

## SCHEME OF DELEGATION

*Delegated matters in respect of decisions which 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. Delegation to lower levels is only permitted with written approval of the Chief Executive who will, before authorising such delegations, consulting with other Senior Officers as appropriate.** All items concerning Finance must be carried out in accordance with Standing Financial Instructions and Standing Orders of the Board of Directors.*

REF	DELEGATED MATTER	AUTHORITY DELEGATED TO	SFI PARA
<b>1</b>	<b>BUSINESS PLANNING, BUDGETS, BUDGETARY CONTROL AND REVENUE BUSINESS CASES</b>		
<b>1.1</b>	<b>Preparation &amp; Approval of Plans &amp; Budgets</b>		
1.1.1	Approval of Annual Plan and Budget	Board of Directors	3.1
1.1.2	Compilation and submission of Annual Plan to Board of Directors taking into account financial targets, forecast limits of available resources, assumptions on which plan is based and details of major changes to achieve plan	Chief Executive	3.1.1
1.1.3	Preparation and submission of budgets for approval by the Board of Directors prior to start of financial year	Director of Finance	3.1.2
1.1.4	Monitor financial performance against budget and plan, and advise Board of Directors	Director of Finance	3.1.3
1.1.5	Provision of information to enable budgets to be compiled	Budget Holders	3.1.4
1.1.6	Budget holders to sign up to their allocated budgets at commencement of each financial year	Director of Finance	3.1.5
1.1.7	Provision of adequate business planning and budget management training on an ongoing basis to budget holders to help them manage successfully	Director of Finance	3.1.6
<b>1.2</b>	<b>Budgetary Delegation</b>		
1.2.1	Responsibility for delegation of the management of revenue budget to permit the performance of a defined range of activities:	Chief Executive	3.2.1 & 11.1.1
	(a) Designation of budget holder	Chief Executive	3.2.1 & 11.1.2
	(b) Responsibility for management of revenue budget at individual budget level	Budget Holder	3.2.2 & 11.1.2
	(c) Responsibility for the totality of activities covered by each Service Division	Divisional Director or nominated Deputy or in their absence Managing Director	
	(d) Responsibility for the totality of activities covered by Corporate Division	Chief Executive or in their absence relevant Executive Director	
	(e) Responsibility for all other revenue budgetary areas, e.g. reserves, non-recurring budgets	Director of Finance	
1.2.2	Responsibility for delegation of the management of capital budget in line with the approved Capital Programme (See also Scheme of Delegation 11)	Chief Executive	3.4 & 13
	(a) Designation of Budget Holder	Chief Executive	3.2.2 & 3.4

	(b) Responsibility for management of the capital budget at individual budget level	Director of Finance	3.4
1.2.3	Authorisation of budget virement	Finance Manager with approval of Director of Finance or Deputy Director of Finance	3.2.3
1.2.4	Authorisation of budget overspend	Director of Finance	
<b>1.3</b>	<b>Approval of Revenue Only Business Cases (See Scheme of Delegation 11 for Capital Business Cases)</b>		
	(a) Up to £250,000	Divisional Management Team	
	(b) Between £250,001 and £500,000 (including VAT)	Operational Delivery Group (ODG) following recommendation by relevant Divisional Management Teams	
	(c) Between £500,001 and £1,000,000 (including VAT)	Executive Management Group following recommendation by relevant Divisional Management Teams and the Operational Delivery Group	
	(d) Over £1,000,000 (including VAT)	Board of Directors following recommendation by the Director of Finance, Chief Executive & Trust Investment Group	
<b>2</b>	<b>ANNUAL ACCOUNTS AND REPORTS</b>		
2.1	Preparation and submission of annual financial reports to Parliament and the Independent Regulator	Director of Finance	4.1
2.2	Preparation and publication of annual report and audited accounts and presentation to Board of Directors and to the Annual Members' Meeting of the Trust	Director of Finance	4.2 & 4.3
<b>3</b>	<b>BANK AND TREASURY MANAGEMENT POLICY</b>		
3.1	Compilation and submission of Treasury Management Policy to Board of Directors	Director of Finance	5.1
3.2	Monitoring of Treasury Management Policy and provision of advice to Board of Directors	Director of Finance	5.1.1
3.3	Monitoring compliance with Independent Regulator's guidance on level of cleared	Director of Finance	5.1.1
3.4	Responsibility for bank and Government Banking Service (GBS) Accounts including preparation of detailed instructions for operation	Director of Finance	5.2 & 5.3
3.5	Review commercial banking arrangements of the Trust to reflect best practice and ensure through competitive tendering (at least every 5-years) value for money	Director of Finance	5.4
3.6	Approval of banking arrangements	Board of Directors	5.1
3.7	Opening of bank accounts	Director of Finance Countersigned by Chief Executive	5.2

