

**SCHEME OF
DELEGATION**

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1. INDEX OF DELEGATED MATTERS

DELEGATED MATTERS

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2 INTRODUCTION

2.1. Reservation of Powers

Section 4 of the Trust's Standing Orders for the Board of Directors states that "The Board of Directors may make arrangements for the exercise, on behalf of the Trust of any of its functions by a committee, or sub-committee, appointed by virtue of Standing Order 5.1 or 5.2, or by a Director or an Officer of the Trust in each case subject to such restrictions and conditions as the Board of Directors thinks fit". The Code of Conduct of Accountability in the NHS also requires that there should be a formal schedule of matters specifically reserved to the Board of Directors of the Foundation Trust.

The purpose of this document is to detail how the powers are reserved to the Board of Directors, while at the same time delegating to the appropriate level the detailed application of Foundation Trust policies and procedures. However, the Board of Directors remains accountable for all of its functions, even those delegated to committees, sub committees, individual directors or officers and would therefore expect to receive information about the exercise of delegated functions to enable it to maintain a monitoring role.

2.2. Role of the Chief Executive

All powers of the Foundation Trust, which have not been retained as reserved by the Board of Directors or delegated to an executive committee or sub-committee, shall be exercised on behalf of the Board of Directors by the Chief Executive. The Chief Executive shall prepare a Scheme of Delegation identifying which functions he shall perform personally and which functions have been delegated to other directors and officers for operational responsibility.

All powers delegated by the Chief Executive can be re-assumed by him/her should the need arise.

2.3 Caution over the Use of Delegated Powers

Powers are delegated to directors and officers on the understanding that they would not exercise delegated powers in a manner which in their judgement was likely to be a cause for public concern.

2.4 Absence of Directors or Officers to Whom Powers have been Delegated

In the absence of a director or officer to whom powers have been delegated, those powers shall be exercised by that director or officer's superior unless alternative arrangements have been approved by the Board of Directors. If the Chief Executive is absent, powers delegated to him/her may be exercised by the nominated officer acting in his/her absence after taking appropriate advice from the Chief Financial Officer. In the absence of the Chief Financial Officer, appropriate advice should be sought from the Deputy ~~Director of Finance~~ [Chief Financial Officer](#).

3. RESERVATION OF POWERS TO THE BOARD OF DIRECTORS

3.1 Accountability

The Code of Conduct of Accountability in the NHS, which has been adopted by the Foundation Trust, requires the Board of Directors to determine those matters on which decisions are reserved unto itself. These reserved matters are set out in paragraphs 3.2 to 3.9 below:

3.2 General Enabling Provision

The Board of Directors may determine any matter, for which it has authority, it wishes in full session within its statutory powers.

3.3 Regulations and Control

The Board of Directors remains accountable for all of its functions, even those delegated to individual committees, sub-committees, directors or officers and would therefore expect to receive information about the exercise of delegated functions to enable it to maintain a monitoring role. The following are decisions reserved to the board:

- Approval of Standing Orders (SOs), a schedule of matters reserved to the Board of Directors and Standing Financial Instructions for the regulation of its proceedings and business.
- Suspend Standing Orders.
- Vary or amend the Standing Orders.
- Ratification of any urgent decisions taken by the Chairman and Chief Executive in accordance with SO 4.2.
- Approval of a scheme of delegation of powers from the Board of Directors to committees.
- Requiring and receiving the declaration of Directors' interests which may conflict with those of the Foundation Trust and determining the extent to which that director may remain involved with the matter under consideration.
- Requiring and receiving the declaration of officers' interests which may conflict with those of the Foundation Trust.
- Adoption of the organisational structures, processes and procedures to facilitate the discharge of business by the Foundation Trust and to agree modifications thereto.
- To receive reports from committees including those which the Foundation Trust is required by the Constitution and the Health and Social Care Act 2012 or other regulation to establish and to take appropriate action thereon.
- To confirm the recommendations of the Foundation Trust's committees where the committees do not have executive powers.
- Approval of arrangements relating to the discharge of the Foundation Trust's responsibilities

as a corporate trustee for funds held on trust.

- To establish terms of reference and reporting arrangements of all committees and sub-committees that are established by the Board of Directors.
- Approval of arrangements relating to the discharge of the Foundation Trust's responsibilities as a bailer for patients' property.
- Authorise use of the seal.
- Ratify or otherwise instances of failure to comply with Standing Orders brought to the Chief Executive's attention.
- Disciplining Board members or employees that report to the Chief Executive, who are in breach of Statutory Requirements or Standing Orders.

3.4 Appointments / Dismissal

- Appointment of the Vice Chairman / Senior Independent Director of the Board of Directors.
- The appointment and dismissal of committees (and individual members) that are directly accountable to the Board of Directors.
- Confirm the appointment of members of any committee of the Foundation Trust as representatives on outside bodies.

3.5 Policy Determination

The approval of Foundation Trust management policies including Human Resources policies incorporating the arrangements for the appointment, dismissal and remuneration of staff.

3.6 Strategy and Business Plans and Budgets

- Definition of the strategic aims and objectives of the Foundation Trust.
- Approval and monitoring of the Foundation Trust's policies and procedures for the management of risk.
- Approve Business Cases for Capital Investment with significant capital expenditure commitments according to the limits set out in Table B.
- Approve budgets.
- Approve annually the Foundation Trust's proposed business plan including operational budgets and capital expenditure programme.
- Ratify proposals for acquisition, disposal or change of use of land and/or buildings.
- Approve proposals on individual contracts, including purchase orders (other than NHS

contracts) of a capital or revenue nature amounting to, or likely to amount to the limits specified in Table B (Financial Limits) of the Scheme of Delegation.

- Approve proposals in individual cases for the write off of losses or making of special payments above the limits of delegation (Table B) to the Chief Executive and Chief Financial Officer.
- Approve proposals for action on litigation against or on behalf of the Foundation Trust where the likely financial impact is expected to exceed the limits specified in Table B, or contentious or novel or likely to lead to extreme adverse publicity, excluding claims covered by the NHS risk pooling schemes.
- Review use of NHS risk pooling schemes (CNST/RPST).

3.7 Audit Arrangements

To receive recommendations regarding the appointment (and where necessary dismissal) of the internal and external auditors. The appointment or removal of the external auditors must be ratified by the Council of Governors.

