

**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 Accountability 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 ~~Executive Director of Finance~~ [Chief Financial Officer](#). In the absence of the ~~Executive Director of Finance~~ [Chief Financial Officer](#), appropriate advice should be sought from the Deputy Director of Finance ~~and Procurement~~.

3. RESERVATION OF POWERS TO THE BOARD OF DIRECTORS

3.1 Accountability

The Code of Accountability, 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 is maintain a monitoring role. These 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.
- Approval of arrangements for dealing with complaints.
- 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 (~~Community Health and Standards~~) Act ~~2003~~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.

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- 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 [in accordance with SO 6.8.7](#).
- 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

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- 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

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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

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- 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 [\(in excess of £5m\) 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 PFI proposals.~~

- 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 over £1,000,000 per annum or £2,000,000 in total if the period of the contract is longer than 3 years.
- 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 ~~Executive Director of Finance~~ 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 £25,000 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 ~~Board of Governors~~ Council of Governors.

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3.8 Annual Reports and Accounts

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

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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 ~~Executive Director of Finance~~ Chief Financial Officer on financial performance against budget and business plan and receive the minutes of the ~~Investments Finance~~ Investments Finance Committee.

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4. DELEGATION OF POWERS TO COMMITTEES

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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

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5.1 Delegation

Standing Orders and Standing Financial Instructions set out in some detail the financial responsibilities of the Chief Executive, the ~~Executive Director of Finance~~ 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 Committee Audit and Assurance Committee	Audit 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 Executive Director of Finance 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	Executive Director of Finance Chief Financial Officer	Executive Director of Finance 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 Board of Governors Council of Governors has to ratify the replacement or removal of the external auditor. See Section 3)	Audit Committee Audit and Assurance Committee	Executive Director of Finance Chief Financial Officer
b) Review, appraise and report in accordance with Government Internal Audit Standards (GIAS) and best practice.	Audit Committee Audit and Assurance Committee	Head of Internal Audit
c) Provide an independent and objective view on internal control and probity.	Audit Committee Audit and Assurance Committee	Internal Audit / External Audit
d) Ensure cost-effective audit service	Audit Committee Audit and Assurance Committee	Executive Director of Finance Chief Financial Officer
e) Implement recommendations	Executive Director of Finance Chief Financial Officer	Relevant Officers

TABLE A.2

DELEGATED MATTER	DELEGATED TO	OPERATIONAL RESPONSIBILITY / AUTHORITY
f) Track progress of recommendation implementation	Executive Director of Finance Chief Financial Officer	Deputy Director of Finance Head of Compliance and Systems
2. Authorisation of Clinical Trials & Research Projects	Chief Executive or Executive Director of Finance Chief Financial Officer and Executive Nurse Director Executive Medical Director	Research & Development Committee
3. Authorisation of New Drugs	Chief Executive	Medicines Management Committee
4. Bank/OPG 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"> OPG schedules BACS schedules Automated cheque schedules Manual cheques b) Investment of surplus funds in accordance with the Foundation Trusts investment policy	Executive Director of Finance Chief Financial Officer Executive Director of Finance Chief Financial Officer Executive Director of Finance Chief Financial Officer Executive Director of Finance Chief Financial Officer Executive Director of Finance Chief Financial Officer	Head of Financial Services Executive Director of Finance 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 Head of Financial Services
c) Petty Cash	Executive Director of Finance Chief Financial Officer	Refer To Table B Delegated Limits
5. Business Cases		
(a) Preparation of business cases	Chief Executive	Executive Directors / Divisional General Managers / Director of Strategic Planning and Commercial Development
(b) Approval of business cases which generate a positive financial contribution	Chief Executive	Refer To Table B Delegated Limits
(c) Approval of business cases 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 Preparation of a full business case for expenditure over OJEU limit 	Chief Executive Chief Executive Chief Executive	Executive Director of Finance Chief Financial Officer Executive Director of Finance / Director of Corporate Development Director of Strategic Planning and Commercial Development Executive Directors / Directors of Operations Divisional General Managers and other directors/ Director of Strategic Planning and