3.8	Designation of authorised panel officers, by resolution of the Board of Directors for signing of cheques for cash, other cheques and authorisation of PGO and BACS payment schedules	Director of Finance or Chief Executive	5.3.3
3.8.1	Cheques or other orders drawn upon the main exchequer bank account with:		
	(a) Value below £5,000	One signature from the First Officer Panel	5.3.4
	(b) Value of £5,000 or more	Two signatures, one from the First Officer Panel and the other from the Second Officer Panel	5.3.5
3.8.2	Cheques or other orders drawn upon the main charitable fund bank account with: (See also Scheme of Delegation 16)		
	(a) Value below £5,000	Two signatures from the First Officer Panel	5.3.6
	(b) Value over £5,000	Two signatures, one from the First Officer Panel and the other from the Second Officer Panel	5.3.6
<b>4</b>	<b>INCOME, FEES AND CHARGES AND SECURITY OF CASH, CHEQUES AND OTHER NEGOTIABLE INSTRUMENTS</b>		
4.1	Design, maintain and ensure compliance with income and expenditure systems for prompt banking of all monies	Director of Finance	6.1
4.2	Approval and regular review of the level of all fees and charges, other than those determined by the Independent Regulator or statute	Director of Finance	6.2
4.3	Responsibility for debt recovery and associated procedures	Director of Finance	6.3
4.4	Security of cash, cheques and other negotiable instruments	Director of Finance	6.4
<b>4.5</b>	<b>Money Laundering</b>		
4.5.1	Monitoring of money laundering regulations	Director of Finance	6.5
4.5.2	Reporting of any cash payments in excess of €15,000 (approximately £10,000) in respect of any single transaction to the Director of Finance	All Employees	6.5
<b>5</b>	<b>TENDERING AND CONTRACTING REGULATIONS</b>		
<b>5.1</b>	<b>Legislation and Guidance Covering Public Procurement</b>		
5.1.1	Monitoring compliance with Public Contract Regulations 2015 and relevant EC Directives relating to public Procurement	Director of Finance	7.2
<b>5.2</b>	<b>E-Auctions</b>		
5.2.1	Monitoring of future expansion into e-auction activity	Director of Finance	7.3
<b>5.3</b>	<b>Capital Investment (See also Scheme of Delegation 11)</b>		
<b>5.4</b>	<b>Quotation and Tendering Limits (all limits quoted include VAT):</b>		
	(a) Obtain up to two verbal quotations for goods/services up to £2,499 at Procurement Department's discretion	Budget Holder in liaison with Procurement Department	7.7.2
	(b) Obtain minimum of two written quotations for goods/services between £2,500 and £9,999 at Procurement Department's discretion	Budget Holder in conjunction with Procurement Department	7.7.2
	(c) Obtain minimum of three written quotations for goods/services from £10,000 to £29,999	Budget Holder in conjunction with Procurement Department	7.7.2

	(d) Execute formal tender procedures and obtain minimum of four written competitive tenders (if feasible) for goods/services over £30,000 (EU Procurement Rules apply, values exclude vat: Thresholds applicable from January2020: Goods/Services: £ 189,330; and Works £ 4,733,252)	Appropriate Divisional Director or Executive Director and Head of Contracting & Procurement	7.5.1
	(e) Where goods/services are listed on a framework agreement, the framework selection process (mini competition) should be followed, if not prescribed then quotations should be obtained from all capable suppliers	Appropriate Associate Director of Operations or Executive Director and Head of Contracting & Procurement	7.5.3
<b>5.5</b>	<b>Invitation to Tender</b>		
5.5.1	Issue of all tenders for goods, materials, services, building, engineering works and disposals with appropriate Terms and Conditions regulating the conduct of the tender and appropriate Terms and Conditions on which Contract to be awarded	Head of Contracting & Procurement in conjunction with Associate Director of Operations or Executive Director	7.6.1
<b>5.6</b>	<b>Receipt and Safe Custody of Tenders</b>		
5.6.1	Receipt and safe custody of all tenders	Head of Contracting & Procurement	7.6.2
<b>5.7</b>	<b>Tender Opening/Evaluation/Acceptance/Recording</b>		
5.7.1	Opening Tenders (£30,000 and over)	1 Executive Director and appropriate Associate Director of Operations or Nominated Deputy	7.6.3
5.7.2	Preparation and submission of formal written Tender Evaluation Report	Designated Lead for tender process as defined by Associate Director of Operations or Executive Director together with Finance Manager and other internal specialist advisor(s) (e.g. Head of Contracting & Procurement, EBME, estates, service users, as appropriate).	7.6.6
5.7.3	Acceptance of formal written Tender Evaluation Report and approval of recommended tender:		7.8
	(a) £30,000 to £999,999	Director of Finance	7.8
	(b) Over £1,000,000 (To be recorded in the Minutes of the Board of Directors)	Board of Directors	7.6.7 & 7.8
	(c) Tenders accepted that are not lowest expenditure or highest income to be reported to the Audit & Risk Committee	Director of Finance	7.6.6
5.7.4	Approval of expenditure over agreed tender/quotation budget:		
	(a) Where tender/quotation price is greater than up to 10% or £15,000, whichever is the higher	Director of Finance or, in absentia, Chief Executive	7.6.6
	(b) Where tender/quotation price is greater than 10% or £15,000 up to a maximum of £25,000	Chief Executive and Director of Finance	7.6.6
<b>5.8</b>	<b>Register of Tenders</b>		
5.8.1	Maintenance of Tender Register	Board Secretary in conjunction with Head of Contracting & Procurement	7.6.3
<b>5.9</b>	<b>Quotation/Tender Waiver or Single Tender Action</b>		
5.9.1	Documented evidence required for waiving of quotations up to £9,999	Head of Contracting & Procurement	7.5.3 & 7.7-7.9