3.8 Annual Reports and Accounts

- Receipt and approval of the Foundation Trust's Annual Report and Annual Accounts prior to presentation to the Council of Governors at a Members Meeting.
- Receipt and approval of the Annual Report and Accounts for funds held on trust.

3.9 Monitoring

- Receipt of such reports as the Board of Directors sees fit from committees in respect of their exercise of powers delegated.
- Continuous appraisal of the affairs of the Foundation Trust by means of the provision to the Board of Directors as the Board of Directors may require from directors, committees, and officers of the Foundation Trust as set out in management policy statements.
- Receive reports from the Chief Financial Officer on financial performance against budget and business plan and receive the minutes of the Finance Committee.

4 DELEGATION OF POWERS TO COMMITTEES

4.1 Delegation to Committees

The Board of Directors may determine that certain of its powers shall be exercised by Standing Committees. The composition and terms of reference of such committees shall be that approved by the Board of Directors. The Board of Directors shall determine the reporting requirements in respect of these committees. In accordance with SO 5.5, committees may not delegate executive powers to sub-committees unless expressly authorised by the Board of Directors. Terms of Reference for these Standing Committees shall be approved by the Board of Directors.

5 SCHEME OF DELEGATION TO OFFICERS

5.1 Delegation

Standing Orders and Standing Financial Instructions set out in some detail the financial responsibilities of the Chief Executive, the Chief Financial Officer and other directors. These responsibilities are summarised below.

Delegated matters in respect of decisions that may have a far-reaching effect must be reported to the Chief Executive. **The delegation shown below is the lowest level to which authority is delegated.**

Table A - Delegated Authority,

Table B - Delegated Financial Limits,

delegation to lower levels is only permitted with written approval of the Chief Executive who will, before authorising such delegation, consult with other Senior Managers as appropriate.

TABLE A.1

Delegated Authority

DELEGATED MATTER	DELEGATED TO	OPERATIONAL RESPONSIBILITY / AUTHORITY
1. Standing Orders / Standing Financial Instructions		
a) Final authority in interpretation of Standing Orders	Chairman	Chairman
b) Notifying Directors and employees of their responsibilities within the Standing Orders and Standing Financial Instructions, and ensuring that they understand the responsibilities	Chief Executive	All Line Managers
c) Responsibility for security of the Foundation Trust's property, avoiding loss, exercising economy and efficiency in using resources and conforming with Standing Orders, Financial instructions and financial procedures	Chief Executive	All Directors and Employees
d) Suspension of Standing Orders	Board of Directors	Board of Directors
e) Review suspension of Standing Orders	Audit and Assurance Committee	Audit and Assurance Committee
f) Variation or amendment to Standing Orders	Board of Directors	Board of Directors
g) Emergency powers relating to the authorities retained by the Board of Directors	Chair and Chief Executive with two non-executives	Chair and Chief Executive with two non-executives
h) Disclosure of non-compliance with Standing Orders to the Chief Executive (report to the Board of Directors)	All	All
i) Disclosure of non-compliance with SFIs to the Chief Financial Officer (report to the Audit and Assurance Committee)	All	All
j) Advice on interpretation or application of SFIs and this Scheme of Delegation	Chief Financial Officer	Chief Financial Officer / Internal Audit

Table A

DELEGATED MATTER	DELEGATED TO	OPERATIONAL RESPONSIBILITY / AUTHORITY
1. Audit Arrangements		
a) Ensure adequate internal and external audit services, for which they are accountable, are provided (and prepare recommendations to the board for the replacement of either internal or external audit. NB. Whilst the board can unilaterally replace the internal auditor, the Council of Governors has to ratify the replacement or removal of the external auditor. See Section 3)	Audit and Assurance Committee	Chief Financial Officer
b) Review, appraise and report in accordance with Government Internal Audit Standards (GIAS) and best practice	Audit and Assurance Committee	Head of Internal Audit
c) Provide an independent and objective view on internal control and probity	Audit and Assurance Committee	Internal Audit / External Audit
d) Ensure cost-effective audit service	Audit and Assurance Committee	Chief Financial Officer
e) Implement recommendations	Chief Executive	Relevant Officers
f) Track progress of recommendation implementation	Chief Financial Officer	Head of Compliance and Systems

TABLE A.2

DELEGATED MATTER	DELEGATED TO	OPERATIONAL RESPONSIBILITY / AUTHORITY
2. Authorisation of Clinical Trials & Research Projects	Chief Executive or Chief Financial Officer and Executive Medical Director	Research & Development Governance Committee / Research and Innovation Director / Research and Innovation Manager
3. Authorisation of New Drugs	Chief Executive	Medicines Management Committee
4. Bank Accounts / Cash (Excluding Charitable Fund (Funds Held on Trust) Accounts)		
a) Operation: <ul style="list-style-type: none"> Managing banking arrangements and operation of bank accounts (Board of Directors approves arrangements) Opening bank accounts Authorisation of transfers between Foundation Trust bank accounts Approve and apply arrangements for the electronic transfer of funds Authorisation of: <ul style="list-style-type: none"> CHAPS schedules BACS schedules Automated cheque schedules Manual cheques 	Chief Financial Officer Chief Financial Officer Chief Financial Officer Chief Financial Officer Chief Financial Officer	Head of Financial Services Head of Financial Services To be completed in accordance with bank mandate / internal procedures Head of Financial Services To be completed in accordance with bank mandate / internal procedures
b) Investment of surplus funds in accordance with the Foundation Trust's investment policy	Chief Financial Officer	Head of Financial Services
c) Petty Cash	Chief Financial Officer	Refer To Table B Delegated Limits
5. Business Cases – including Tenders for Services Provided		
a) Preparation of business cases / tenders	Chief Executive	Executive Directors / Divisional General Managers / Director of Strategic Planning and Commercial Development
b) Approval of business cases / tenders which generate a positive financial contribution	Chief Executive	Refer To Table B Delegated Limits
c) Approval of business cases / tenders which generate a negative financial contribution	Board of Directors	Refer To Table B Delegated Limits
6. Capital Investment		
a) Programme: <ul style="list-style-type: none"> Ensure that there is adequate appraisal and approval process for determining capital expenditure priorities and the effect that each has on business plans Preparation of Capital Investment Programme Financial monitoring and reporting on all capital scheme expenditure including variations to contract Authorisation of capital requisitions Responsible for the management of capital schemes and for ensuring that they are delivered on time and within cost Ensure that capital investment is not undertaken without availability of resources to finance all revenue consequences Issue procedures to support: <ul style="list-style-type: none"> Capital investment Staged payments 	Chief Executive Chief Executive Chief Financial Officer Chief Executive and/or Chief Financial Officer Chief Executive Chief Financial Officer Chief Executive	Chief Financial Officer Director of Strategic Planning and Commercial Development Director of Strategic Planning and Commercial Development / Head of Financial Services Refer to Table B Delegated Limits Director of Strategic Planning and Commercial Development Director of Strategic Planning and Commercial Development Director of Strategic Planning and Commercial Development