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TABLE A.3

DELEGATED MATTER	DELEGATED TO	OPERATIONAL RESPONSIBILITY / AUTHORITY
<ul style="list-style-type: none"> 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 <ul style="list-style-type: none"> Non-IT IT 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 Issuing the capital scheme project manager with specific authority to commit capital, proceed / accept tenders in accordance with the SOs and SFIs 	<p>Executive Director of Finance Chief Financial Officer</p> <p>Chief Executive and/or Executive Director of Finance Chief Financial Officer</p> <p>Chief Executive</p> <p>Chief Executive</p> <p>Executive Director of Finance Chief Financial Officer</p> <p>Chief Executive</p> <p>Executive Director of Finance Chief Financial Officer</p>	<p>Commercial Development</p> <p>Director of Corporate Development Director of Strategic Planning and Commercial Development Corporate Finance Manager Financial Planning and Strategy Manager</p> <p>Refer to Table B Delegated Limits</p> <p>Director of Corporate Development Director of Strategic Planning and Commercial Development</p> <p>Director of Health Informatics Chief Financial Officer</p> <p>Director of Corporate Development Director of Strategic Planning and Commercial Development</p> <p>Executive Director of Finance Director of Strategic Planning and Commercial Development</p> <p>Refer to Table B Delegated Limits</p>
<p>b) Private Finance:</p> <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 must be specifically agreed by the Board of Directors <p>c) Leases (including property, equipment, finance leases 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>d) Finance leases (any value)</p>	<p>Chief Executive</p> <p>Chief Executive</p> <p>Board of Directors</p> <p>Board of Directors</p>	<p>Executive Director of Finance Chief Financial Officer</p> <p>Executive Director of Finance Director of Strategic Planning and Commercial Development</p> <p>Chief Executive / Executive Director of Finance Director of Strategic Planning and Commercial Development</p> <p>Chief Financial Officer</p>
<p>7. Clinical Audit</p>	<p>Chief Executive</p>	<p>Associate Medical Director for Audit Lead Clinician for Clinical Audit - / Service Directors / Clinical Managers / Department Heads / Clinical Audit Department</p>
<p>8. Commercial Sponsorship</p> <p>Agreement to proposal</p> <ul style="list-style-type: none"> Over £5,000 	<p>Chief Executive</p>	<p>Chief Executive Director of Strategic Planning and Commercial Development</p>

TABLE A.4

DELEGATED MATTER	DELEGATED TO	OPERATIONAL RESPONSIBILITY / AUTHORITY
- Up to £4,999	Chief Executive	Executive Director
9. Complaints (Patients & Relatives)		
a) Overall responsibility for ensuring that all complaints are dealt with effectively	Executive Nurse Director Executive Director of Nursing and Quality	Complaints and Litigation Services Manager Divisional Matrons
b) Responsibility for ensuring complaints relating to a division / department are investigated thoroughly.	Executive Nurse Director Executive Director of Nursing and Quality	Directors of Operations Divisional General Managers
c) Medico - Legal Complaints Coordination of their management.	Director of Corporate Services Company Secretary	Complaints and Litigation Services Manager Legal Services Manager
10. Confidential Information		
Review of the Foundation Trust's compliance with the Caldicott report on protecting patients' confidentiality in the NHS	Executive Nurse Director Caldicott Guardian	Head of Information Governance Executive Director of Nursing and Quality / Executive Medical Director
Freedom of Information Act compliance code	Chief Executive	Director of Health Informatics Senior Information Risk Owner
11. Data Protection Act		
Review of Foundation Trust's compliance	Chief Executive	Director of Health Informatics Senior Information Risk Owner
12. Declaration of Interest		
• Maintaining a register	Chief Executive	Director of Corporate Services Company Secretary
• Declaring relevant and material interest	All Directors	All staff
13. Disposal and Condemnations		
• Items obsolete, redundant, irreparable or cannot be repaired cost effectively	Executive Director of Finance Chief Financial Officer	Refer to Table B Delegated Limits
• Develop arrangements for the sale of assets	Executive Director of Finance 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 Corporate Development Director of Strategic Planning and Commercial Development
15. External Borrowing		
a) Advise Board of Directors of the requirements to repay / draw down Public Dividend Capital.	Executive Director of Finance Chief Financial Officer	Head of Financial Services
b) Application for draw down of Public Dividend Capital and other forms of foundation trust funding.	Executive Director of Finance Chief Financial Officer	Head of Financial Services
c) Application for draw down of overdrafts and other forms of external borrowing.	Executive Director of Finance Chief Financial Officer	As per Section 4.3 of the Treasury Management Policy
d) Preparation of procedural instructions	Executive Director of Finance Chief Financial Officer	Head of Financial Services
16. Financial Planning / Budgetary Responsibility		
a) Setting: <ul style="list-style-type: none"> Submit agreed business plan to the Board of Directors 	Chief Executive	Executive Director of Strategy and Improvement Director of Strategic Planning

