

Schedule of Reservation and Delegation of Powers

**Approved by the board
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Schedule or Reservation and Delegation of Powers

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Introduction

Within the terms of authorisation issued by the regulator, foundation trusts are required to demonstrate the existence of comprehensive governance arrangements in accordance with the Health and Social Care (Community Health and Standards) Act 2003 (as amended by the National Health Services Act 2006) and /or the National Health Services Act 2006.

Standing Order 4 of Annex 8 of the constitution confirms that the board of directors can make arrangements for the exercise of functions by delegation. Standing Order 1.5 of Annex 8 of the constitution also requires that there should be a formal schedule of matters specifically reserved to the board.

The purpose of this document is to define those powers, which are reserved to the board while at the same time delegating to the appropriate level the detailed application of trust policy and procedures.

However, the board remains accountable for all of its functions, including those delegated to the chair, individual directors or officers, and therefore expects to receive information about the exercise of delegated functions to enable it to maintain a monitoring role.

Role of the chief executive

All powers of the trust which have not been retained as reserved by the board or delegated to a committee by the board or delegated to a sub-committee shall be exercised on behalf of the board 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.

Caution over the use of delegated powers

Powers are delegated to directors and officers on the understanding that they do not exercise delegated powers in a matter that in their judgment is likely to be a cause for public concern. Directors and officers should refer any doubts over the extent of their delegated authority to the chair for his determination.

Absence of director or officer 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 board. If the chief executive is absent powers delegated to him may be exercised by his nominee.

Other relevant internal control mechanisms

The scheme is to be used in conjunction with the system of budgetary control and other established policies and procedures within the trust. All those policies and procedures, to the extent that they are consistent with this schedule of reservation and delegation of powers, must be followed by all governors, directors and officers of the trust in addition to the provisions of this schedule of reservation and delegation of powers (whether specifically referenced in this schedule or not).

This scheme of delegation should be read in conjunction with standing orders and standing financial instructions. In addition all staff members, including directors should be aware of the policies and procedures that underpin all trust activities.

General

All references in these instructions to the masculine gender shall be read as equally applicable to the feminine gender.

References to any statute, statutory provision, statutory instrument or guidance in these SFIs include reference to that statute, provision, instrument or guidance as replaced, amended, extended, re-enacted or consolidated from time to time.

Officers of the trust should note that the SFIs, SOs and schedule of reservation and delegation of powers do not contain every legal obligation applicable to the trust. The trust and each officer of the trust must comply with all requirements of legislation (which shall mean any statute, subordinate or secondary legislation, any enforceable community right within the meaning of section 2(1) European Community Act 1972 and any applicable judgment of a relevant court of law which is a binding precedent in England) and all guidance and directions binding on the trust. Legislation, guidance and directions will impose requirements additional to the SOs, SFIs and schedule of reservation and delegation of powers. All such legislation and binding guidance and directions shall take precedence over these SFIs, SOs and the schedule of reservation and delegation of powers. The SFIs, SOs and schedule of reservation and delegation of powers shall be interpreted accordingly.

Section 1 – Decisions reserved to the Council of Governors

Reserved to	Decisions reserved to the Council of Governors
Council of Governors	General enabling provision – no decisions reserved
Council of Governors	Regulations and control <ol style="list-style-type: none">1 Suspend council standing orders2 Vary or amend the council standing orders3 Ratify any urgent decisions taken by the chair and chief executive in accordance with council standing order 5.1
Council of Governors	Appointment, dismissal and remuneration <ol style="list-style-type: none">1 To appoint or remove the trust's external auditor2 To appoint or remove an external auditor of any other aspect of the trust affairs, save that for the avoidance of doubt, the council shall have no remit in approving the auditor for the charitable funds administered by the trust as corporate trustee3 To ratify the appointment by the non-executive directors of the chief executive4 To appoint the chair of the trust and the other non-executive directors and when considering the appointment of the non-executive directors, the council should take into account the views of the board on the qualifications, skills and experience required for each position5 To appoint the vice chair of the Council of Governors6 To appoint the deputy chair of the trust7 Subject to section 20 of the constitution to remove the chair and the other non-executive directors or governors, complying with the procedures incorporated in the constitution8 To consult external professional advisors to market-test the remuneration levels of the chair and the other non-executive directors at least once every three years and when they intend to make a large change to the remuneration of a non-executive director.9 To set the remuneration of non-executive directors and the chair.10 To re-appoint the non-executive directors and the chair following a formal performance evaluation and in accordance with the nomination put forward by the nominations committee