5.9.2	Documented evidence required for waiving of quotations from £10,000 to £29,999	Head of Contracting & Procurement with Director of Finance or Chief Executive	7.5.3 & 7.7–7.9
5.9.3	Approval of formal written report for the waiver of tenders or requests for single tender action over £30,000 (report to Audit and Risk Committee)	Chief Executive and Director of Finance	7.5.3
5.9.4	EU Procurement Threshold Limits (see Scheme of Delegation 5.4.1 (d)) – No Waiver/Single Tender Action Permitted	No Delegated Authority	
<b>5.10</b>	<b>Private Finance for Capital Procurement</b>		
5.10.1	Approval of PFI capital procurement	Board of Directors	7.10
<b>5.11</b>	<b>Compliance Requirements for All Contracts</b>		
5.11.1	All contracts, being legally binding, shall comply with best costing practice and devised to manage contractual risk, whilst optimising the Trust's opportunity to generate income. Approval of all contracts entered into on behalf of the Trust. (See overlap with 7.2 below)	Chief Executive and Director of Finance or in their absence a nominated Board of Director	7.11 & 9.4
<b>5.12</b>	<b>Procurement of In-House Services</b>		
5.12.1	Determination of in-house services to be subject to competitive tendering	Board of Directors	7.15.2
5.12.2	Delegation of lead officer(s) to oversee and manage the process and contract on behalf of the Trust	Chief Executive	7.15.5
<b>5.13</b>	<b>Contractual Joint Ventures</b>		
5.13.1	Agree the terms of any contractual joint ventures to which the Trust is party an delegate as required to the Executive Management Committee	Trust Board including Director of Finance	
<b>5.14</b>	<b>Bidding for New Business</b>		
5.14.1	The decision on whether or not to bid will be made according to the contract value:	Up to £250,000 Chief Executive or Director of Finance or in their absence a nominated Executive Director. Over £250,000 Chief Executive and Director of Finance or in their absence two nominated Board Directors Over £999,999 Board of Directors	8
<b>6</b>	<b>CONTRACTING</b>		
6.1	Regular review of capacity and capability of the Trust to provide the mandatory goods and services referred to in the Terms of Authorisation and related schedules	Board of Directors	9.1
6.2	All contracts, being legally binding, shall comply with best costing practice and devised to manage contractual risk, whilst optimising the Trust's opportunity to generate income. Approval of all contracts entered into on behalf of the Trust, to include contracts for the provision of services (including bidding for new business)	Up to £250,000 annually with a maximum contract value of £750,000 Associate Directors of Operations  Up to £999,999 Chief Executive or Director of Finance Over £999,999 Board of Directors	7.11 & 9.4

6.3	Reporting on actual and forecast service activity income	Director of Finance	9.6
<b>7</b>	<b>TERMS OF SERVICE AND PAYMENT OF DIRECTORS AND EMPLOYEES</b>		
<b>7.1</b>	<b>Funded Establishment</b>		
7.1.1	Agree workforce plans within annual budget	Board of Directors	10.2.1
7.1.2	Authority to fill funded post on the establishment	Divisional Vacancy Panel	10.2.2
7.1.3	Authority to fill funded post on the establishment when the Trust or Division is under special measures	Trust Vacancy Panel	10.2.2
7.1.4	Authority to appoint staff to post not on the formal budgeted establishment (i.e. increasing revenue cost to Trust)	Director of Finance	10.3
7.1.5	The granting of additional increments to staff within budget and regulations	Director of Human Resources	10.3.1
7.1.6	All requests for upgrading/regrading shall be dealt with in accordance with Trust procedures	Director of Human Resources	
7.1.7	Additional staff to the agreed establishment with specifically allocated finance	Director of Finance	
<b>7.2</b>	<b>Engagement of Staff not on the Establishment</b>		
7.2.1	Authority to engage Non-medical consultancy staff	Chief Executive or Director of Finance (over £50,000 NHSI approval required)	10.3
7.2.2	Booking of Bank, Locum or Agency Staff (Medical Locums, Nursing & Clerical)	Budget holder up to NHSI approved capped rates and within budgeted establishment.  Over capped rates Director of Finance or Deputy Director of Finance and out of hours Gold on Call	10.3
7.2.3	Authorise booking of bank and agency staff above the capped rate set by NHSI	Director of Finance or Managing Director	10.3
7.2.4	Authorise the use of non-framework agreements for the booking of agency staff "on exceptional patient safety grounds only".	Director of Finance	10.3
7.2.5	Authorise temporary appointment of senior officials with significant financial responsibility (Board members and senior officials) for a contract longer than 6 months	Chief Executive and NHS Improvement HR approval	10.3
<b>7.3</b>	<b>Processing Payroll</b>		
7.3.1	Authority to complete standing data forms affecting pay, new starters, variations and leavers	Director of Human Resources	10.4
7.3.2	Authority to complete and authorise negative reporting forms	Budget Holders or Associate Director of Operations or Service Managers or Directors or Chair (as appropriate)	10.4
7.3.3	Authorisation of overtime and additional sessions	Associate Director of Operations (or nominated deputy) or Executive Directors if claim over 2 months old	10.4