TABLE A.5

DELEGATED MATTER	DELEGATED TO	OPERATIONAL RESPONSIBILITY / AUTHORITY
<ul style="list-style-type: none"> Submit capital and revenue budgets to the Board of Directors Submit to Board financial estimates and forecasts 	Chief Executive	and Commercial Development Executive Director of Finance Chief Financial Officer
b) Monitoring:		
<ul style="list-style-type: none"> Monitor performance against budget 	Executive Director of Finance Chief Financial Officer	Divisional Business Accountants Finance and Performance Managers
<ul style="list-style-type: none"> Delegate budgets to budget holders 	Chief Executive	Executive Director of Finance Chief Financial Officer
<ul style="list-style-type: none"> Ensuring adequate training is delivered to budget holders to facilitate their management of the allocated budget. 	Executive Director of Finance Chief Financial Officer	Divisional Business Accountants Finance and Performance Managers
<ul style="list-style-type: none"> Submit in accordance with Monitor's requirements financial monitoring returns 	Chief Executive	Executive Director of Finance Chief Financial Officer
<ul style="list-style-type: none"> Meet reporting requirements of banking terms and conditions 	Chief Executive	Executive Director of Finance Chief Financial Officer
<ul style="list-style-type: none"> Identify and implement cost improvements and income generation activities in line with the Business Plan 	Chief Executive	All budget holders
Preparation of:		
<ul style="list-style-type: none"> Annual Accounts 	Executive Director of Finance Chief Financial Officer	Deputy Director of Finance
<ul style="list-style-type: none"> Annual Report 	Chief Executive	Director of Corporate Services Company Secretary
c) Authorisation of Virement: It is not possible for any officer to vire from non-recurring headings to recurring budgets or from capital to revenue / revenue to capital. Virement between different budget holders requires the agreement of both parties.	Executive Director of Finance Chief Financial Officer	Refer To Table B Delegated Limits
17. Financial Procedures and Systems		
a) Maintenance & and Update of Foundation Trust Financial Procedures	Executive Director of Finance Chief Financial Officer	Deputy Director of Finance
b) Responsibilities:		
<ul style="list-style-type: none"> Implement Foundation Trust's financial policies and co-ordinate corrective action 	Executive Director of Finance Chief Financial Officer	Deputy Director of Finance
<ul style="list-style-type: none"> Ensure that adequate records are maintained to explain Foundation Trust's transactions and financial position 		Head of Financial Services
<ul style="list-style-type: none"> Providing financial advice to members of the Board of Directors and staff 		Deputy Director of Finance / Head of Financial Services
<ul style="list-style-type: none"> Ensure that appropriate statutory records are maintained 		Head of Financial Services
<ul style="list-style-type: none"> Designing and maintaining compliance with all financial systems 		Deputy Director of Finance
18. Fire precautions	Chief Executive	Executive Director of Human Resources / Fire and Security Manager Specialist Fire Prevention and Security Officer
<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 		

TABLE A.6

DELEGATED MATTER	DELEGATED TO	OPERATIONAL RESPONSIBILITY <u>/ AUTHORITY</u>
19. Fixed Assets		
a) Maintenance of Trust asset register including asset identification and monitoring	Executive Director of Finance Chief Financial Officer	Corporate Finance Manager / 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
cb) Ensuring arrangements for financial control and financial audit of building and engineering contracts and property transactions comply with CONCODE and ESTATECODE.	Executive Director of Finance Chief Financial Officer	Contract Management Team
de) Calculate and pay capital charges in accordance with the requirements of the Independent Regulator	Executive Director of Finance Chief Financial Officer	Corporate Finance Manager / Head of Financial Services / Financial Accountant
ed) Responsibility for security of Foundation Trust's assets including notifying discrepancies to the Executive Director of Finance 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 	Executive Director of Finance Chief Financial Officer (supported by the Charitable Trustees)	Deputy Director of Finance / Head of Financial Services
b) Maintenance of authorised signatory list of nominated fund holders.	Executive Director of Finance Chief Financial Officer	Head of Financial Services
c) Expenditure Limits	Executive Director of Finance Chief Financial Officer	Refer To Table B Delegated Limits
d) Developing systems for receiving donations	Executive Director of Finance Chief Financial Officer	Head of Financial Services
e) Dealing with legacies	Executive Director of Finance Chief Financial Officer	Head of Financial Services
f) Fundraising Appeals <ul style="list-style-type: none"> Preparation and monitoring of budget Reporting progress and performance against budget. 	Investments Finance Committee Executive Director of Finance Chief Financial Officer Executive Director of Finance Chief Financial Officer	Fundraising Customer Services Manager Fund Raising Customer Services Manager with advice from Head of Financial Services Fund Raising 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 Opening bank accounts 	Executive Director of Finance Chief Financial Officer Executive Director of Finance Chief Financial Officer	Head of Financial Services Executive Director of Finance / Head of Financial Services
h) Investments: <ul style="list-style-type: none"> Nominating deposit taker Placing transactions in accordance with the Charitable Funds Investment Policy 	Investments Finance Committee Executive Director of Finance Chief Financial Officer	Executive Director of Finance / Chief Financial Officer Head of Financial Services