Reserved to

Decisions reserved to the Council of Governors

Council of Governors	Strategy, business plans and budgets
	1 To decide the remuneration and allowances and other terms and conditions of office, of the non- executive directors
	2 To be consulted on the strategic plans of the board of directors
Council of Governors	Policy determination
	1 Preparation and review of the trust's membership development strategy and the policy for the composition of the Council of Governors and of the non-executive directors
	2 To respond as appropriate when consulted by the board in accordance with this constitution
Council of Governors	Audit – no decisions reserved
Council of Governors	Annual report and accounts
	1 To receive and accept the annual accounts and any report of the external auditor on them and the trust's annual report
Council of Governors	Monitoring – no decisions reserved

Section 2 – Decisions and duties delegated by the council to committee

Committee	Decision and duties delegated by the council to committee-
Nominations committee	<p data-bbox="680 284 2085 344">The committee shall undertake, and ensure that appropriate procedures are in place for, the nomination, selection, and remuneration of the chairman and non-executive directors;</p> <p data-bbox="680 360 949 384">The committee shall:</p> <ul data-bbox="680 400 2085 1267" style="list-style-type: none"><li data-bbox="680 400 2085 464">• ensure that all non-executive directors undergo an appropriate induction, training and development programme.<li data-bbox="680 480 2085 576">• develop the job description, person specification and advertisement for any new appointment of the chair or a non-executive director, taking into account the views of the board of directors on the skills and experience required and the leadership needs of the organization.<li data-bbox="680 592 2085 687">• advertise the vacancy in at least one appropriate publication, short list suitable candidates (not more than five for each vacancy), convene an interview panel, conduct interviews and recommend a candidate to the council of governors for approval.<li data-bbox="680 703 2085 799">• consider the re-appointment of the chair or non-executive directors at the end of each three year term of office, taking into account the latest annual appraisal, and in line with the requirements of the constitution;<li data-bbox="680 815 2085 879">• recommend or not, as the case may be, the re-appointment of the chair or non-executive to the council of governors for approval:<li data-bbox="680 895 2085 991">• consider the remuneration and terms of service of the chair and non-executive directors to ensure they are fairly rewarded for their contribution to the organisation, having proper regard to the financial circumstances of the trust and any relevant national arrangements;<li data-bbox="680 1007 2085 1070">• establish the selection criteria, selecting, appointing and setting of terms of reference for any remuneration consultants who advise the committee or the council of governors;<li data-bbox="680 1086 2085 1150">• ensure that the nomination committee membership is refreshed and that undue reliance is not placed on particular individuals when undertaking the responsibilities of the nomination committee.<li data-bbox="680 1166 2085 1230">• review and update annually these terms of reference, recommending any changes to the council of governors;<li data-bbox="680 1246 1608 1267">• evaluate its own membership and performance on a regular basis.

