budget)</p> <p>Clinical Director in consultation with Executive Directors and non-Board Directors including Associate Directors and those with 'Director' in their job title and who report to an Executive Director Medical Director to be informed of Locum appointments. Deputy Chief Finance Officer to be informed.</p> <p>Clinical Director in consultation with Executive Directors and non-Board Directors including Associate Directors and those with 'Director' in their job title and who report to an Executive Director (keeping within overall budget). Deputy Chief Finance Officer to be informed.</p> <p>Medical Director and Chief Executive. Deputy Chief Finance Officer to be informed.</p> <p>Clinical Director in consultation with Executive Directors and non-Board Directors including Associate Directors and those with 'Director' in their</p>	

DELEGATED MATTER	AUTHORITY DELEGATED TO	REFERENCE DOCUMENTS
<p><b>TRAINING GRADE DOCTORS</b></p> <p>a) Authority to fill funded post on the establishment with permanent staff</p> <ul style="list-style-type: none"> <li>• ST 4 - 6</li> <li>• ST 1 - 3</li> <li>• Flexible Trainees</li> </ul> <p>b) Authority to appoint staff to new trainee posts within approved budget and workforce plan.</p> <p>c) Authority to appoint locum appointments within approved budget and workforce plan</p> <p><b>For All Staff</b></p> <p>a) Pay</p> <ul style="list-style-type: none"> <li>a) Authority to complete standing data forms effecting pay, new starters, variations &amp; leavers</li> <li>b) Authority to authorise overtime</li> <li>c) Authority to complete and authorise positive reporting forms</li> </ul>	<p>job title and who report to an Executive Director - but Medical Director and Chief Executive to be informed. Deputy Chief Finance Officer to be informed.</p> <p>Clinical Director Clinical Director Medical Director in consultation with Wessex Deanery and Clinical Tutor (within budget)</p> <p>Clinical Director and Clinical Tutor jointly</p> <p>Clinical Director in consultation with Executive Director and Clinical Tutor</p> <p>Budget Manager/Director of Workforce Development and Communications</p> <p>Modern Matron or equivalent All Other Staff: Executive Directors to Band 8A Manager</p> <p>Non-Board Directors including Associate Directors and those with 'Director' in their job title and who report to an Executive Director; Band 8D and 8C Manager</p>	

DELEGATED MATTER	AUTHORITY DELEGATED TO	REFERENCE DOCUMENTS
<p>d) Authority to authorise travel and subsistence expenses</p> <p>e) Approval of Performance Related Pay Assessment</p> <p>b) Leave</p> <p>c) Sick Leave</p> <p>d) Study Leave</p> <p>i) Study leave outside the UK</p> <p>ii) Other study leave (UK)</p>	<p>Medical Staff, Non-Board Directors including Associate Directors and those with 'Director' in their job title and who report to an Executive Director; Band 8D and 8C</p> <p>Manager or Ward Manager level</p> <p>(with Band 7, 8A, 8B as appropriate)</p> <p>All Medical staff : Clinical Director in conjunction with Band 6 or 7 Manager</p> <p>All Other Staff: Non-Board Directors including Associate Directors and those with 'Director' in their job title and who report to an Executive Director; Band 8D-8A Manager</p> <p>Staff: Non-Board Directors including Associate Directors and those with 'Director' in their job title and who report to an Executive Director; Band 8D-8A Manager</p> <p>Chief Executive</p> <p>Consultants and other non-training grade doctors: <b>Associate CMO</b></p> <p>Junior Doctors : Director of Post Graduate Medical Education</p> <p>All Other Staff : Executive Directors, Non-Board Directors including Associate Directors and those with 'Director' in their job title and who report to an Executive Director; Band 8D-8A Manager</p>	<p>National/Trust Conditions of Service</p>