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TABLE A.7

DELEGATED MATTER	DELEGATED TO	OPERATIONAL RESPONSIBILITY / AUTHORITY
	Officer	
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 (Executive Nurse Director)
24. Information Management & Technology		
Financial Systems <ul style="list-style-type: none"> Developing financial systems in accordance with the Foundation Trust's IM&T Strategy Implementing new systems ensuring that they are developed in a controlled manner and thoroughly tested Seeking third party assurances regarding financial systems operated externally Ensuring that contracts for computer services for financial applications define responsibility re security, privacy, accuracy, completeness and timeliness of data during processing and storage 	Executive Director of Finance Chief Financial Officer / Director of Health Informatics NHIS	Systems Accountant and Staff Development Manager Head of Compliance and Systems in conjunction with IT advisors
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	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	Executive Director of Finance Chief Financial Officer
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)		Refer To Table B Delegated Limits

TABLE A.8

DELEGATED MATTER	DELEGATED TO	OPERATIONAL RESPONSIBILITY / AUTHORITY
<p>Damage to buildings, fittings, furniture and equipment in use due to culpable causes (e.g. fraud, theft, arson, neglect)</p> <p>General losses (e.g. linen and bedding, equipment, stores items)</p> <p>Unvouched payments</p> <p>Overpayment of salaries, fees and allowances</p> <p><u>Special Payments</u></p> <p>i) Clinical negligence after legal advice</p> <ul style="list-style-type: none"> Medical negligence <p>ii) Non-clinical negligence</p> <ul style="list-style-type: none"> Personal injury <p>iii) Other (Ex-gratia payments)</p> <ul style="list-style-type: none"> Compensation payments by Court Order To patients/staff for loss of personal effects Extra contractual payments to contractors <p>c) A register of all of the payments should be maintained by the Finance Department and made available for inspection</p> <p>d) A report of all of the above payments should be presented to the Audit Committee<u>Audit and Assurance Committee</u> at least annually.</p>	<p>Executive Director of Finance<u>Chief Financial Officer</u></p> <p>Executive Director of Finance<u>Chief Financial Officer</u></p>	<p>Refer To Table B Delegated Limits</p> <p>Head of Financial Services</p> <p>Head of Financial Services</p>
27. Meetings		
a) Calling meetings of the Foundation Trust Board	Chairman	Director of Corporate Services <u>Company Secretary</u>
b) Chair all Foundation Board of Directors meetings and associated responsibilities	Chairman	Chairman
28. Medical		
<ul style="list-style-type: none"> Clinical Governance arrangements 	Executive Medical Director / Executive Nurse Director <u>Executive Director of Nursing and Quality</u>	Associate Medical Director, Clinical Governance Lead Clinician for Clinical Audit / Divisional Clinical Directors / Service Directors / Directors of Nursing Services <u>Divisional Matrons</u>
<ul style="list-style-type: none"> Medical Leadership 	Executive Medical Director	Divisional Clinical Directors / Service Directors
<ul style="list-style-type: none"> Programmes of medical education 	Executive Medical Director	Director of Medical Education
<ul style="list-style-type: none"> Clinical staffing plans 	Chief Executive	Service Directors
<ul style="list-style-type: none"> Matters involving individual professional competence of medical staff 	Executive Medical Director	Associate Medical Director <u>Divisional Clinical Directors</u>
<ul style="list-style-type: none"> Medical Research 	Executive Nurse Director <u>Executive Medical Director</u>	Research and Development Committee Chairman / Evaluation, Audit and Research 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 / Head of Financial Services <u>Head of Compliance and Systems</u>
b) Obtain the best value for money when requisitioning goods/services	Chief Executive	Head of Procurement <u>Director of Strategic Planning and Commercial Development / Directors of Operations</u> <u>Divisional General Managers</u> / Heads of Department

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TABLE A.9

DELEGATED MATTER	DELEGATED TO	OPERATIONAL RESPONSIBILITY / AUTHORITY
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	Executive Director of Finance / Chief Financial Officer
d) Develop systems for the payment of accounts	Executive Director of Finance / Chief Financial Officer	Head of Financial Services
e) Prompt payment of accounts	Executive Director of Finance / Chief Financial Officer	Head of Financial Services
f) Financial Limits for ordering / requisitioning goods and services	Executive Director of Finance / 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 	Executive Nurse Director / Executive Director of Nursing and Quality Executive Nurse Director / Executive Director of Nursing and Quality Executive Nurse Director / Executive Director of Nursing and Quality Executive Nurse Director / Executive Director of Nursing and Quality	Deputy Directors of Nursing / Divisional Matrons Deputy Directors of Nursing / Divisional Matrons Deputy Directors of Nursing / Divisional Matrons Deputy Directors of Nursing / Divisional Matrons
31. Patient Services Agreements		
a) Negotiation of Foundation Trust Contract and Non Commercial Contracts	Chief Executive	Executive Director of Finance / Chief Financial Officer / Executive Director of Strategy and Service Improvement / Director of Strategic Planning and Commercial Development / Deputy Director Income and Performance
b) Quantifying and monitoring out of area treatments	Executive Director of Finance / Chief Financial Officer	Commissioning Accountant / Deputy Director Income and Performance
c) Reporting actual and forecast income	Executive Director of Finance / Chief Financial Officer	Commissioning Accountant / Deputy Director Income and Performance
d) Costing Foundation Trust Contract and Non Commercial Contracts	Executive Director of Finance / Chief Financial Officer	Commissioning Accountant / Deputy Director Income and Performance
e) Reference costing / Payment by Results	Executive Director of Finance / Chief Financial Officer	Commissioning Accountant and Costing Development Accountant / Deputy Director of Finance
f) Ad hoc costing relating to changes in activity, developments, business cases and bids for funding	Executive Director of Finance / Chief Financial Officer	Deputy Director of Finance / Income and Performance / Commissioning Accountant / 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 Nurse Director / Executive Director of Nursing and Quality / Directors of Operations / Divisional General Managers / Heads of Department
b) Prepare detailed written instructions for the administration of patients' property	Executive Director of Finance / Executive Director of Nursing and Quality / Chief Financial Officer	Executive Nurse Director / Deputy Director of Nursing / -Head of Financial Services