7.3.4	Authority to authorise travel and subsistence expenses	Budget Holders or Associate Director of Operations (or Nominated Deputy) or Executive Director if claim over 3 months old	10.4
7.3.5	Approval of performance related pay assessment:		
	(a) Performance Related Pay for Non-Board Members	Remuneration & Nomination Committee	
	(b) Performance Related Pay for Board Executive Directors	Remuneration & Nomination Committee	
	(c) Performance Related Pay for Board Non-Executive Directors	Council of Governors	
7.3.6	Authorisation of timesheets (including agency)	Budget Holders or Associate Director of Operations (or Nominated Deputy) or Executive Director if over 2 months old	
<b>7.4</b>	<b>Contract of Employment</b>		
7.4.1	Authority to issue contract of employment in a form approved by the Board of Directors	Director of Human Resources	10.5
7.4.2	Authority to vary terms and conditions of employment	Director of Human Resources	10.5
7.4.3	Renewal of fixed term Contract	Associate Director of Operations or Executive Director (or Nominated Deputy) in liaison with Vacancy Panel	10.5
7.4.4	Staff Retirement Policy – Authorisation of extension of contract beyond normal	Director of Human Resources	10.5
7.4.5	Redundancy – Authorisation	Director of Human Resources	10.5
7.4.6	Ill-Health Retirement – Decision to pursue retirement on grounds of ill health	Director of Human Resources in conjunction with Associate Director of Operations or Executive Director & Occupational Health	10.5
7.4.7	Dismissal - Authorisation	Director of Human Resources & authorised Directors/Managers or Remuneration & Terms of Service Committee (as appropriate)	10.5
<b>7.5</b>	<b>Leave Authority</b>		
7.5.1	Approval of annual leave	Line or Department Manager	
7.5.2	Annual leave – approval of carry forward (up to maximum of five days)	Line or Department Manager	
7.5.3	Annual leave – approval of carry over in excess of five days	Managing Director or Executive Director (as appropriate)	
7.5.4	Compassionate leave up to three days	Department Manager	
7.5.5	Compassionate leave up to six days	Associate Director of Operations or Executive Director (or Nominated Deputy) (as appropriate)	
7.5.6	Special leave arrangements up to five days (with pay)	Associate Director of Operations or Executive Director (as appropriate)	
7.5.7	Leave without pay	Associate Director of Operations or Executive Director (or Nominated Deputy) after liaison with Director of Human Resources	
7.5.8	Medical staff leave of absence (paid and unpaid)	Medical Director after liaison with Director of Human Resources	
7.5.9	Time off in lieu	Line Manager	

7.5.10	Maternity leave – paid and unpaid	Associate Director of Operations or Executive Director (or Nominated Deputy) and Director of Human Resources or Nominated Deputy	
7.5.11	Approval of flexi-time reimbursement	Associate Director of Operations or Executive Director (or Nominated Deputy)	
7.5.12	Sick Leave – Return to work part-time on full pay to assist recovery	Managing Director or Executive Director (as appropriate) in conjunction with Occupational Health and Director of Human Resources	
7.5.13	Sick leave – Any extension of sick leave over employee conditions of service	Director of Human Resources or Chief Executive in conjunction with Managing Director or Executive Director (as appropriate)	
7.5.14	Study Leave – All study leave within the UK or overseas, including CME/professional leave	Associate Director of Operations or Executive Director (as appropriate) in conjunction with the Multi Professional Education & Development Manager or Clinical Tutor	
7.5.15	Study Leave – All study leave involving hospitality. Divisions are required to maintain a register and forward a copy of it to the Company Secretary on a quarterly basis. Annual audit will be undertaken.	Associate Director of Operations or Executive Director (as appropriate) in conjunction with the Multi Professional Education & Development Manager or Clinical Tutor	
7.5.16	Career/Service Breaks – authorise career breaks up to 6 months	Line Manager and HR BP	
7.5.17	Career/Service Breaks – authorise career breaks over 6 months	HR BP and Managing Director or Executive Director	
7.5.18	Junior Medical Staff in Training	Director of Medical Education with support of Clinical Tutor	
<b>7.6</b>	<b>Relocation Expenses</b>		
7.6.1	Authorisation of payment of relocation expenses incurred by officers taking up new appointments (in accordance with local policy);		
	(a) Up to £7,000	Director of Human Resources or Remuneration & Terms of Service Committee (as appropriate)	
	(b) Over £7,000	Director of Human Resources and Chief Executive or Remuneration & Terms of Service Committee (as appropriate)	
<b>7.7</b>	<b>Grievance Procedures</b>		
7.7.1	All grievance cases must be dealt with in accordance with the Trust's Grievance Procedure and on the advice of the Human Resource Department	Director of Human Resources	
<b>7.8</b>	<b>Authorised Car and Mobile Phone Users</b>		
7.8.1	Requests for new posts to be authorised as car users or re-designation of existing posts	Associate Director of Operations or Executive Director (as appropriate) in liaison with Director of Finance	