Section 3 – Decisions reserved to the Board of Directors

Reserved to	Decisions reserved to the Board of Directors
Board of Directors	General enabling provision
	1 The board may determine any matter it wishes, for which it has delegated or statutory authority, in full session within its statutory powers
Board of Directors	Regulations and control
	1 Approve standing orders, a schedule of matters reserved to the board and standing financial instructions for the regulation of its proceedings and business
	2 Suspend standing orders
	3 Vary or amend the standing orders
	4 Ratify any urgent decisions taken by the chair and chief executive in accordance with standing order 4.3
	5 Approve a scheme of delegation of powers from the board to committees.
	6 Require and receive the declaration of board members and governors interests which may conflict with those of the trust and determine the extent to which that member may remain involved with the matter under consideration
	7 Require and receive the declaration of officers' interests, which may conflict, with those of the trust
	8 Approve arrangements for dealing with complaints
	9 Adopt the organisation structures, governance arrangements, processes and procedures to facilitate the discharge of business by the trust and to agree modifications thereto
	10 Receive reports from committees and to take appropriate action thereon
	11 Confirm the recommendations of the trust's committees where the committees do not have executive powers
	12 Approve arrangements relating to the discharge of the trust's responsibilities as a corporate trustee for funds held on trust
	13 Establish terms of reference and reporting arrangements of all committees and sub committees, which are established by the board
	14 Approve arrangements relating to the discharge of the trust's responsibilities as a bailee for patients' property
	15 Authorise use of the seal

Reserved to**Decisions reserved to the Board of Directors**

- 16 Ratify or otherwise instances of failure to comply with standing orders brought to the chief executive's attention in accordance with standing order 4.8
- 17 Discipline members of the board or employees who are in breach of statutory requirements or standing orders

Board of Directors

Appointments and dismissal

- 1 Appoint and dismiss committees and individual members which are directly accountable to the board
- 2 Confirm appointment of members of any committee of the trust as representatives on outside bodies
- 3 Approve proposals of the remuneration committee regarding executive directors and senior employees and those of the chief executive for staff not covered by the committee

Board of Directors

Strategy, business plans and budgets

- 1 Define the strategic aims and objectives of the trust
- 2 Approve proposals for ensuring quality and developing clinical governance in services provided by the trust, having regard to any national guidance or standards
- 3 Ratify the trust's policies and procedures, for the management of risk
- 4 Approve strategic outline cases, outline business cases and final business cases for capital investment in excess of £500,000 excluding VAT
- 5 Approve budgets
- 6 Approve trust's proposed organisational development plan on an annual basis
- 7 Ratify proposals for acquisition, disposal or change of use of land and buildings
- 8 Approve PFI proposals
- 9 Approve the opening of bank accounts
- 10 Approve proposals on individual contracts, of a capital or revenue nature amounting to over £500,000 in aggregate excluding VAT
- 11 Approve proposals in individual cases where the write off of losses or making of special payments above the limits of delegation
- 12 Approve individual compensation payments in excess of £50K to staff or £50K to other parties

Reserved to

Decisions reserved to the Board of Directors

- 13 Approve proposals for action on litigation against or on behalf of the trust
- 14 Approve the use of the NHS risk pooling schemes, approve arrangements to self-insure and appropriate other insurance arrangements

Board of Directors

Policy determination

- 1 Approve management policies including human resource policies incorporating the arrangements for the appointment removal and remuneration of staff

Board of Directors

Audit

- 1 Approve the appointment and dismissal of internal auditors
- 2 Review of the annual audit letter received from the external auditor taking account of the advice, where appropriate, of the audit committee
- 3 Receive an annual report from the internal auditor and agree action on recommendations where appropriate from the audit committee

Board of Directors

Annual report and accounts

- 1 Receive and approve the trust's annual report and annual accounts as prepared by the audit committee
- 2 Receive and approve the annual report and accounts for funds held on trust by the trust as corporate trustee

Board of Directors

Monitoring

- 1 Receipt of such reports as the board sees fit from committees in respect of their exercise of powers delegated
- 2 Continuous appraisal of the affairs of the trust by means of the provision to the board of monitoring reports, as the board may require from directors, committees and officers of the trust as set out in management policy statements. All monitoring returns required by the Healthcare Commission, the regulator, the Charity Commission shall be reported, at least in summary, to the board
- 3 Receive reports from the director of finance on financial performance against budget and the annual plan

Section 4 –Decisions and duties delegated by the board to committee

Committee

Decision and duties delegated by the board to committees

Audit committee

The committee shall:

- Review the establishment and maintenance of effective systems of governance, risk management and internal control
- Monitor the integrity of the financial statements of the NHS foundation trust, and any formal announcements relating to the trust's financial performance, reviewing significant financial reporting judgments contained in them
- Review the adequacy and effectiveness of policies, procedures and systems of internal control and risk management
- Coordinate its work with the trust governance committee, as specified in both committees' terms of reference
- Ensure there is an effective internal audit function that meets Audit Code for NHS Foundation Trusts and the Guide for Governors: Audit Code for NHS Foundation Trusts and provides appropriate independent assurances to the committee, the chief executive and the board and to consider all reports from it which relate to financial probity
- Review and monitor the external auditor's independence and objectivity and the effectiveness of the audit process, taking into consideration relevant UK professional and regulatory requirements
- Develop and implement policy on the engagement of the external auditor to supply non-audit services, taking into account relevant ethical guidance regarding the provision of non-audit services by the external audit firm
- Make recommendations to the council, in relation to the appointment, re-appointment and removal of the external auditor and approve the remuneration and terms of engagement of the external auditor.
- Review the findings of other significant assurance functions and consider the corporate and financial governance implications for the trust
- Review annual report, financial statements and statements of internal control for the trust and the trust as corporate trustee of funds held on trust, prior to submission to the board
- Review arrangements by which staff of the trust may raise, in confidence, concerns about possible improprieties in matters of financial reporting and control, clinical quality, patient safety or other matters.

Governance

The committee shall:

Committee

Decision and duties delegated by the board to committees

committee

- Provide assurance to the board, along with the audit committee, that the trust is properly governed and well managed across the full range of activities;
- Provide internal and external assurance by reviewing the establishment and maintenance of effective systems of governance, risk management and internal control in relation to:
 - Annual reports and development plans relating to governance, clinical audit, infection control
 - Incident reports and investigations, progress reports against clinical indicators, staffing reports
 - Learning and development reports
 - Work plan and delivery of the health & safety committee
 - Assessment reports from external accreditation agencies or regulators including the Healthcare Commission, NHSLA and Health and Safety Executive
 - Declarations of compliance with the Standards for Better Health;
 - Internal and external audit opinions
 - Compliance with national quality imperatives & relevant regulatory legal and code of conduct requirements relating to clinical & research activity

Risk committee

The committee will:

- Provide information and assurance that the trust is safely managing all issues relating to risk and governance
- Monitor the strategic and operational systems and processes which ensure the competent risk management for the organisation
- Investigate any required action and monitor action plans
- Receive regular reports on the risk challenges faced by the divisions and corporate departments and the mitigating action taken
- Advise the board of any significant risk issues
- Ratify non clinical policies for the organisation

Remuneration committee

The committee shall:

- Advise the board about appropriate remuneration and terms of service for the chief executive, executive directors employed by the trust and other senior employees including:
 - All aspects of salary including any performance-related elements and bonuses
 - Provisions for other benefits, including pensions and cars
 - Arrangements for termination of employment and other contractual terms

Committee

Decision and duties delegated by the board to committees

- Make recommendations to the board on the remuneration and terms of service of executive directors and senior employees to ensure they are fairly rewarded for their individual contribution to the trust, having proper regard to the trust's circumstances and performance and to the provisions of any national arrangements for such staff where appropriate
- Monitor and evaluate the performance of executive directors and other senior employees
- Advise on and oversee appropriate contractual arrangements for such staff including the proper calculation and scrutiny of termination payments taking into account such national guidance as is appropriate
- Report in writing to the board the basis for its recommendations

Charitable funds committee

The committee shall:

- Manage the affairs of the funds held on trust by the trust within the terms of any declaration of trust, and applicable legislation
- Manage the investment of funds in accordance with the Trustee Act 2000 and if necessary to appoint fund managers to act on its behalf
- Ensure funding decisions are appropriate and are consistent with the relevant declaration of trust, to ensure such funding provides added value and benefit to the patients and staff of the trust, above those afforded by the exchequer funds
- Implement as appropriate, procedures and policies to ensure that accounting systems are robust, donations received and coded as instructed and that all expenditure is reasonable, clinically and morally appropriate
- Approve the annual accounts and report relating to funds held on trust by the trust and ensure that relevant information is disclosed

Management board

The committee shall:

- Agree and implement actions on operational matters
- Formulate recommendations on strategic matters for board level decision making
- Develop service plans, using revenue or capital funding, for approval and monitoring by the board
- Ensure delivery of the operational corporate plan
- Commission, review and act upon specific pieces of work to address particular problems
- Ensure compliance with external assessment and accreditation bodies

Section 5 – Delegations derived from the accounting officer memorandum

Ref	Delegated to	Duties delegated
	Chief executive (CE)	<p>General responsibilities of an NHS foundation trust accounting officer</p> <p>Has responsibility for the overall organisation, management and staffing of the NHS FT and for its procedures in financial and other matters. The accounting officer must ensure that:</p> <ul style="list-style-type: none">• there is a high standard of financial management in the NHS FT as a whole;• financial systems and procedures promote the efficient and economical conduct of business and safeguard financial propriety and regularity throughout the NHS FT; and• financial considerations are fully taken into account in decisions on NHS FT policy proposals.
	CE	<p>Specific responsibilities of an NHS FT accounting officer</p> <p>The essence of the accounting officer's role is a personal responsibility for:</p> <ul style="list-style-type: none">• the propriety and regularity of the public finances for which he is answerable;• the keeping of proper accounts;• prudent and economical administration;• the avoidance of waste and extravagance; and• the efficient and effective use of all the resources in their charge. <p>The accounting officer must:</p> <ul style="list-style-type: none">• personally sign the accounts and, in doing so accept personal responsibility for ensuring their proper form and content as prescribed by Monitor in accordance with statute;• comply with the financial requirements of the terms of authorisation;• ensure that proper financial procedures are followed and that accounting records are maintained in a form suited to the requirements of management, as well as in the form prescribed for published accounts (so that they disclose with reasonable accuracy, at any time, the financial position of the NHS FT);• ensure that the resources for which the accounting officer is responsible are properly and well

Ref	Delegated to	Duties delegated
		<p data-bbox="799 225 2085 284">managed and safeguarded, with independent and effective checks of cash balances in the hands of any official;</p> <ul style="list-style-type: none"> <li data-bbox="714 312 2085 403">• ensure that assets for which the accounting officer is responsible such as land, buildings or other property, including stores and equipment, are controlled and safeguarded with similar care, and with checks as appropriate; <li data-bbox="714 432 2085 458">• ensure that any protected property (or interest in) is not disposed of without the consent of Monitor; <li data-bbox="714 499 2085 558">• ensure that conflicts of interest are avoided, whether in the proceedings of the board, council or in the actions or advice of the NHS FT's staff; and <li data-bbox="714 587 2085 708">• ensure that, in the consideration of policy proposals relating to the expenditure for which the accounting officer is responsible, all relevant financial considerations, including any issues of propriety, regularity or value for money, are taken into account, and brought to the attention of the board. <li data-bbox="714 737 2085 798">• ensure that effective management systems appropriate for the achievement of the NHS FT's objectives, including financial monitoring and control systems, have been put in place. <li data-bbox="714 826 2085 1137">• ensure that managers at all levels: <ul style="list-style-type: none"> <li data-bbox="799 874 2085 933">○ have a clear view of their objectives, and the means to assess and, wherever possible, measure outputs or performance in relation to those objectives; <li data-bbox="799 962 2085 1053">○ are assigned well-defined responsibilities for making the best use of resources (both those consumed by their own commands and any made available to organisations or individuals outside the NHS FT), including a critical scrutiny of output and value for money; and <li data-bbox="799 1082 2085 1137">○ have the information (particularly about costs), training and access to the expert advice which they need to exercise their responsibilities effectively. <li data-bbox="714 1166 2085 1225">• make sure that their arrangements for delegation promote good management and that they are supported by the necessary staff with an appropriate balance of skills. <li data-bbox="714 1254 2085 1310">• Ensure that arrangements for internal audit should accord with the objectives, standards and practices set out in the Government Internal Audit Standards
CE		<p data-bbox="658 1350 920 1375">Advice to the Board</p> <p data-bbox="658 1398 2085 1425">The accounting officer has particular responsibility to see that appropriate advice is tendered to the board</p>