DELEGATED MATTER	AUTHORITY DELEGATED TO	REFERENCE DOCUMENTS
e) Removal Expenses, Excess Rent and House Purchases	Executive Directors and non-Board Directors including Associate Directors and those with 'Director' in their job title and who report to an Executive Director	Trust Conditions of Service
f) Grievance Procedure All grievances cases must be dealt with strictly in accordance with the Grievance Procedure	Executive Directors and non-Board Directors including Associate Directors and those with 'Director' in their job title and who report to an Executive Director	Trust Grievance Procedure
g) Authorised Car (including Lease Cars) and Mobile Phone Users Requests for new posts to be authorised as car users  Requests for new post to be authorised as tablet/mobile/blackberry telephone users	Non-Board Directors including Associate Directors and those with 'Director' in their job title and who report to an Executive Director; Band 8D-8A  Band 6 or 7 Managers	
h) Renewal of Fixed Term Contract	Band 6 or 7 Managers	
i) Staff Retirement Policy Authorisation of extensions of contract beyond normal retirement age in exceptional circumstances	Executive Directors and non-Board Directors including Associate Directors and those with 'Director' in their job title and who report to an Executive Director	
j) Redundancy	Executive Directors and non-Board Directors including Associate Directors and those with 'Director' in their job title and who report to an Executive Director	

DELEGATED MATTER	AUTHORITY DELEGATED TO	REFERENCE DOCUMENTS
k) Ill Health Retirement Decision to pursue retirement on the grounds of ill health	Executive Directors and non-Board Directors including Associate Directors and those with 'Director' in their job title and who report to an Executive Director	
l) Dismissal	Chief Executive to Band 4 Managers	Trust Disciplinary Procedures
<b>20. Authorisation of the use of New Drugs</b>	Chief Executive or Medical Director (based on advice on the guidelines from the Formulary Committee)	
<b>21. Authorisation of Sponsorship deals</b> <ul style="list-style-type: none"> <li>Up to £1,500</li> <li>up to and including £60,000</li> <li>over £60,000</li> </ul>	Local manager  Chief Executive  Board of Directors	
<b>22. Authorisation of Research Projects</b>	Chief Executive, Director of Nursing/Medical Director (DoN/Medical Director)	
<b>23. Authorisation of Clinical Trials</b>	Director of Research and Development (other than where he is involved in the research in which case it will be the Medical Director) with approval from Local Research Ethics Committee	
<b>24. Insurance Policies and Risk Management Arrangements</b>	Chief Executive or Medical Director (Insurance /Risk Management)	SFI 23 - 24
<b>25. Patients and Relatives Complaints</b> <ul style="list-style-type: none"> <li>a) Overall responsibility for ensuring that all complaints are dealt with effectively</li> <li>b) Responsibility for ensuring complaints relating to a directorate are investigated thoroughly</li> </ul>	Chief Executive  Complaints Manager	Trust Complaints Policy

DELEGATED MATTER	AUTHORITY DELEGATED TO	REFERENCE DOCUMENTS
<b>26. Relationships with Press</b>  Within hours  Outside hours	Any contact with the press should be routed through the Communications Team using the mobile/office number in hours and the mobile/Executive on-call number out of hours.	
<b>27. Infectious Diseases and Notifiable Outbreaks</b>	On Call Manager or Control of Infection Doctor (also notify DoN/Medical Director)	Control of Infection Policy
<b>28. Extended Role Activities</b>  Approval of Nurses to undertake duties/procedures which can properly be described as beyond the normal scope of Nursing Practice	DoN/ Medical Director	Nursing and Midwifery Council Code: Standards of Conduct, Performance and Ethics for Nurses and Midwives
<b>29. Patient Services</b>  a) Variation of clinic sessions within existing numbers  b) All proposed changes in bed allocation and use	Non-Board Directors including Associate Directors and those with 'Director' in their job title and who report to an Executive Director; Band 8D-8C (also notify relevant Executive Directors, Non-Board Directors including Associate Directors and those with 'Director' in their job title and who report to an Executive Director and Information Manager)  Executive Directors, Non-Board Directors including Associate Directors and those with 'Director' in their job title and who report to an Executive Director; (also notify Business Planner, Information Manager and Contract Manager)	