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TABLE A.10

DELEGATED MATTER	DELEGATED TO	OPERATIONAL RESPONSIBILITY / AUTHORITY
c) Informing staff of their duties in respect of patients' property	Executive Director of Finance Executive Director of Nursing and Quality	Executive Nurse Director / Directors of Operations Divisional General Managers / Heads of Department
d) Issuing property of deceased patients (See SFI 15.9, 15.10) <ul style="list-style-type: none"> ▪ £4,999 <u>Up to £5,000</u> in accordance with agreed Foundation Trust policies ▪ >£5,000 only on production of a probate letter of administration 	Executive Director of Finance Chief Financial Officer Executive Director of Finance Chief Financial Officer	Refer To Table B Delegated Limits General Office Staff Head of Financial Services Directors of Operations Divisional General Managers / Head of Financial Services
e) Repayment of cash held for safe keeping	Executive Director of Finance Chief Financial Officer	Directors of Operations Divisional General Managers / Head of Financial Services
33. Personnel & Pay <u>(excluding non-Executive Directors whose remuneration, terms and conditions are dealt with by the Board of Governors Nominations Committee)</u>		
a) Develop Human resource policies and strategies for approval by the board including employee relations.	Executive Director of Human Resources	Assistant Deputy Directors 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 Nurse Director 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	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 • Recurrent changes to establishment outside existing recurrent funding but <u>with</u> identified recurrent sources of funding • Recurrent changes to establishment within existing recurrent funding 	Chief Executive Executive Director of Finance Chief Financial Officer Executive Director of Finance Chief Financial Officer	Executive Director of Finance Chief Financial Officer Divisional Business Accountant Divisional General Managers / Heads of Department / Deputy Directors Budget Holders
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 • Authority to complete recruitment request and employment contract variations forms • Authority to commit pay expenditure • Approval of completed variable pay claims forms • Approval of travel and subsistence expenses 	Chief Executive Executive Director of Human Resources Executive Director of Human Resources / Executive Director of Finance Chief Financial Officer Executive Director of Finance Chief Financial Officer Executive Director of Finance Chief Financial Officer	Executive Director of Human Resources Executive Directors / Directors of Operations Divisional General Managers / Deputy Director of Finance Budget Holders Budget Holders Budget Holders

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TABLE A.11

DELEGATED MATTER	DELEGATED TO	OPERATIONAL RESPONSIBILITY <u>/ AUTHORITY</u>
<p>h) Leave</p> <p><u>Annual Leave</u></p> <ul style="list-style-type: none"> Approval of annual leave Annual leave – approval of carry forward up to a maximum 5 days (to occur in exceptional circumstances only) <p><u>Special Leave</u></p> <ul style="list-style-type: none"> Compassionate leave Special leave arrangements for domestic/personal/family reasons <ul style="list-style-type: none"> Paternity leave Carers leave Adoption leave <p>(to be applied in accordance with Foundation Trust Policy)</p> <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) Leave without pay Medical Staff Leave of Absence – paid and unpaid Time off in lieu Maternity Leave - paid and unpaid 	<p>Chief Executive</p> <p>Executive Director of Human Resources</p>	<p>Line/Departmental Manager</p> <p>Chief Executive / Executive Directors / Directors of Operations</p> <p>Directors of Operations Divisional General Managers / Heads of Department</p> <p>Directors of Operations Divisional General Managers / Heads of Department</p> <p>Directors of Operations Divisional General Managers / Heads of Department</p> <p>Relevant Executive Director</p> <p>Executive Medical Director</p> <p>Line/Departmental Manager</p> <p>Automatic approval with guidance</p>