TABLE A.3

DELEGATED MATTER	DELEGATED TO	OPERATIONAL RESPONSIBILITY / AUTHORITY
<ul style="list-style-type: none"> Issuing the capital scheme project manager with specific authority to commit capital, proceed / accept tenders in accordance with the SOs and SFIs 	Chief Financial Officer	Refer to Table B Delegated Limits
7. Clinical Audit	Chief Executive	Lead Clinician for Clinical Audit / Service Directors / Clinical Managers / Department Heads / Clinical Audit Department
8. Commercial Sponsorship		
Agreement to proposal	Chief Executive	Refer to Table B Delegated Limits
9. Complaints (Patients & Relatives)		
a) Overall responsibility for ensuring that all complaints are dealt with effectively	Executive Director of Nursing and Quality Director of Governance	Divisional Clinical Directors / Divisional Matrons / Patient Experience Manager
b) Responsibility for ensuring complaints relating to a division / department are investigated thoroughly	Executive Director of Nursing and Quality Director of Governance	Divisional Clinical Directors / Divisional Matrons
c) Medico - Legal Complaints Coordination of their management	Director of Corporate Services Governance / Company Secretary	Legal Services Manager
10. Confidential Information		
Review of the Foundation Trust's compliance with the Caldicott report on protecting patients' confidentiality in the NHS	Caldicott Guardian	Executive Director of Nursing and Quality Chief Nurse / Executive Medical Director
Freedom of Information Act compliance code	Chief Executive	Senior Information Risk Owner
11. Data Protection Act		
Review of Foundation Trust's compliance	Chief Executive	Senior Information Risk Owner
12. Declaration of Interest		
<ul style="list-style-type: none"> Maintaining a register 	Chief Executive	Director of Corporate Services / Company Secretary
<ul style="list-style-type: none"> Declaring relevant and material interest 	All Directors	All staff
13. Disposal and Condemnations		
<ul style="list-style-type: none"> Items obsolete, redundant, irreparable or cannot be repaired cost effectively 	Chief Financial Officer	Refer to Table B Delegated Limits
<ul style="list-style-type: none"> Develop arrangements for the sale of assets 	Chief Financial Officer	
14. Environmental Regulations		
Review of compliance with environmental regulations, for example those relating to clean air and waste disposal	Chief Executive	Director of Strategic Planning and Commercial Development
15. External Financing		
a) Advise Board of Directors of the requirements to repay / draw down Public Dividend Capital	Chief Financial Officer	Head of Financial Services
b) Application for draw down of Public Dividend Capital and other forms of foundation trust funding	Chief Financial Officer	Head of Financial Services
c) Application for draw down of overdrafts and other forms of external borrowing	Chief Financial Officer	As per the Treasury Management Policy
d) Preparation of procedural instructions	Chief Financial Officer	Head of Financial Services
e) Private Finance: <ul style="list-style-type: none"> Demonstrate that the use of private finance represents best value for money and transfers risk to the private sector. Proposal to use PFI 	Chief Executive	Chief Financial Officer – subject to agreement by Monitor

TABLE A.4

DELEGATED MATTER	DELEGATED TO	OPERATIONAL RESPONSIBILITY / AUTHORITY
<p>must be specifically agreed by the Board of Directors</p> <p>f) Leases (including property, equipment and operating leases)</p> <ul style="list-style-type: none"> • Granting and termination of leases with Annual rent < £100k • Granting and termination of leases of > £100k should be reported to the Board of Directors <p>g) Finance leases (any value)</p>	<p>Chief Executive</p> <p>Board of Directors</p> <p>Board of Directors</p>	<p>Director of Strategic Planning and Commercial Development</p> <p>Chief Executive / Director of Strategic Planning and Commercial Development</p> <p>Chief Financial Officer – subject to agreement by Monitor</p>
16. Financial Planning / Budgetary Responsibility		
<p>a) Setting:</p> <ul style="list-style-type: none"> • Submit agreed business plan to the Board of Directors • Submit capital and revenue budgets to the Board of Directors • Submit financial estimates and forecasts to the Board of Directors <p>b) Monitoring:</p> <ul style="list-style-type: none"> • Delegate budgets to budget holders • Monitor performance against budget • Ensuring adequate training is delivered to budget holders to facilitate their management of the allocated budget • Submit in accordance with Monitor's requirements financial monitoring returns • Meet reporting requirements of banking terms and conditions • Identify and implement cost improvements and income generation activities in line with the Business Plan • Monitor performance against cost improvement programme <p>Preparation of:</p> <ul style="list-style-type: none"> • Annual Accounts • Annual Report <p>c) Authorisation of Virement:</p> <p>It is not possible for any officer to vire from non-recurring headings to recurring budgets, from capital to revenue / revenue to capital, or between Monitor Plan expenditure categories. Virement between different budget holders requires the agreement of both parties.</p>	<p>Chief Executive</p> <p>Chief Executive</p> <p>Chief Executive</p> <p>Chief Executive</p> <p>Chief Financial Officer</p> <p>Chief Financial Officer</p> <p>Chief Executive</p> <p>Chief Executive</p> <p>Chief Executive</p> <p>Chief Executive</p> <p>Chief Executive</p> <p>Chief Financial Officer</p> <p>Chief Executive</p> <p>Chief Financial Officer</p>	<p>Director of Strategic Planning and Commercial Development</p> <p>Chief Financial Officer</p> <p>Chief Financial Officer</p> <p>Chief Financial Officer / Prime Budget Holders</p> <p>Executive Directors / Aggregate Prime Budget Holders</p> <p>Finance and Performance Managers</p> <p>Chief Financial Officer</p> <p>Chief Financial Officer</p> <p>All budget holders</p> <p>Head of Programme Management</p> <p>Deputy Director of Finance / Chief Financial Officer</p> <p>Director of Corporate Services / Company Secretary</p> <p>Refer To Table B Delegated Limits</p>
17. Financial Procedures and Systems		
<p>a) Maintenance and update of Foundation Trust Financial Procedures</p> <p>b) Responsibilities:</p> <ul style="list-style-type: none"> • Implement Foundation Trust's financial policies and co-ordinate corrective action • Ensure that adequate records are maintained to explain Foundation Trust's 	<p>Chief Financial Officer</p> <p>Chief Financial Officer</p>	<p>Deputy Director of Finance / Chief Financial Officer</p> <p>Deputy Director of Finance / Chief Financial Officer</p>