DELEGATED MATTER	AUTHORITY DELEGATED TO	REFERENCE DOCUMENTS
<p><b>30. Facilities for staff not employed by the Trust to gain practical experience</b></p> <p>Professional Recognition, Honorary Contracts, and Insurance of Medical Staff</p> <p>Work experience students</p>	<p>Executive Directors, Non-Board Directors including Associate Directors and those with 'Director' in their job title and who report to an Executive Director</p> <p>Medical Staff: Executive Directors, Non-Board Directors including Associate Directors and those with 'Director' in their job title and who report to an Executive Director;</p> <p>All Other Staff: Non-Board Directors including Associate Directors and those with 'Director' in their job title and who report to an Executive Director; Band 8D-8A managers</p>	
<p><b>31. Review of fire precautions</b></p>	<p>Chief Finance Officer (advised by the Associate Director of Estates and Facilities Management)</p>	
<p><b>32. Review of all statutory compliance legislation and Health and Safety requirements including control of Substances Hazardous to Health Regulations</b></p>	<p>Chief Executive (advised by the COO/ Medical Director or other appropriate Director)</p>	
<p><b>33. Review of Medicines Inspectorate Regulations</b></p>	<p>Medical Director with Chief Pharmacist</p>	
<p><b>34. Review of compliance with environmental regulations, for example those relating to clean air and waste disposal</b></p>	<p>Chief Finance Officer (advised by the Associate Director of Estates and Facilities Management)</p>	
<p><b>35. Review of Trust's compliance with the Data Protection Legislation</b></p>	<p>Chief Finance Officer</p>	
<p><b>36. Monitor proposals for service agreements or service contracts between the Trust and outside bodies</b></p>	<p>Patient Services - Executive Directors, Non-Board Directors including Associate Directors and those with 'Director' in their job title and who report to an Executive Director and Chief Finance Officer</p> <p>Estates, FM and ICT Services - Executive Directors, Non-Board Directors including Associate Directors and those with 'Director' in their job title and who</p>	

DELEGATED MATTER	AUTHORITY DELEGATED TO	REFERENCE DOCUMENTS
	report to an Executive Director and Chief Finance Officer	
<b>37. Review the Trust's compliance with the Access to Records Act (deceased patients)</b>	Litigation and Information Governance Manager	
<b>38. 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>	Chief Finance Officer and Information Governance Manager with Caldicott Guardian	
<b>39. The keeping of a Declaration of Interests Register</b>	Chief Executive/Company Secretary	SO 7
<b>40. Attestation of Sealings in accordance with Standing Orders</b>	Chair, Chief Executive or Board Directors	SO 9
<b>41. The keeping of a register of Sealings</b>	Chief Executive/ Company Secretary	SO 9
<b>42. The keeping of the Gifts, Hospitality &amp; Sponsorship Register</b>	Company Secretary	SFI 20.2
<b>43. Retention of Records</b>	Litigation and Information Governance Manager (Clinical Records), Chief Finance Officer (Financial Records), Chief Executive (All other records)	SFI 21
<b>44. Clinical Governance</b>	Medical Director	
<b>45. Signing of documentation in Legal Proceedings</b>	CMO, Litigation and Information Governance Manager or Company Secretary	SO 9.4
<b>46. Review of Trust's compliance with Freedom of Information Act</b>	Director of Performance, Quality and Safety	SFI 22.2

**\*\*** *Where the Trust has a contract with another organisation to provide estates and facilities services, the contracting organisation will follow its own Scheme of Delegation/SFIs unless otherwise instructed by the DoIP or the Associate Director of Estates and Facilities Management (following consultation with the Chief Finance Officer)*



## ANNEX 2 APPENDIX 1 - Financial Levels – Purchasing Goods and Services (all non-pay expenditure including agency spend)

2 members of staff must be involved in any Trust purchase; no member of staff should independently order and enable payment.

Where the agenda for change band does not apply the equivalent level should be used.