7.8.2	Requests for authorised mobile phone status	Associate Director of Operations or Executive Director (as appropriate) in liaison with Director of Human Resources and Director of Finance	
<b>8</b>	<b>FACILITIES FOR STAFF NOT EMPLOYED BY THE TRUST TO GAIN PRACTICAL EXPERIENCE</b>		
8.1	Professional recognition, honorary contracts and insurance of medical staff	Director of Human Resources or Nominated Deputy	
8.2	Work experience students	Director of Human Resources or Nominated Deputy	
8.3	Volunteers	Director of Human Resources or Nominated Deputy	
<b>9</b>	<b>NON-PAY EXPENDITURE (See Scheme of Delegation 16 Funds Held on Trust)</b>		
9.1	Approval of level of non-pay expenditure on an annual basis	Board of Directors	11.1
9.2	Determination of the level of delegation to budget managers	Chief Executive	3.2.2 & 11.1.1
<b>9.3</b>	<b>Agree and maintain a list of managers authorised to place requisitions for the ordering and receipt of goods and services (See overlap with Scheme of Delegation 16)</b>	Director of Finance	11.1.2 & 11.2.2
9.3.1	Requisitioning and Ordering of Goods and Services:		11.1.3
	(a) All requisitions up to £1,000	Budget Manager	11.2
	(b) All requisitions up to £25,000	Service Manager	11.2
	(c) All requisitions up to £50,000	General Manager	11.2
	(d) All requisitions up to £100,000	Associate Director of Operations or Divisional Director	11.2
	(e) All requisitions up to £250,000	Group Director of Operations	11.2
	(f) All requisitions up to £500,000	Executive Director	11.2
	(g) All requisitions up to £999,999	Director of Finance or Chief Executive (or Designated deputy in their absence)	11.2
	(h) All requisitions over £1,000,000	Finance and Performance Assurance Committee	11.2
9.3.2	On-Line Requisitioning or Ordering of Goods and Services:		
	(a) Inclusion of Supplies within OLR catalogue	Head of Contracting & Procurement	11.2
9.3.3	Pharmacy Requisitioning or Ordering of Drugs:		
	(a) Pharmacy orders up to and including £20,000	Deputy Chief Pharmacist	
	(b) Pharmacy orders between £20,001 and £100,000	Chief Pharmacist	
	(c) Pharmacy orders between £100,001 and £250,000	Chief Pharmacist	
	(d) Pharmacy orders over £250,001	Chief Pharmacist with countersignature by Director of Finance	
9.4	Designation of authorised officers to issue of verbal orders in very exceptional circumstances (confirmation order required)	Director of Finance	11.2.6

9.5	Designation of authorised officers to authorise orders outside of the normal hierarchy due to service needs	Director of Finance	
9.6	Authorisation of new drugs	Medical Director and Director of Finance	
<b>9.5</b>	<b>Development and maintenance of procedures on the seeking of professional advice regarding the supply of goods and services</b>		<b>11.1.2</b>
9.5.1	Responsibility for ensuring financial standing and technical competence of approved contractors	Director of Finance	11.1.3
9.5.2	Responsibility for ensuring technical/medical competence of approved contractors for clinical governance purposes	Director of Nursing	11.1.3
<b>9.6</b>	<b>System of Payment and Payment Verification</b>		
9.6.1	Responsibility for prompt payment of accounts, contract invoices and claims and that payments are only made once the goods and services are received and been appropriately certified	Director of Finance	11.2.2 & 11.2.3
9.6.2	Maintenance of register of employees (including specimens of their signatures) authorised to certify invoices	Director of Finance	11.2.3
9.6.3	Pre-payments only permitted where exceptional circumstances apply. Authorisation of written report to permit pre-payment	Director of Finance	11.2.4
9.6.4	Creditor Payments – Authority to release cash payment for goods and services already received and authorised	Up to £5m Financial Controller, over £5m Deputy Director of Finance	
<b>9.7</b>	<b>Petty Cash Disbursements</b>		
9.7.1	Authority to define restrictions in value and by type of purchase for petty cash disbursements and maintenance of record system	Director of Finance	11.2.6
9.7.2	Petty Cash Disbursement limits:		
	(a) Expenditure up to £30 per transaction	Budget Holder and Petty Cash Holder	11.2.6
	(b) Reimbursement of patients' monies up to £100	Budget Holder	11.2.6
	(c) Reimbursement of patients' monies in excess of £100	Budget Holder and Director of Finance (or designated deputy)	
<b>9.8</b>	<b>Leases, Tenancy Agreements and Licences</b>		
9.8.1	Approval of all leases, tenancy agreements and licences, including any variation thereto:		
	(a) Below £300,000	Director of Finance in liaison with Chief Executive	11.2.6
	(b) Over £300,001	Director of Finance in liaison with Chief Executive and a Non-Executive Director	11.2.6
9.8.2	Letting of premises to outside organisations	Director of Finance	
9.8.3	Approval of rent based on professional assessment	Director of Finance	
<b>10</b>	<b>EXTERNAL BORROWING AND INVESTMENTS</b>		
<b>10.1</b>	<b>External Borrowing</b>		
10.1.1	Approval of loans		12.1