TABLE A.5

DELEGATED MATTER	DELEGATED TO	OPERATIONAL RESPONSIBILITY / AUTHORITY
transactions and financial position <ul style="list-style-type: none"> Providing financial advice to members of the Board of Directors and staff 		Head of Financial Services Deputy Director of Finance Chief Financial Officer / Head of Financial Services
<ul style="list-style-type: none"> Ensure that appropriate statutory records are maintained Designing and maintaining compliance with all financial systems 		Head of Financial Services Deputy Director of Finance Chief Financial Officer
18. Fire precautions <ul style="list-style-type: none"> Ensure that the Fire Precautions and prevention policies and procedures are adequate and that fire safety and integrity of the estate is intact 	Chief Executive	Executive Director of Human Resources / Specialist Fire Prevention and Security Officer
19. Fixed Assets		
a) Maintenance of Trust asset register including asset identification and monitoring	Chief Financial Officer	Head of Financial Services
b) Maintenance of IT asset register for items associated with other NHIS clients, including asset identification and monitoring	Chief Financial Officer	Director of NHIS
c) Ensuring arrangements for financial control and financial audit of building and engineering contracts and property transactions are in line with the Premises Assurance Model and latest guidance	Director of Strategic Planning and Commercial Development	Head of Estates and Facilities
d) Calculate and pay capital charges in accordance with the requirements of the Independent Regulator	Chief Financial Officer	Head of Financial Services / Financial Accountant
e) Responsibility for security of Foundation Trust's assets including notifying discrepancies to the Chief Financial Officer and reporting losses in accordance with Foundation Trust's procedures	Chief Executive	All staff
20. Funds Held on Trust (Charitable and Non Charitable Funds)		
a) Management: <ul style="list-style-type: none"> Funds held on trust are managed appropriately 	Chief Financial Officer (supported by the Charitable Trustees)	Deputy Director of Finance Chief Financial Officer / Head of Financial Services
b) Maintenance of authorised signatory list of nominated fund holders	Chief Financial Officer	Head of Financial Services
c) Expenditure Limits	Chief Financial Officer	Refer To Table B Delegated Limits
d) Developing systems for receiving donations	Chief Financial Officer	Head of Financial Services
e) Dealing with legacies	Chief Financial Officer	Head of Financial Services
f) Fundraising Appeals	Charitable Funds Committee	Customer Services Manager
<ul style="list-style-type: none"> Preparation and monitoring of budget Reporting progress and performance against budget 	Chief Financial Officer	Customer Services Manager with advice from Head of Financial Services
g) Operation of Bank Accounts: <ul style="list-style-type: none"> Managing banking arrangements and operation of bank accounts 	Chief Financial Officer	Head of Financial Services

TABLE A.6

DELEGATED MATTER	DELEGATED TO	OPERATIONAL RESPONSIBILITY / AUTHORITY
<ul style="list-style-type: none"> • Opening bank accounts h) Investments: <ul style="list-style-type: none"> • Nominating deposit taker • Placing transactions in accordance with the Charitable Funds Investment Policy 	Chief Financial Officer Charitable Funds Committee Chief Financial Officer	Head of Financial Services Chief Financial Officer Head of Financial Services
21. Health and Safety		
Review of all statutory compliance with legislation and Health and Safety requirements including Control of Substances Hazardous to Health Regulations	Chief Executive	Executive Director of Human Resources / Health and Safety Manager
22. Hospitality/Gifts		
a) Keeping of hospitality register	Chief Executive	Director of Corporate Services / Company Secretary
b) Applies to both individual and collective hospitality receipt items.		All staff declaration required in Foundation Trust's Hospitality Register Refer To Table B Delegated Limits
23. Infectious Diseases & Notifiable Outbreaks	Chief Executive	Director of Infection, Prevention and Control
24. Information Management & Technology		
a) Developing systems in accordance with the Foundation Trust's IM&T Strategy	Executive Directors / Head of IT	Heads of Service in conjunction with IT advisors
b) Implementing new systems ensuring that they are developed in a controlled manner and thoroughly tested		
c) Seeking third party assurances regarding systems operated externally		
d) Ensuring that contracts for computer services for financial applications define responsibility regarding security, privacy, accuracy, completeness and timeliness of data during processing and storage		
25. Legal Proceedings		
a) Engagement of Foundation Trust's Solicitors	Chief Executive / Executive Director of Human Resources / Director of Strategic Planning and Commercial Development	Director of Corporate Services / Company Secretary
b) Approve and sign all documents which will be necessary in legal proceedings	Chief Executive	Any Executive Director
c) Sign on behalf of the Foundation Trust any agreement or document not requested to be executed as a deed (i.e. any legal contract)	Chief Executive	Any Executive Director
26. Losses & Special Payments		
a) Prepare procedures for recording and accounting for losses and special payments including preparation of a Fraud Response Plan and informing Counter Fraud Management Services of frauds	Chief Executive	Chief Financial Officer