Orders, Contracts and Tendering <sup>1</sup>							Invoices (and contracted orders) <sup>2</sup>	
Financial Limit (total value incl VAT) <sup>3</sup>	Method		No of firms invited to quote/tender	Tender/ Quote Recommended by	Tender/Quotation Order Approval Minimum level	Form of Contract (official order) <sup>4</sup>	Financial Limit (individual invoice incl VAT) <sup>5</sup>	Approval to pay Minimum Level
Less than £1,000	Self	Quotation	At least 1	Relevant Officer	Band 4 GP Order Approver	Official order	Less than £1,000	Band 4 GP Order Approver
Over £1,000 up to and including £2,500		Quotation	At least 1	Relevant Officer	Band 5 GP Deputy Practice Manager	Official order	Over £1,000 up to and including £2,500	Band 5 GP Deputy Practice Manager
Over £2,500 up to and including £10,000		Quotation	At least 1	Relevant Officer	Band 6	Official order	Over £2,500 up to and including £10,000	Band 6
Over £10,000 up to and including £25,000	Remote Service	Quotation	Not less than 3	Relevant Officer	Band 6	Official order + specification or schedule of works	Over £10,000 up to and including £25,000	Band 7 (Band 6 in exceptional)

<sup>1</sup> Where a postal tendering process is used (as opposed to using e-tendering) the submissions must be opened by 2 impartial persons (see SFIs 9.9) including:

- To £250,000 a minimum band 7 officer
- Over £250,000 a minimum band 8 officer
- Over £1M an Executive Director

<sup>2</sup> If a Contract Pricing Agreement (CPA) has been set up by Procurement then no further market testing is required.

<sup>3</sup> **Where goods/services are to be supplied over a period of time the limit refers to the total value of the contract and including VAT.**

<sup>4</sup> An official order will normally be a requisition within the SBS system converted to an order and sent to the supplier. Contracts should have an award letter.

<sup>5</sup> Where an individual invoice is part of a larger payment e.g. monthly fee, staggered payments and the Procurement Team have sanctioned using the non-PO route, the invoice approver must have evidence of the approval of the total predicted spend i.e. An official order/ contract covering the total expenditure approved according to the total value in column 1 and level in column 5.

Author: Company Secretary

Scheme of Delegation and Board Reserved Powers

July 2016

Orders, Contracts and Tendering <sup>1</sup>						Invoices (and contracted orders) <sup>2</sup>	
Financial Limit (total value incl VAT) <sup>3</sup>	Method	No of firms invited to quote/tender	Tender/ Quote Recommended by	Tender/Quotation Order Approval Minimum level	Form of Contract (official order) <sup>4</sup>	Financial Limit (individual invoice incl VAT) <sup>5</sup>	Approval to pay Minimum Level
							circumstances)
Over £25,000 up to and including £50,000		Quotation / Tender	Not less than 3	Relevant Officer/ Tendering Officer	Band 7 GP Practice Manager	Official order + specification or schedule of works	Over £25,000 up to and including £50,000 Band 8 GP Practice Manager (Band 7 in exceptional circumstances)
Over £50,000 up to and including £250,000		Tender <sup>6</sup> (OJEU)	Not less than 3	Tendering Officer	Divisional Director Non-Board Directors including Associate Directors and those with 'Director' in their job title and who report to an Executive Director Deputy Chief Finance Officer Band 8 Estates officers only. (Band 8C Finance Officers only up to £125,000)	Official order + official contract	Over £50,000 up to and including £250,000 Divisional Director Non-Board Directors including Associate Directors and those with 'Director' in their job title and who report to an Executive Director Deputy Chief Finance Officer Band 8 Estates officers only Band 8 MCP

<sup>6</sup> There are a range of OJEU tender thresholds starting circa £160,000 \*, The Tendering Officer must check the latest regulations with Procurement or via [www.ojec.com/Thresholds.aspx](http://www.ojec.com/Thresholds.aspx).

Orders, Contracts and Tendering <sup>1</sup>							Invoices (and contracted orders) <sup>2</sup>	
Financial Limit (total value incl VAT) <sup>3</sup>	Method		No of firms invited to quote/tender	Tender/ Quote Recommended by	Tender/Quotation Order Approval Minimum level	Form of Contract (official order) <sup>4</sup>	Financial Limit (individual invoice incl VAT) <sup>5</sup>	Approval to pay Minimum Level
								Managers  (Band 8C Finance Officers and Head of Procurement only up to £125,000)
Over £250,00 up to and including £500,000		Tender (OJEU)	Not less than 3	Tendering Officer & Finance Officer	Executive Director Associate Director of Estates & Facilities Management	Official order + official contract	Over £250,000 up to and including £500,000	Executive Director Associate Director of Estates & Facilities Management
Over £500,000 up to and including £1m		Tender (OJEU)	Not less than 5	Tendering Officer & Finance Officer	Chief Finance Officer	Official order + official contract	Over £500,000 up to and including £1m	Chief Finance Officer
Over £1m up to and including £3m		Tender (OJEU)	Not less than 6	Tendering Officer & Deputy Chief Finance Officer	Chief Executive or in their absence, Chief Finance Officer	Official order + official contract	Over £1m up to and including £3m	Chief Finance Officer in conjunction with Chief Executive
Over £3m		Tender (OJEU)	Not less than 6	Tendering Officer & Chief Finance Officer	Trust Board	Official order + official contract	Over £3m	Chief Finance Officer in conjunction with Chief Executive