<p><u>Sick Leave</u></p> <ul style="list-style-type: none"> Extension of sick leave on pay or Return to work part-time on full pay to assist recovery <p><u>Study Leave</u></p> <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 Management Overseas Education Fund 	<p>Executive Director of Human Resources</p> <p>Executive Director of Human Resources</p> <p>Executive Director of Human Resources</p> <p>Executive Medical Director</p> <p>Executive Medical Director</p>	<p>Directors of Operations / relevant Director / Deputy Director of Finance</p> <p>Directors of Operations Divisional General Managers / relevant Director / Deputy Director of Finance</p> <p>Relevant Executive Director / Director of Operations Divisional General Managers</p> <p>Service Directors</p> <p>Post Graduate Tutor</p> <p>Associate Medical Director (Audit)</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>	<p>Executive Director of Human Resources</p>	<p>Executive Director of Human Resources / Directors of Operations Divisional General Managers</p>
<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 Directors of Operations / Heads of Department</p>	<p>Executive Director of Human Resources</p>	<p>Executive Directors / Directors of Operations / Heads of Department</p>

TABLE A.12

DELEGATED MATTER		DELEGATED TO	OPERATIONAL RESPONSIBILITY / AUTHORITY
k)	<p>Authorised - Car Users</p> <ul style="list-style-type: none"> ▪ Leased car ▪ Regular/standard car user arrangements 	<p>Chief Executive</p> <p><u>Executive Director of Finance</u> <u>Chief Financial Officer</u></p>	<p><u>Executive Director of Finance</u> <u>Chief Financial Officer</u></p> <p>Line/Department Manager</p>
l)	Mobile Phone Users	<p><u>Executive Director of Finance</u> <u>Chief Financial Officer</u></p>	Line/Department Manager
m)	Renewal of Fixed Term Contract	See 33 (f)	See 33 (f)
n)	Operation of Staff Retirement Policy	Chief Executive	Executive Director of Human Resources / <u>Directors of Operations</u> <u>Divisional General Managers</u>
o)	Redundancy	Board of Directors	Remuneration <u>and Nominations</u> Committee
p)	<p>Ill Health Retirement</p> <p>Decision to pursue retirement on the grounds of ill-health following advice from the Occupational Health Department.</p>	Executive Director of Human Resources	<u>Directors of Operations</u> <u>Divisional General Managers</u>
q)	<p>Disciplinary Procedure</p> <ul style="list-style-type: none"> ▪ <u>Chief Executive</u> <u>Directors</u> ▪ Others 	<p>Chairman</p> <p>Chief Executive</p>	To be applied in accordance with the Foundation Trust's Disciplinary Procedure
r)	<p>Waiting List Payments</p> <ul style="list-style-type: none"> ▪ Approval of Rates of Pay 	Chief Executive	<u>Executive Director of Finance</u> <u>Chief Financial Officer</u> / 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	<u>Assistant Executive Deputy</u> - Director of Human Resources
t)	<p>Engagement of staff not on the establishment</p> <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 	<p><u>Executive Nurse</u> <u>Director</u> <u>Director of Operations</u></p> <p><u>Directors of Operations</u> <u>Divisional General Managers</u></p>	<p>Refer to Table B Delegated Limits</p> <p>Budget Holders</p> <p><u>Heads of Service</u> <u>Budget Holders</u></p>
	<ul style="list-style-type: none"> ▪ Management of use and booking of agency staff <ul style="list-style-type: none"> a. Nursing b. Other 	<p><u>Executive Nurse</u> <u>Director</u> <u>Director of Operations</u></p> <p><u>Directors of Operations</u> <u>Divisional General Managers</u></p>	<p><u>Heads of Nursing</u> <u>Budget Holders</u></p> <p>Budget Holders</p>
34. Quotation, Tendering & Contract Procedures			
a)	<p>Services:</p> <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. 	<p><u>Executive Director of Finance</u> <u>Chief Financial Officer</u></p> <p><u>Executive Director of Finance</u> <u>Chief Financial Officer</u></p>	<p><u>Deputy Director of Finance</u> <u>Director of Strategic Planning and Commercial Development</u></p> <p><u>Directors of Operations</u> <u>Divisional General Managers</u> / Heads of Department</p>