TABLE A.7

DELEGATED MATTER	DELEGATED TO	OPERATIONAL RESPONSIBILITY / AUTHORITY
b) <u>Losses</u> Losses of cash and cash equivalents due to theft, fraud, overpayment & others Fruitless payments (including abandoned Capital Schemes) Bad debts and claims abandoned (e.g. private patients, overseas visitors, road traffic act claims) Damage to buildings, fittings, furniture and equipment in use due to culpable causes (e.g. fraud, theft, arson, neglect) General losses (e.g. linen and bedding, equipment, stores items) Un-vouched payments Overpayment of salaries, fees and allowances		Refer To Table B Delegated Limits
<u>Special Payments</u> i) Clinical negligence after legal advice <ul style="list-style-type: none"> • Medical negligence ii) Non-clinical negligence <ul style="list-style-type: none"> • Personal injury iii) Other (Ex-gratia payments) <ul style="list-style-type: none"> • Compensation payments by Court Order • To patients/staff for loss of personal effects • Extra contractual payments to contractors c) A register of all of the payments should be maintained by the Finance Department and made available for inspection d) A report of all of the above payments should be presented to the Audit and Assurance Committee at least annually	Chief Financial Officer Chief Financial Officer	Refer To Table B Delegated Limits Head of Financial Services Head of Financial Services
27. Meetings		
a) Calling meetings of the Foundation Trust Board	Chairman	Director of Corporate Services / Company Secretary
b) Chair all Foundation Board of Directors meetings and associated responsibilities	Chairman	Chairman
28. Medical		
<ul style="list-style-type: none"> • Clinical Governance arrangements • Medical Leadership • Programmes of medical education • Clinical staffing plans • Matters involving individual professional competence of medical staff • Medical Research 	Executive Medical Director/ Executive Director of Nursing and Quality Director of Governance Executive Medical Director Executive Medical Director Chief Executive Executive Medical Director Executive Medical Director	Head of Governance / Lead Clinician for Clinical Audit / Divisional Clinical Directors / Service Directors / Divisional Matrons Divisional Clinical Directors / Service Directors Director of Medical Education Service Directors Divisional Clinical Directors Research and Development Governance Committee Chairman / Evaluation, Audit and Research Manager Research and Innovation Director / Research and Innovation Manager
29. Non Pay Expenditure		
a) Maintenance of a list of managers authorised to place requisitions/orders and accept goods in accordance with Table B	Chief Executive	Deputy Director of Finance Chief Financial Officer / Head of Compliance and Systems

TABLE A.8

DELEGATED MATTER	DELEGATED TO	OPERATIONAL RESPONSIBILITY / AUTHORITY
b) Obtain the best value for money when requisitioning goods/services	Chief Executive	Director of Strategic Planning and Commercial Development / Divisional General Managers / Heads of Department
c) 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))	Chief Executive	Chief Financial Officer
d) Develop systems for the payment of accounts	Chief Financial Officer	Head of Financial Services
e) Prompt payment of accounts	Chief Financial Officer	Head of Financial Services
f) Financial Limits for ordering / requisitioning goods and services	Chief Financial Officer	Refer To Table B Delegated Limits
30. Nursing		
<ul style="list-style-type: none"> ▪ Compliance with statutory and regulatory arrangements relating to professional nursing and midwifery practice ▪ Matters involving individual professional competence of nursing staff ▪ Compliance with professional training and development of nursing staff ▪ Quality assurance of nursing processes 	<p>Executive Director of Nursing and Quality Chief Nurse</p> <p>Executive Director of Nursing and Quality Chief Nurse</p> <p>Executive Director of Nursing and Quality Chief Nurse</p> <p>Executive Director of Nursing and Quality Chief Nurse</p>	<p>Deputy Director of Nursing / Divisional Matrons</p> <p>Deputy Director of Nursing / Divisional Matrons</p> <p>Deputy Director of Nursing / Divisional Matrons</p> <p>Deputy Director of Nursing / Divisional Matrons</p>
31. Patient Services Agreements		
a) Negotiation of Foundation Trust Contract and Non Commercial Contracts	Chief Executive	Chief Financial Officer / Director of Strategic Planning and Commercial Development / Deputy Director - Income and Performance
b) Quantifying and monitoring out of area treatments	Chief Financial Officer	Deputy Director - Income and Performance
c) Reporting actual and forecast income	Chief Financial Officer	Deputy Director - Income and Performance
d) Costing Foundation Trust Contract and Non Commercial Contracts	Chief Financial Officer	Deputy Director - Income and Performance
e) Reference costing / Payment by Results	Chief Financial Officer	Deputy Director of Finance Chief Financial Officer
f) Ad hoc costing relating to changes in activity, developments, business cases and bids for funding	Chief Financial Officer	Deputy Director - Income and Performance / Finance and Performance Managers
32. Patients' Property (in conjunction with financial advice from the Head of Financial Services)		
a) Ensuring patients and guardians are informed about patients' monies and property procedures on admission	Chief Executive	Executive Director of Nursing and Quality Chief Nurse / Divisional General Managers / Heads of Department / Divisional Matrons
b) Prepare detailed written instructions for the administration of patients' property	Executive Director of Nursing and Quality Chief Nurse / Chief Financial Officer	Deputy Director of Nursing /Head of Financial Services
c) Informing staff of their duties in respect of patients' property	Executive Director of Nursing and Quality Chief Nurse	Divisional General Managers / Heads of Department / Divisional Matrons

TABLE A.9

DELEGATED MATTER	DELEGATED TO	OPERATIONAL RESPONSIBILITY / AUTHORITY
d) Issuing property of deceased patients (See SFI 15.9, 15.10)		Refer To Table B Delegated Limits
e) Repayment of cash held for safe keeping	Chief Financial Officer	Divisional General Managers / Head of Financial Services
33. Personnel & Pay (excluding non-Executive Directors whose remuneration, terms and conditions are dealt with by the Board of Governors Nominations Committee)		
a) Develop Human resource policies and strategies for approval by the board including employee relations	Executive Director of Human Resources	Deputy Director of Human Resources
b) Authority to fill funded post on the establishment with permanent staff	Executive Director of Human Resources	Budget Holders
c) The granting of additional increments to staff within budget	Executive Director of Human Resources	Executive Director of Human Resources
d) Develop training policies	Executive Director of Human Resources	Training Education and Development Manager
e) All requests for re-grading shall be dealt with in accordance with Foundation Trust Procedure	Executive Director of Human Resources	Budget Holders
f) Establishments		
<ul style="list-style-type: none"> Recurrent changes to establishment outside existing recurrent funding <u>without</u> identified recurrent sources of funding 	Chief Executive	Chief Financial Officer