	(a) To be taken out with repayment periods over one year	Board of Directors	12.1
	(b) Loans to be taken out with repayment periods of less than one year	Director of Finance	12.1
	(c) Applications for overdraft or working capital facilities	Director of Finance	12.3
<b>10.2</b>	<b>Investments</b>		
10.2.1	Approval of Investment Policy	Board of Directors	12.2
10.2.2	Investment Decisions	Director of Finance	12.2
<b>11</b>	<b>CAPITAL INVESTMENT, PRIVATE FINANCE, FIXED ASSET REGISTERS AND SECURITY OF ASSETS</b>		
<b>11.1</b>	<b>Capital Investment &amp; Private Finance</b>		<b>13.1 &amp; 13.2</b>
11.1.1	Approval of capital programme (including reserves list) as part of budget process	Board of Directors	13.1.1
11.1.2	Approval of capital business cases and PFI Schemes including approval of variations: (See Scheme of Delegation 1.3 for revenue only business cases)		13.2
	(a) Less than £1,000,000	Chief Executive following recommendation by Director of Finance & Capital Planning Group	13.2
	(b) Over £1,000,001 (excluding VAT)	Board of Directors following recommendation by the Director of Finance, Chief Executive & Capital Planning Group	13.2
11.1.3	Selection of architects, quantity surveyors, consultant engineers and other professional advisors within EU Regulations and CONCODE (in accordance with Tendering Procedures)	Director of Finance, Director of Estates and Facilities or Chief Executive following professional advice	13
11.1.4	Budgetary delegation for management of capital budget in line with approved capital programme	Scheme of Delegation 1.2.2 refers	13
11.1.5	Financial monitoring and reporting on all capital scheme expenditure	Director of Finance	13
11.1.6	Monitor compliance with the requirements of guidance published on capital investment and estate and property transactions (e.g. "Supporting NHS providers: Guidance on transactions for NHS Foundation Trusts and Transactions Guidance – for Trusts undertaking transactions, including mergers and acquisitions")	Director of Finance	7.4
<b>11.2</b>	<b>Asset Registers</b>		<b>13.3</b>
11.2.1	Maintenance of Asset Register and responsibility for re-valuation of assets in accordance with the NHS Foundation Trust Annual Reporting Manual	Director of Finance	13.3.1 & 13.3.7
11.2.2	Approval of asset disposals (all disposals must be reported to Director of Finance to enable the Asset Register to be updated)	Director of Finance	13.3.4 & 14.2
	(a) "Protected Assets" as designated in the NHS Foundation Trust Authorisation	Board of Directors subject to NHSI's approval	13.3
	(b) Land and buildings	Board of Directors	13.3

	(c) Other – where the asset has a residual value over £2,501	Director of Finance	13.3
	(d) Other – where the asset has a residual value less than £2,500	Associate Director of Operations	13.3
<b>11.3</b>	<b>Security of Assets</b>		<b>13.4</b>
11.3.1	Overall control of fixed assets	Chief Executive	13.4.1
11.3.2	Asset control procedures	Director of Finance	13.4.2
<b>12</b>	<b>STORES AND RECEIPT OF GOODS</b> (Note overlap with Scheme of Delegation 9.5)		
12.1	Management and control of stores:		14.2
	(a) General	Director of Finance	
	(b) Pharmacy	Chief Pharmacist	
	(c) Fuel	Director of Finance	
12.2	Procedure and systems to regulate stores, including records for receipt of goods, issues, returns and losses	Director of Finance	14.2
12.3	Stocktaking Arrangements	Director of Finance	14.2
<b>13</b>	<b>DISPOSALS AND CONDEMNATIONS, LOSSES AND SPECIAL PAYMENTS</b>		
13.1	Disposals and Condemnations	See Scheme of Delegation 11.2.2	15.1, 13.3.4 & 14.2
<b>13.2</b>	<b>Losses and Special Payments Procedure (Must follow current DH Guidance FDL(98)02 and Counter-Fraud Policy and Procedure)</b>		<b>15.2</b>
13.2.1	Special Payments – compensation payments made under legal obligation (following written legal advice)		15.2
	(a) Under £100,000 + costs	Director of Finance or Chief Executive plus 1 other Board Executive Director	15.2
	(b) Over £100,000 + costs	Director of Finance or Chief Executive plus 1 other Board Executive Director and 1 Audit & Risk Committee Member	15.2
13.2.2	Special Payments within limits set by the Department of Health governing: <ul style="list-style-type: none"> <li>• Extra contractual payments to contractors</li> <li>• Ex-gratia payments</li> <li>• Extra statutory and extra regulatory payments</li> </ul>		15.2
	(a) Maximum limit of £50,000	Director of Finance and Chief Executive	15.2
	(b) Over £50,000	Department of Health	15.2
13.2.3	Losses within limits set by the Department of Health governing: <ul style="list-style-type: none"> <li>• Cash</li> <li>• Fruitless Payments (including abandoned capital schemes)</li> <li>• Bad Debts and claims abandoned</li> <li>• Damage to buildings, fittings, furniture, equipment, loss of equipment, property and stores</li> </ul>		15.2
	(a) Under £5,000	Deputy Director of Finance	
	(b) Under £25,000	Director of Finance	
	(c) £25,001 to £249,000	Director of Finance and 1 other Executive Board Director	