Ref	Delegated to	Duties delegated
		<p>and the council on all matters of financial propriety and regularity and, more broadly, as to all considerations of prudent and economical administration, efficiency and effectiveness.</p> <p>The accounting officer will need to determine how and in what terms such advice should be tendered, and whether in a particular case to make specific reference to their own duty as accounting officer to justify, to the Public Accounts Committee, transactions for which they are accountable.</p> <p>If the board, council or the chairman is contemplating a course of action involving a transaction which the accounting officer considers would infringe the requirements of propriety and regularity, the accounting officer should set out in writing his objection to the proposal and the reasons for this objection and inform Monitor of the position, if possible before the decision is taken or in any event before the decision is implemented, so that Monitor, if it considers it appropriate, can intervene in accordance with his responsibilities under statute.</p> <p>If a course of action is contemplated which raises an issue not of formal propriety or regularity but relating to the accounting officer's wider responsibilities for economy, efficiency and effectiveness, it is his duty to draw the relevant factors to the attention of the board and the council and to advise them in whatever way he deems appropriate. If the accounting officers advice is overruled, and the proposal is one which as accounting officer he considers he would not be able to defend to the PAC as representing value for money, he should seek a written instruction before proceeding.</p>
CE		<p>Appearance before the Committee of Public Accounts (PAC)</p> <p>An accounting officer may expect to be called upon to appear before the PAC from time to time, normally with the accounting officer from the sponsor department, to give evidence on the reports arising from these examinations or reports following the annual certification audit, and to answer the PAC's questions concerning expenditure and receipts for which he or she is accounting officer. An accounting officer may be supported by one or two other senior officials who may, if necessary, assist in giving evidence.</p> <p>An accounting officer will normally have delegated authority to others, but cannot on that account disclaim responsibility or dilute his or her accountability.</p>

Section 6 – Delegations relating to the code of conduct and accountability

Ref	Delegated to	Duties delegated
	Board	Approve procedure for declaration of hospitality and sponsorship
	Board	Ensure proper and widely publicised procedures for voicing complaints, concerns about maladministration, breaches of the code of conduct and other ethical concerns
	All board members, and Council of Governors	Subscribe to code of conduct in a form specified by the trust
	Board	Board members share corporate responsibility for all decisions of the board
	Chair and non-executive directors	Chair and non-executive directors are responsible for monitoring the executive management of the trust
	Board	<p>The board has six key functions:</p> <ul style="list-style-type: none"> • To set the strategic direction of the trust, define its annual and longer term objectives and agree plans to achieve them • To oversee the delivery of planned results by monitoring performance against objectives and ensuring corrective action is taken when necessary • To ensure effective financial stewardship through value for money, financial control and financial planning and strategy • To ensure that high standards of corporate governance and personal behaviour are maintained in the conduct of the business of the whole trust • To appoint, appraise and remunerate senior executives • To ensure that there is effective dialogue between the trust and the local community on its plans and performance and that these are responsive to the needs of the community and that statutory duties of consultation are observed and performed
	Board	It is the duty of the board to:

Ref	Delegated to	Duties delegated
	Chair	<p data-bbox="656 228 896 252">Duties delegated</p> <ul data-bbox="674 228 2078 699" style="list-style-type: none"> <li data-bbox="674 228 1391 252">• Act within statutory financial and other constraints <li data-bbox="674 268 2078 323">• Be clear what decisions and information are appropriate to the board and draw up standing orders, a schedule of decisions reserved to the board and standing financial instructions to reflect these <li data-bbox="674 339 2078 435">• Ensure that management arrangements are in place to enable responsibility to be clearly delegated to senior executives for the main programmes of action and for performance against programmes to be monitored and senior executives held to account <li data-bbox="674 451 2078 507">• Establish performance and quality targets that maintain the effective use of resources and provide value for money <li data-bbox="674 523 2078 579">• Specify its requirements in organising and presenting financial and other information succinctly and efficiently to ensure the board can fully undertake its responsibilities <li data-bbox="674 595 2078 691">• Establish audit and remuneration committees on the basis of formally agreed terms of reference which set out the membership of these committees, the limit to their powers, and the arrangements for reporting back to the board <p data-bbox="656 754 1003 778">It is the role of the chair to:</p> <ul data-bbox="674 794 2078 1169" style="list-style-type: none"> <li data-bbox="674 794 1155 818">• Provide leadership to the board <li data-bbox="674 834 2078 890">• Enable all board members to make a full contribution to the board's affairs and ensure that the board acts as a team <li data-bbox="674 906 1861 930">• Ensure that key and appropriate issues are discussed by the board in a timely manner <li data-bbox="674 946 2078 1002">• Ensure the board has adequate support and is provided efficiently with all the necessary data on which to base informed decisions <li data-bbox="674 1018 2078 1074">• Lead non executive directors through a formally appointed remuneration committee of the board on the appointment, appraisal and remuneration of the chief executive and, other executive board members <li data-bbox="674 1090 1603 1114">• Appoint non executive directors to an audit committee of the board <li data-bbox="674 1129 1603 1153">• Advise the regulator on the performance of non executive directors
CE		<p data-bbox="656 1233 2078 1321">The chief executive is accountable to the chair and non executive directors for ensuring that it is the board's decisions are implemented, that the trust works effectively, in accordance with the trust's constitution and public service values and for the maintenance of proper financial stewardship</p> <p data-bbox="656 1369 2078 1402">The chief executive should be allowed full scope, within clearly defined delegated powers, for action in</p>

Ref	Delegated to	Duties delegated
		fulfilling the decisions of the board
		The other duties of the chief executive as accounting officer are laid out in the Accounting Officer Memorandum
	Non-executive directors (NEDs)	Non-executive directors are appointed by the council to bring independent judgement to bear on issues of strategy, performance, key appointments and accountability through members to the local community
	Chair and directors	Declaration of conflicts of interest

Section 7 – Delegations from board of director standing orders

Ref	Delegated to	Duties delegated
3.23	Chair	Final authority in interpretation of standing orders.
3.2	Chair or secretary to the board	Calling meetings
3.17	Chair	Chairing all board meetings and associated responsibilities
7.8	CE	Register(s) of interests
10.1	Secretary	Keeping trust seal in a safe place and maintaining register of sealings
10.3	CE or nominated officers/Director of finance	Approving and signing all building, engineering, property or capital documents
11.1	CE	Approving and signing all documents which will be necessary in legal proceedings
11.2	CE or Director of finance	Signing on behalf of the Trust any agreement or document not required to be executed as a deed
12.1	CE	Ensuring all directors and employees are notified of and understand standing orders