- Recurrent changes to establishment outside existing recurrent funding but with identified recurrent sources of funding

Chief Financial Officer

Divisional General Managers / Heads of Department / Deputy Directors

TABLE A.10

DELEGATED MATTER	DELEGATED TO	OPERATIONAL RESPONSIBILITY / AUTHORITY
<ul style="list-style-type: none"> Recurrent changes to establishment within existing recurrent funding 	Chief Financial Officer	Budget Holders
<ul style="list-style-type: none"> Terminations 	Executive Director of Human Resources	Line Managers
g) Pay		
<ul style="list-style-type: none"> Presentation of proposals to the Foundation Board of Directors for the setting of remuneration and conditions of service for those staff not covered by the Remuneration and Nominations Committee or national terms and conditions 	Chief Executive	Executive Director of Human Resources
<ul style="list-style-type: none"> Authority to complete recruitment request and employment contract variations forms 	Executive Director of Human Resources	Executive Directors / Divisional General Managers / Deputy Director of Finance Chief Financial Officer
<ul style="list-style-type: none"> Authority to commit pay expenditure 	Executive Director of Human Resources / Chief Financial Officer	Budget Holders
<ul style="list-style-type: none"> Approval of completed variable pay claims forms 	Chief Financial Officer	Budget Holders
<ul style="list-style-type: none"> Approval of travel and subsistence expenses 	Chief Financial Officer	Budget Holders
h) Leave		
<u>Annual Leave</u>		
<ul style="list-style-type: none"> Approval of annual leave 		Line/Departmental Manager
<ul style="list-style-type: none"> Approval of carry forward up to a maximum 5 days (to occur in exceptional circumstances only) 	Chief Executive	Chief Executive / Executive Directors / Director of Operations Chief Operating Officer
<ul style="list-style-type: none"> Approval to pay outstanding annual leave (except for leavers) 	Chief Executive	Chief Executive / Executive Directors / Director of Operations Chief Operating Officer
<u>Special Leave</u>	Executive Director of Human Resources	
<ul style="list-style-type: none"> Compassionate leave 		Divisional General Managers / Heads of Department
<ul style="list-style-type: none"> Special leave arrangements for domestic/personal/family reasons <ul style="list-style-type: none"> Paternity leave Carers leave Adoption leave 		Divisional General Managers / Heads of Department
(to be applied in accordance with Foundation Trust Policy)		
<ul style="list-style-type: none"> Special Leave – this includes Jury Service, Armed Services, School Governor (to be applied in accordance with Foundation Trust Policy) 		Divisional General Managers / Heads of Department
<ul style="list-style-type: none"> Leave without pay 		Relevant Executive Director
<ul style="list-style-type: none"> Medical Staff Leave of Absence – paid and unpaid 		Executive Medical Director
<ul style="list-style-type: none"> Time off in lieu 		Line/Departmental Manager
<ul style="list-style-type: none"> Maternity Leave - paid and unpaid 		Automatic approval with guidance
<u>Sick Leave</u>		
<ul style="list-style-type: none"> Extension of sick leave on pay 	Executive Director of Human Resources	Executive Director / Director of Operations Chief Operating Officer
<ul style="list-style-type: none"> Return to work part-time on full pay to assist recovery 	Executive Director of Human Resources	Divisional General Managers / relevant Director / Deputy Director of Finance Chief Financial Officer

TABLE A.11

DELEGATED MATTER	DELEGATED TO	OPERATIONAL RESPONSIBILITY / AUTHORITY
<u>Study Leave</u> <ul style="list-style-type: none"> • Non-medical leave • Medical staff study leave <ul style="list-style-type: none"> - Consultant / Career Grade - Doctors in training 	<p>Executive Director of Human Resources</p> <p>Executive Medical Director</p>	<p>Relevant Executive Director / Divisional General Managers</p> <p>Service Directors</p> <p>Post Graduate Tutor</p>
<p>i) Removal Expenses, Excess Rent and House Purchases in accordance with Trust policy</p> <p>Authorisation of payment of removal expenses incurred by officers taking up new appointments (providing consideration was promised at interview)</p>	Executive Director of Human Resources	Executive Director of Human Resources / Divisional General Managers
<p>j) Grievance Procedure</p> <p>All grievances cases must be dealt with strictly in accordance with the Grievance Procedure and the advice of the Executive Director of Human Resources must be sought when the grievance reaches the level of Director of OperationsChief Operating Officer / Heads of Department</p>	Executive Director of Human Resources	Executive Directors / Director of Operations Chief Operating Officer / Heads of Department
<p>k) Authorised - Car Users</p> <ul style="list-style-type: none"> ▪ Leased car ▪ Regular/standard car user arrangements 	<p>Chief Financial Officer</p> <p>Chief Financial Officer</p>	<p>Payroll & Pensions Manager</p> <p>Line/Department Manager</p>
<p>l) Mobile Phone Users</p>	Chief Financial Officer	Line/Department Manager
<p>m) Renewal of Fixed Term Contract</p>	See 33 (f)	See 33 (f)
<p>n) Operation of Staff Retirement Policy</p>	Chief Executive	Executive Director of Human Resources / Divisional General Managers