	(d) Over £250,000	Director of Finance, countersigned by Chief Executive and Chair	
13.2.4	Novel, contentious or repercussive losses or special payments	Director of Finance reports to Department of Health	
13.2.5	All write-offs and special payments and losses to be reviewed by the Audit & Risk Committee	Director of Finance	
<b>14</b>	<b>FINANCIAL SYSTEMS (IT)</b>		
14.1	Responsibility for accuracy and security of computerised financial data of the Trust	Director of Finance	16
14.2	Risk assessment and approval of all requirements for general applications impacting on corporate financial systems	Director of Finance	16
<b>15</b>	<b>PATIENTS' PROPERTY</b>		
15.1	Written instructions for the collection, safe custody, investment, recording and disposal of money and other personal property handed in by patients, or found in the possession of patients dying in hospital or dead on arrival	Director of Finance	17.3
15.2	Operational management of patients' property in accordance with patients' property procedures	Associate Director of Operations	17
15.3	Petty cash disbursements for patients' monies (see <i>Scheme of Delegation 9.7.2</i> )	Budget Holder and Director of Finance	17
<b>16</b>	<b>FUNDS HELD ON TRUST</b>		
16.1	Corporate Trustee for the management of funds held in Trust	Board of Directors	18
16.2	Nomination of Executive and Non-Executive Directors to discharge the Trust's corporate trustee responsibilities	Board of Directors through appointment to the Charitable Funds Committee	18
16.3	Management of trust funds:		18
	(a) Fundraising Lead	Head of Charity	
	(b) Accounts Management	Director of Finance	
16.4	Reporting on income and expenditure on funds held in Trust to Charitable Funds Committee	Director of Finance	18
16.5	Approval to Fundraising/Appeal Launch:		18
	(a) Projected Fundraising up to £5,000	Head of Charity	
	(b) Projected Fundraising between £5,001 - £250,000	Charitable Funds Committee following Director of Finance and Head of Charity support	
	(c) Over £250,000	Board of Directors subject to Charitable Funds Committee approval	
16.6	Authorise expenditure from funds for which Trust is the Corporate Trustee:		18
	(a) Under £500 per request	Designated Fund Signatory	
	(b) £501 to £5,000 per request	Head of Charity	
	(c) £5,001 to £250,000 per request	Charitable Funds Committee following Director of Finance and Head of Charity support	

	(d) Requests over £250,000	Board of Directors approval subject to Charitable Funds Committee support	
<b>17</b>	<b>ACCEPTANCE OF GIFTS BY STAFF/STANDARDS OF BUSINESS CONDUCT</b>		
17.1	Development and maintenance of policy on standards of business conduct and acceptance of gifts and other benefits in kind by staff	Director of Finance	19
17.2	Maintenance of Gifts and Hospitality Register	Associate Director of Operations and Company Secretary	19
17.3	Approval of Acceptance of Gifts/Hospitality	Associate Director of Operations and Company Secretary	19
17.4	Annual Audit of Hospitality Register	Director of Finance and Audit & Risk Committee	19
17.5	Maintenance of Declaration of Interest Registers:		19
	(a) Board of Directors	Company Secretary	
	(b) Council of Governors	Company Secretary	
	(c) Trust Employees	Company Secretary	
<b>18</b>	<b>AUTHORISATION OF SPONSORSHIP DEALS</b>		
18.1	General Sponsorship (including Charitable Fund Sponsorship)	Chief Executive with Director of Strategy and Innovation, Medical Director & Director of Finance	
18.2	Research & Development Sponsorship	R&D Steering Group in liaison with Director of Strategy and Innovation	
<b>19</b>	<b>RETENTION OF DOCUMENTS/DATA PROTECTION</b>		
19.1	Compliance with Records Management – NHS Code of Practice	Chief Executive in conjunction with Director of Information, Communication and Technology	20
19.2	Compliance with Access to Health Records	Medical Director in conjunction with Director of Information, Communication and Technology	20
19.3	Compliance with the Data Protection and Freedom of Information Acts	Director of Information, Communication and Technology	20
<b>20</b>	<b>RISK MANAGEMENT AND INSURANCE</b>		
<b>20.1</b>	<b>Risk Management</b>		<b>21</b>
20.1.1	Management of programme of risk management, approved and monitored by the Board of Directors	Chief Executive in conjunction with Director of Governance	21.1
20.1.2	Integration and evaluation of the programme of risk management to provide a basis to make a Statement on the effectiveness of Internal Control (SIC) within the Annual Report and Accounts as required by the FT Annual Reporting Manual	Chief Executive	21.1
20.1.3	Review of Fire Precautions	Director of Estates	
20.1.4	Review of all statutory compliance legislation pertaining to Health & Safety	Director of Governance	
20.1.5	Review of compliance with environmental regulations, e.g. clean air and waste disposal	Director of Estates	
20.1.6	Incident and Serious Untoward Incident Reporting	Director of Nursing and Medical Director or Nominated Deputy (in conjunction with the CCG and Trust's Communication's Team)	
20.1.7	Infectious Diseases and Notifiable Outbreaks	Director of Nursing	