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TABLE A.13

DELEGATED MATTER	DELEGATED TO	OPERATIONAL RESPONSIBILITY / AUTHORITY
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 c) Quotations d) Waiving the requirement to request <ul style="list-style-type: none"> • Tenders - subject to SOs • Quotes - subject to SOs 	Chief Executive Chief Executive Chief Executive Chief Executive Chief Executive Chief Executive Executive Director of Finance Chief Financial Officer	Refer To Table B Delegated Limits Chief Executive Director of Corporate Services / Company Secretary Two officers from the approved list as authorised by the Audit Committee and Assurance Committee Executive Director of Finance Chief Financial Officer Refer To Table B Delegated Limits Chief Executive Director of Strategic Planning and Commercial Development Budget Holders
35. Records		
a) Review Foundation Trust's compliance with the Retention of Records Act and HSC(99)053 and Department of Health – Records Management NHS Code of Practice 2006 b) Ensuring the form and adequacy of the financial records of all departments	Director of Health Informatics Senior Information Risk Owner Executive Director of Finance Chief Financial Officer	Executive Directors / Directors of Operations Divisional General Managers / Heads of Department Deputy Director of Finance
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 b) Where a fraud is involved (reporting to the Directorate of Counter Fraud Services)	Chief Executive Executive Director of Finance Chief Financial Officer	General Executive / Senior Manager On-call / Directors of Operations Divisional General Managers / Heads of Department / Caldicott Guardian (Executive Nurse Director) Head of Internal Audit / Local Counter Fraud Officer 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 • Compliance with statutory safeguarding children and young people requirements 	Chief Executive Executive Nurse Director / Executive Director of Finance Chief Financial Officer / Executive Medical Director / Executive Director of Nursing and Quality Executive Nurse Director Executive Director of Nursing and Quality / Executive Medical Director Executive Nurse Director Executive Director of Nursing and Quality / Company Secretary Executive Nurse Director Executive Medical Director	Executive Director of Finance / Director of Corporate Services / Company Secretary Director of Corporate Services / Company Secretary / Health & Safety Manager / Evaluation, Audit and Research Manager Associate Medical Director / Health & Safety Manager / Patient Safety Manager All staff Named Nurse / Named Doctor for Safeguarding Children
38. Seal		

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TABLE A. 14

DELEGATED MATTER	DELEGATED TO	OPERATIONAL RESPONSIBILITY / AUTHORITY
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 / Executive Director of Finance Chief Financial Officer	Director of Corporate Development 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.	Executive Director of Finance Chief Financial Officer	Commissioning Accountant Deputy Director of Finance
b) Non patient care income	Executive Director of Finance Chief Financial Officer	Deputy Director of Finance Income and Performance
c) Informing the Executive Director of Finance Chief Financial Officer of monies due to the Foundation Trust	Executive Director of Finance Chief Financial Officer	All Staff
d) Recovery of debt	Executive Director of Finance Chief Financial Officer	Head of Financial Services
e) Security of cash and other negotiable instruments	Executive Director of Finance 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	Executive Director of Finance Director of Strategic Planning and Commercial Development	Head of Procurement / Head of Pharmacy
b) Stocktaking arrangements	Executive Director of Finance 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	General Funds	
	Board of Directors	Over £25,000 and above
	Investments Charitable Funds Committee	£15,000 – £24,999 Up to £25,000
	Chief Executive / Executive Director of Finance / Chief Financial Officer	£7,500 – £14,999 Up to £15,000
	Fund Monitor and Manager	£7,499 Up to £7,500
2	LOSSES AND SPECIAL PAYMENTS	
2.1	Losses	
	Board of Directors	Over £100,000
	Audit Committee / Audit and Assurance Committee	Up to £100,000
	Chief Executive / Executive Director of Finance / Chief Financial Officer	Up to £25,000
	- reported to the Audit Committee / Audit and Assurance Committee	
2.2	Special Payments – Clinical Negligence	
	Chief Executive / Executive Director of Finance / Chief Financial Officer	Over £25,000
	Director of Corporate Services / Company Secretary	Up to £25,000
		Clinical Negligence litigation payments made by the NHSLA, through CNST. No excesses apply
2.3	Special Payments – Non-Clinical Negligence	
	Chief Executive / Executive Director of Finance / Chief Financial Officer	Over £10,000
	Director of Corporate Services / Company Secretary	Up to £10,000
	- reported to the Audit Committee / Audit and Assurance Committee	Non-clinical Negligence payments by the NHSLA, through the RPST, subject to scheme excesses
2.4	Special Payments – Others (Ex-gratia payments)	
	Board of Directors	Over £100,000
	Audit Committee / Audit and Assurance Committee	Up to £100,000
	Chief Executive / Executive Director of Finance / Chief Financial Officer	Up to £25,000
	- reported to the Audit Committee / Audit and Assurance Committee	All subject to Monitor/Treasury approval
2.5	Legal fees – not related to negligence claims	
	Chief Executive	Over £10,000 / £30,000
	Director of Corporate Services / Company Secretary / Executive Director of Human Resources	Up to £10,000 / £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	
	Executive Director of Finance / 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
		KMH King's Mill total imprest balance
		Newark total imprest balance
		Mansfield total imprest balance
		Ashfield total imprest balance