TABLE A.12

DELEGATED MATTER		DELEGATED TO	OPERATIONAL RESPONSIBILITY / AUTHORITY
o)	Redundancy	Board of Directors	Remuneration and Nominations Committee
p)	Ill Health Retirement Decision to pursue retirement on the grounds of ill-health following advice from the Occupational Health Department.	Executive Director of Human Resources	Divisional General Managers
q)	Disciplinary Procedure <ul style="list-style-type: none"> ▪ Chief Executive ▪ Others 	Chairman Chief Executive	To be applied in accordance with the Foundation Trust's Disciplinary Procedure
r)	Waiting List Payments <ul style="list-style-type: none"> ▪ Approval of Rates of Pay 	Chief Executive	Chief Financial Officer / Executive Director of Human Resources
s)	Ensure that all employees are issued with a Contract of employment in a form approved by the Board of Directors and which complies with employment legislation.	Executive Director of Human Resources	Deputy Director of Human Resources
t)	Engagement of staff not on the establishment <ul style="list-style-type: none"> ▪ Management Consultants ▪ Management of use and booking of pool staff <ul style="list-style-type: none"> a. Nursing b. Other ▪ Management of use and booking of agency staff <ul style="list-style-type: none"> a. Nursing b. Other 	Chief Executive / Chief Financial Officer Director of Operations Chief Operating Officer Divisional General Managers Director of Operations Chief Operating Officer Divisional General Managers	Budget Holders Budget Holders Budget Holders Budget Holders Budget Holders
34. Quotation, Tendering & Contract Procedures - Purchases			
a)	Services: <ul style="list-style-type: none"> ▪ Best value for money is demonstrated for all services provided under contract or in-house ▪ Nominate officers to oversee and manage contracts on behalf of the Foundation Trust 	Chief Financial Officer Chief Financial Officer	Director of Strategic Planning and Commercial Development Divisional General Managers / Heads of Department
b)	Competitive Tenders: <ul style="list-style-type: none"> ▪ Authorisation Limits ▪ Receipt and custody of tenders prior to opening ▪ Opening Tenders ▪ Decide if late tenders should be considered 	Chief Executive Chief Executive Chief Executive	Refer To Table B Delegated Limits Director of Corporate Services /Company Secretary Two officers from the approved list as authorised by the Audit and Assurance Committee Director of Strategic Planning and Commercial Development
c)	Quotations	Chief Executive	Refer To Table B Delegated Limits
d)	Waiving the requirement to request <ul style="list-style-type: none"> ▪ Tenders - subject to SOs ▪ Quotes - subject to SOs 	Chief Executive Chief Financial Officer	Director of Strategic Planning and Commercial Development Budget Holders
e)	Maintain contract register	Director of Strategic Planning and Commercial Development	Head of Commercial Services

TABLE A.13

DELEGATED MATTER	DELEGATED TO	OPERATIONAL RESPONSIBILITY / AUTHORITY
35. Records		
a) Review Foundation Trust's compliance with the Retention of Records Act and Department of Health – Records Management NHS Code of Practice 2006	Senior Information Risk Owner	Executive Directors / Divisional General Managers / Heads of Department
b) Ensuring the form and adequacy of the financial records of all departments	Chief Financial Officer	Deputy Director of Finance Chief Financial Officer
36. Reporting of Incidents to the Police		
a) Where a criminal offence is suspected <ul style="list-style-type: none"> Criminal offence of a violent nature Arson or theft Other 	Chief Executive	Executive/Senior Manager On-call / Divisional General Managers / Heads of Department / Caldicott Guardian
b) Where a fraud is involved (reporting to the NHS Directorate of Counter Fraud Services)	Chief Financial Officer	Head of Internal Audit / Local Counter Fraud Specialist
37. Risk Management		
<ul style="list-style-type: none"> Ensuring the Foundation Trust has a Risk Management Strategy and a programme of risk management Developing systems for the management of risk Developing incident and accident reporting systems Compliance with the reporting of incidents and accidents 	<p>Chief Executive</p> <p>Chief Financial Officer / Executive Medical Director / Executive Director of Nursing and Quality / Director of Governance / Company Secretary</p> <p>Executive Director of Nursing and Quality / Executive Medical Director / Director of Governance / Company Secretary</p> <p>Executive Director of Nursing and Quality / Chief Nurse / Executive Medical Director / Director of Corporate Services / Governance / Company Secretary</p>	<p>Director of Corporate Services Governance / Company Secretary</p> <p>Director of Corporate Services / Company Secretary / Head of Governance</p> <p>Divisional Clinical Directors / Head of Governance / Health & Safety Manager / Patient Safety Manager</p> <p>All staff</p>
<ul style="list-style-type: none"> Compliance with statutory safeguarding children and young people requirements 	Executive Medical Director	Named Nurse / Named Doctor for Safeguarding Children
38. Seal		
a) The keeping of a register of seal and safekeeping of the seal	Chief Executive	Director of Corporate Services / Company Secretary
b) Approval of documents for sealing	Chief Executive / Chief Financial Officer	Director of Strategic Planning and Commercial Development / Director of Corporate Services / Company Secretary
c) Attestation of seal in accordance with Standing Orders	Chairman / Chief Executive	Chairman / Director of Corporate Services / Company Secretary
d) Report to the Board of Directors at least quarterly	Chief Executive	Director of Corporate Services / Company Secretary
e) Property transactions and any other legal requirement for the use of the seal	Chairman / Chief Executive	Director of Corporate Services / Company Secretary
39. Setting of Fees and Charges (Income)		
a) Private Patient, Overseas Visitors, Income Generation and other patient related services	Chief Financial Officer	Deputy Director - Income & Performance
b) Non patient care income	Chief Financial Officer	Deputy Director - Income and Performance
c) Informing the Chief Financial Officer of monies due to the Foundation Trust	Chief Financial Officer	All Staff

TABLE A.14

DELEGATED MATTER	DELEGATED TO	OPERATIONAL RESPONSIBILITY / AUTHORITY
d) Recovery of debt	Chief Financial Officer	Head of Financial Services
40. Stores and Receipt of Goods		
a) Responsibility for systems of control over stores and receipt of goods, issues and returns	Director of Strategic Planning and Commercial Development	Head of Estates & Facilities / Head of Procurement / Head of Pharmacy / Head of IT
b) Stocktaking arrangements	Chief Financial Officer	Head of Financial Services
c) Recovery of debt	Chief Financial Officer	Head of Financial Services

Table B – Delegated Authority

All thresholds include the cost of non-recoverable VAT.