20.1.8	Senior Information Risk Officer/Senior Responsible Owner	Director of Finance	
20.1.9	Executive Responsibility for Maternity Services	Director of Nursing	
20.1.10	Security Management Director	Managing Director	
<b>20.2</b>	<b>Insurance</b>		
20.2.1	Approval of insurance policies and engagement of additional insurance over and above the NHSLA Scheme.	Director of Finance	21
<b>21</b>	<b>FORMAL CONSULTATION</b>		
21.1	Compliance with Section 242 of the NHS Act 2006 and Regulation 4A of the Local Authority (Overview & Scrutiny Committee's health scrutiny functions) Regulations 2002	Chief Executive	22
<b>22</b>	<b>MEDIA LIAISON</b>		
22.2.1	Non-emergency general enquiries:		
	(a) Within hours (Monday – Friday 9 am – 5 pm)	Designated Duty Manager or Executive Director via Director of Communications and Engagement	
	(b) Outside hours	Designated Duty Manager or Executive Director via Trust's Director of Communications and Engagement	
22.2.2	Emergency enquiries:		
	(a) Within hours (Monday – Friday 9 am – 5 pm)	Chief Executive or Executive Director via Director of Communications and Engagement	
	(b) Outside hours	Designated Duty Manager or Executive Director via Trust's Director of Communications and Engagement	
<b>23</b>	<b>LEGAL ADVICE AND DOCUMENTATION</b>		
23.1	Permission for referral of Trust Issues for Legal Opinion:		23
	(a) Corporate Law	Director of Governance	
	(b) Property, major transactions, commercial	Director of Governance	
	(c) Clinical and Risk Management Law	Director of Governance	
	(d) Contract and/or Procurement Law	Director of Governance	
	(e) Employment Law	Director of Governance	
	(f) R&D, Intellectual Property Law	Director of Governance	
23.2	Approve and sign documents necessary either in legal proceedings or resolution of the Board	Chief Executive or any Executive Director acting on the advice of legal services or Company Secretary	
<b>24</b>	<b>PATIENT SERVICES</b>		
24.1	Patients' and relatives' complaints management, including clinical negligence complaints	Director of Nursing	
24.2	Variation of operating and clinic sessions within existing resources	Managing Director in agreement with Executive Management Committee	

24.3	Variation to changes in bed allocation:		
	(a) Temporary Variation	Managing Director in agreement with Executive Management Committee	
	(b) Permanent Change	Managing Director in agreement with Executive Management Committee	
<b>25</b>	<b>EXTENDED ROLE ACTIVITIES</b>		
25.1	Approval of staff to undertake extended professional clinical roles	Chief Executive in conjunction with Medical Director and Director of Nursing	
<b>26</b>	<b>POLICIES AND PROCEDURES</b>		
26.1	Approval of all organisational/operational policies and procedures for an on behalf of the Board of Directors	Executive Management Committee via Executive Committees	
<b>27</b>	<b>ATTESTATION OF SEALINGS AND REGISTER</b>		
27.1	Attestation of sealings in accordance with Standing Orders of the Board of Directors (Section 9)	Chair and Chief Executive or Nominated Deputies	
27.2	Maintenance of Register of Sealings	Company Secretary	
<b>28</b>	<b>RESEARCH &amp; DEVELOPMENT</b> <i>(See also overlap with Scheme of Delegation 18 – Authorisation of Sponsorship Deals)</i>		
28.1	Authorisation of Research and Development	Director of Strategy and Innovation	
28.2	Authorisation of Clinical Trials	Chair of Research & Development Committee with Chief Executive, Director of Strategy and Innovation and Medical Director	
<b>29</b>	<b>CLINICAL PRODUCTS</b>		
29.1	Clinical Product Review Group will assess and approve clinical products	Clinical Products Review Group in liaison with the Executive Patient Group	
<b>30</b>	<b>MEDICINES INSPECTORATE</b>		
30.1	Review and implementation of Medicines Inspectorate Regulations	Medical Director in conjunction with Chief Pharmacist	
<b>31</b>	<b>PROVISION OF ADDITIONAL SERVICES BY THE EXTERNAL AUDITOR</b>		
31.1	Under the Audit Code for NHS Foundation Trust, the External Auditor may, with the approval of the Council of Governors, provide an NHS Foundation Trust with services which are outside the scope of the audit. Application of the Trust's "Provision of Additional Services by the External Auditor" should be applied to ensure no conflict of interest and ethical standards are applied	Audit & Risk Committee approval required before engagement following consultation with the Council of Governors through the Chair. If timing precludes this, the Chair, Audit & Risk Committee Chair and Director of Finance may take action and report to next Audit & Risk Committee meeting	2.4.3