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	Financial Limits (Subject to funding available in budget)	Includes:
5	PATIENTS' PROPERTY (INCLUDING CASH)	Conditions:
5.1	Inpatients and Discharged Patients	
	Head of Financial Services / Financial Controller Petty Cash Imprest Holder	Over £250 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> Directors of Operations / Head of Financial Services	Over £5,000 Copy of Probate required
	Directors of Operations / Head of Financial Services	Up to £5,000 To the executor to the will on receipt of indemnity
	<u>Intestate</u> Directors of Operations / Head of Financial Services	Any amount Letter of Administration required
6	QUOTATIONS AND TENDERS (SOs Section 9)	
6.1	Quotations	
	Director of Corporate Development Director of Strategic Planning and Commercial Development / Head of Procurement / Deputy Head of Procurement	£20,000 to £50,000 Quotations: Obtaining a minimum of 3 written competitive quotations for goods/services
	Director of Corporate Development / Director of Strategic Planning and Commercial Development / Head of Procurement / Deputy Head of Procurement	£5,000 to £20,000 Obtain minimum of 3 informal quotations for goods/services/disposals
6.2	Tenders	
	Official Journal of the European Union (OJEU)	£101,323 £111,676 £3,927,260 £4,332,012 Supplies and Services Works
	Director of Corporate Development Director of Strategic Planning and Commercial Development / Head of Procurement	Over £50,000 (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 £1,000,000
	Chief Executive and/or Executive Director of Finance Finance Committee	Up to £1,000,000 <u>Subject to Executive Management Board approval</u>
	Executive Directors / Director of Strategic Planning and Commercial Development / Directors of Operations / Divisional General Managers / Deputy Director of Finance / Director of Corporate Services / Company Secretary	Up to £100,000
	Budget Holders	Up to £50,000
	Other Authorised Signatories	Up to £10,000
7.2	Capital Expenditure (Subject to annual programme being approved by Board of Directors)	
	Either Chief Executive or Chief Financial Officer and Chairman	<u>Over £1,000,000</u> <u>For approved business cases</u> Subject to Executive, Trust Management Board approval and part of approved Capital plan
	Board of Directors	Over £1,000,000
	Chief Executive / Executive Director of Finance Chief Financial Officer	Up to £1,000,000
	Executive Directors / Director of Strategic Planning and Commercial Development / Directors of Operations / Divisional General Managers / Deputy Director of Finance	Up to £100,000
	Budget Holders	Up to £50,000
7.3	Management Consultants (Including Professional Services)	
	Board of Directors	Over £100,000
	Chief Executive	Up to £100,000
	Executive Directors	Up to £15,000

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	Financial Limits (Subject to funding available in budget)	Includes:	
7.4	Public Financing Initiatives – Unitary Charge		
	Chief Executive or Chief Financial Officer	Up to value of monthly charge in agreed contract	Director of Strategic Planning and Commercial Development / Director of Estates and Facilities to verify invoice amounts
8	CAPITAL PROJECTS		
8.1	Revenue Expenditure		
	Board of Directors as advised by Investments Committee	Over £1,000,000	Advised by Finance Committee
	Executive Trust Management Board	Up to £1,000,000	
	Capital Management Commercial Development Group / Business Intelligence and Information Technology Board	Up to £50,000	Executive Director of Finance Chief Financial Officer / Directors of Operations Divisional General Managers to ascertain that funds are available
8.2	Capital Expenditure		
	Board of Directors as advised by Investments Committee	Over £5,000,000	Advised by Finance Committee
	Investments Finance Committee	Up to £5,000,000	
	Executive Trust Management Board	Up to £1,000,000	
	Capital Management Commercial Development Group / Business Intelligence and Information Technology Board	Up to £150,000	
8.3	Public Financing Initiatives		
	Board of Directors	Over £150,000	
	Investments Finance Committee	Up to £150,000	
	Capital Management Commercial Development Group / Business Intelligence and Information Technology Board	Up to £10,000	Directors of Operations Divisional General Managers to ascertain that funds are available
9	BUSINESS CASE APPROVAL		
	Board of Directors	Over £5,000,000	
	Trust Management Board	Up to £5,000,000	
	Financial Planning, Investment and Commercial Development Committee	Up to £250,000	
9-10	ASSET DISPOSALS		
9-11	Asset Register items (Net Book Value) – including accelerated depreciation		
0.1	Board of Directors	Any value	Land and Buildings
	Executive Director of Finance Chief Financial Officer	Over £25,000	All other assets
	- reported to the Audit Committee Audit and Assurance Committee		
	Deputy Director of Finance	Up to £25,000	All other assets
9-21	Non-Asset Register items (Replacement Cost)		
0.2	Executive Director of Finance Chief Financial Officer	Over £25,000	
	- reported to the Audit Committee Audit and Assurance Committee		
	Deputy Director of Finance	Up to £25,000	
	Directors of Operations Divisional General Managers	Up to £1,000	
10-1	VIREMENTS		Conditions:
	Executive Directors / Directors of Operations / Deputy Director of Finance	Over £5,000	Total Division/Department budget remains in balance
	Budget Holders	Up to £5,000	Total Division/Department budget remains in balance

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