	Financial Limits (Subject to funding available in budget)	Includes:
1	CHARITABLE FUNDS	
1.1	Expenditure	
	Board of Directors	Over £100,000
	Charitable Funds Committee	Up to £100,000
	Chief Executive / Chief Financial Officer	Up to £25,000
	Fund Monitor and Manager	Up to £15,000
		Specific purpose funds only
2	LOSSES AND SPECIAL PAYMENTS	
2.1	Losses	
	Board of Directors	Over £100,000
	Audit and Assurance Committee	Up to £100,000
	Chief Executive / Chief Financial Officer	Up to £25,000
	- reported to the Audit and Assurance Committee	
2.2	Special Payments – Non-Clinical Negligence (Clinical Negligence litigation payments managed by the NHSLA)	
	Chief Executive / Chief Financial Officer	Over £10,000
	Director of Corporate Services /Company Secretary	Up to £10,000
	- reported to the Audit and Assurance Committee	
		Non-clinical Negligence payments by the NHSLA, through the RPST, subject to scheme excesses
2.3	Special Payments – Others (Ex-gratia payments)	
	Board of Directors	Over £100,000
	Audit and Assurance Committee	Up to £100,000
	Chief Executive / Chief Financial Officer	Up to £25,000
	- reported to the Audit and Assurance Committee	
2.4	Special Payments - made under legal obligation – not related to negligence claims	
	Chief Executive	Over £30,000
	Director of Corporate Services / Company Secretary / Executive Director of Human Resources	Up to £30,000
3	HOSPITALITY/GIFTS	
	Director of Corporate Services /Company Secretary	Over £25
		Personal gifts or hospitality
4	PETTY CASH DISBURSEMENTS (authority to pay)	
4.1	Sundry Exchequer Items	
	Chief Financial Officer or Nominated Deputy	Over £100
	Petty Cash Imprest Holder	Up to £100
		On receipt of signed claim form from an authorised Budget Holder
4.2	Petty Cash Float Reimbursement	
	Petty Cash Imprest Holder	Up to £3,100
	Petty Cash Imprest Holder	Up to £2,000
	Petty Cash Imprest Holder	Up to £800
	Petty Cash Imprest Holder	Up to £700
		King's Mill total imprest balance
		Newark total imprest balance
		Mansfield total imprest balance
		Ashfield total imprest balance
5	PATIENTS' PROPERTY (INCLUDING CASH)	
5.1	Inpatients and Discharged Patients	
	Head of Financial Services	Over £250
	Petty Cash Imprest Holder	Up to £250
		On receipt of the appropriate Reclaim Form
		On receipt of a signed claim form from an authorised Budget Holder and the patient
5.2	Deceased Patients	
	<u>Testate</u>	
	Director of Operations Chief Operating Officer / Head of Financial Services	Over £5,000
		Copy of Probate required
	Director of Operations Chief Operating Officer / Head of Financial Services	Up to £5,000
		To the executor to the will on receipt of indemnity
	<u>Intestate</u>	
	Director of Operations Chief Operating Officer / Head of Financial Services	Any amount
		Letter of Administration required

	Financial Limits (Subject to funding available in budget)	Includes:	
6	QUOTATIONS AND TENDERS (SOs Section 9)		
6.1	Quotations		
	Director of Strategic Planning and Commercial Development / Head of Procurement	Over £25,000	To be advertised on the website www.gov.uk/contracts-finder
	Director of Strategic Planning and Commercial Development / Head of Procurement	£5,000 to £25,000	Obtain minimum of 3 informal quotations for goods/services/disposals
6.2	Tenders		
	Official Journal of the European Union (OJEU)	£111,676,106,047 £4,332,0124,104,394	Supplies and Services Works
	Director of Strategic Planning and Commercial Development / Head of Procurement	Over £25,000 (in compliance with EC Directives as appropriate)	Competitive Tenders: Obtaining a minimum of 3 written competitive tenders for goods, services, materials, manufactured articles, rendering of services (including Management Consultancy) construction and disposals
7	REQUISITIONING GOODS AND SERVICES, AND APPROVING PAYMENTS WITHOUT AN APPROVED REQUISITION		
7.1	Revenue Expenditure		
	Board of Directors	Over £250,000 1,000,000	Over £250,000 subject to Monitor approval where necessary
	Finance Committee	Up to £250,000 1,000,000	Over £250,000 subject to Monitor approval where necessary
	Executive Team Executive Board members	Up to £250,000 Up to £100,000	Voting and non-voting members
	Aggregate-Prime Budget Holders	Up to £50,000	Executive Directors / Director of Strategic Planning and Commercial Development / Director of Operations / Divisional General Managers / Deputy Divisional General Managers / Deputy Chief Financial Officer / Deputy Director of Finance – Income & Performance / Director of Corporate Services / Company Secretary / Divisional Nurse Matrons / Chief Pharmacist / Clinical Directors
	Budget Holders	Up to £25,000	One per cost centre
	Other Authorised Signatories	Up to £1,000	
7.2	Private Financing Initiative Charges		
	Chief Executive or Chief Financial Officer	Up to value of monthly charge in agreed contract	Director of Strategic Planning and Commercial Development Head of Commercial Services to verify invoice amounts
8	CAPITAL EXPENDITURE AND BUSINESS CASES – including external tenders for services provided		
8.1	Total Project Value		
	Board of Directors	Over £1,000,000	Advised by Finance Committee - over £250,000 subject to Monitor approval where necessary
	Finance Committee	Up to £1,000,000	Subject to Trust Management Board Executive Team approval and part of approved Capital plan
	Trust Management Board Executive Team Commercial Development Capital Planning Group	Up to £250,000 Up to £150,000 100,000	Over £250,000 subject to Monitor approval where necessary
9	ASSET DISPOSALS		
9.1	Asset Register items (Net Book Value) – including accelerated depreciation		
	Board of Directors	Any value	Land and Buildings
	Chief Financial Officer - reported to the Audit and Assurance Committee	Over £25,000	All other assets
	Deputy Director of Finance Chief Financial Officer	Up to £25,000	All other assets
9.2	Non-Asset Register items (Replacement Cost)		
	Chief Financial Officer - reported to the Audit and Assurance Committee	Over £25,000	
	Deputy Director of Finance Chief Financial Officer	Up to £25,000	
	Divisional General Managers	Up to £1,000	
10	COMMERCIAL SPONSORSHIP		
	Director of Strategic Planning and Commercial Development	Over £5,000	

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	Financial Limits (Subject to funding available in budget)	Includes:
	Executive Directors	Up to £5,000
11	VIREMENTS	Conditions:
	Executive Directors / Director of Operations Chief Operating Officer / Deputy Director of Finance Chief Financial Officer	Over £5,000 Total Division/Department budget remains in balance
	Budget Holders	Up to £5,000 Total Division/Department budget remains in balance