The approval limits assigned to staff may be lower than the limits above where this is practicable. Where a particular post requires a higher limit, this may be agreed with the CFO and must be documented in a Trust record held by the Procurement Team.

**ANNEX 2 APPENDIX 2 - Financial Levels – Petty Cash, Patient Monies and Credit Cards**

	<b>Petty Cash Payments</b>	<b>Patient Monies *</b>	<b>Corporate Credit Cards<sup>1</sup></b>		
<b>Financial Limit (total value)</b>	<b>Approval Minimum Level</b>	<b>Approval Maximum Level</b>		<b>Approval Maximum Level</b>	
				<b>Single Transaction</b>	<b>Monthly Spend Limit</b>
<b>Less than £100</b>	<b>Band 4</b>	<b>Band 4</b>	<b>Band 2 TQ21</b>	<b>£150</b>	<b>£750</b>
<b>Less than £400</b>	<b>Band 6</b>	<b>Band 6</b>	<b>Band 4 all other areas other than TQ21</b>	<b>£150</b>	<b>£750</b>
<b>Less than £800</b>	<b>Band 8</b>	<b>Band 8</b>	<b>Band 8 GP Practice Manager Band 7 ward managers working in the Trust's specialised secure inpatient wards</b>	<b>£2,500</b>	<b>£5,000</b>
<b>Less than £1,000</b>	<b>Executive Director</b>	<b>Non-Board Directors including Associate Directors and those with 'Director' in their job title and who report to an Executive Director</b>	<b>Executive Directors</b>	<b>£5,000</b>	<b>£10,000</b>
<b>Less than £5,000</b>	<b>Chief Executive/Chief Financial Officer (to be used in exceptional circumstances only)</b>	<b>Executive Director</b>	<b>Chief Executive</b>	<b>£5,000</b>	<b>£15,000</b>
<b>Less than £10,000</b>	<b>Not permitted</b>	<b>Not permitted</b>	<b>Band 7 &amp; 8 managers</b>	<b>£25,000</b>	<b>£50,000</b>

	Petty Cash Payments	Patient Monies *	Corporate Credit Cards <sup>1</sup>		
Less than £50,000	Not permitted	Not permitted	in Trust Procurement team		

1. The default for ALL permitted card holders will be £150 per transaction and £750 monthly spend limit. These may be varied dependent on need to the limits contained within the table above. Corporate credit cards must always be considered as a secondary form of procurement after official purchase orders and payment made against a supplier invoice, unless this has been waived.

**\*All payments from patient monies need to be counter signed and note consideration has been given to patient well-being.**

## **ANNEX 2 APPENDIX 3 - Procurement Scheme of Delegation - Waiving of Competitive Tendering/Single Tender Summary**

Value	Contract Type	Approval Required from
Less than £250,000	All contract types; Construction Projects, Estate Services, Goods, Services and Works Construction Projects and Estate Services	Chief Finance Officer
£250,000 up to £500,000		Chief Executive
No purchases over £500,000 are executed via a single tender unless approved by Audit Assurance and Risk Committee Chair following consultation with the Chief Executive and Chief Finance Officer		Audit Assurance and Risk Committee Chair

Where goods and services are to be supplied over a period of time, the above rules are to be taken as the total value of the Contract and include VAT

All waivers approved over £25,000 must be reported to the Audit, Assurance and Risk Committee (see Standing Financial Instructions (SFI) 9.6.3 for further information).

*July 2016*