Section 8 – Delegation from standing financial instructions

SFI ref	Delegated to	Authorities and duties delegated
1.3.6	CE	Ensuring all directors and employees, present and future, are notified of and understand standing financial instructions
1.3.7	Director of finance	Implementing the trust's financial policies and coordinating corrective action and ensuring detailed financial procedures and systems are prepared and documented
1.3.8	Board and Officers	Responsible for the security of the trust's property, avoiding loss, exercising economy and efficiency in using resources and conforming to standing orders, standing financial instructions and financial procedures
2.1.1	Audit Committee	Providing an independent and objective view on internal control and probity
2.1.1	Audit Committee	Ensuring cost effective audit
2.1.1	Audit Committee	Reviewing, appraising and reporting in accordance with NHS Internal Audit Manual and best practice
2.2.1	Director of finance	Establish an internal audit function and ensure that it meets the Audit Code for NHS Foundation Trusts and the Guide for Governors: Audit Code for NHS Foundation Trusts and decide at what stage to involve the authorities in cases of fraud and misappropriation
2.3.7	Director of finance	Produce written procedures for the issue and clearance of audit reports
2.4.2	Board	Shall nominate a suitable person to carry out the duties of the local counter fraud specialist (LCFS) as specified by the Department of Health fraud and corruption manual and guidance
2.4.3	Director of finance	Shall work with the LCFS to counter fraud
3.1.2	Director of finance	Submitting budgets for the approval of the board,
3.1.3	Director of finance	Monitoring performance against budget, submitting financial estimates and forecasts to the board
3.1.5	Director of finance	Adequately train budget holders on an on-going basis
3.2.1	CE	Delegating budgets to budget holders and submitting monitoring returns to the regulator
3.3.1	Director of finance	Devising and maintaining systems of budgetary control

SFI ref	Delegated to	Authorities and duties delegated
3.3.2	Director of finance	Inform the chief executive and the board of the financial consequences of any change in policy
3.3.4	CE	Identify and implement cost improvements and income generation initiatives
4.1	Director of finance	Prepare annual accounts and reports for each financial year in accordance with any instructions received from the regulator and ensure that these are laid before parliament
5.1.2	Director of finance	Prepare detailed procedural instructions on the operation of investment accounts
5.1.3	Director of finance	Ensure that all covenants in relations to borrowings are adhered to
5.3	Director of finance	Prepare detailed instructions (subject to approval by the board) to govern the operation of bank and OPG accounts and advise the bankers of these conditions
5.4.1	Director of finance	Review the banking arrangements at a regular interval to ensure they represent best value for money
6.1.1	Director of finance	Design, maintain and ensure compliance with the income systems of the trust
6.1.2	Director of finance	Ensure that all monies received are promptly banked
6.2.2	Director of finance	Approving and reviewing the level of those fees and charges not determined by the department of health or statute
6.3.1	Director of finance	Establish procedures for the write-off of debts
8.2	CE	Ensure that the trust enters into suitable contracts for the provision of NHS services
8.6	Director of finance/ Chief operating officer	Regular reports of actual and forecast contract income and expenditure
9.1.3	Remuneration committee	Making recommendations to the board concerning remuneration and terms of service of directors and senior employees on MPS terms and conditions of service.
9.3.1	CE	Approving an establishment control policy, including appointments within establishment, and agency staff appointments
9.4.1	Director of finance	Implementing and overseeing an effective payroll system
9.4.2	Director of finance	Implementing and overseeing effective pay control systems
9.4.4	Director of finance	Ensuring that the payroll service is supported by appropriate contractual arrangements, internal and audit review procedures and that arrangements are in place for collection of appropriate payment of payroll

SFI ref	Delegated to	Authorities and duties delegated
		deductions.
10.1.1	CE	Determining, and setting out, levels of delegation of non-pay expenditure to budget managers
10.1.3	Director of finance	Determine procedures for seeking professional advice regarding the supply of goods and service
10.2.2	Director of finance	Prompt payment of accounts and claims
10.2.5 (d)	CE	Authorising individuals to use and/or be issued with official orders
10.2.7	Director of finance	Ensuring that standing orders are compatible with NHS executive requirements in respect of building and engineering contracts
11	Director of finance	Advising board on borrowing and investment needs and preparing procedural instructions
11.4.2	Director of finance	Report to the board on the performance of any investments held by the trust
11.4.3	Director of finance	Prepare detailed procedural instructions on investment operations
12.1.1	CE/Director of finance	Capital investment programme
12.2	CE/Director of finance	Monitor the capital programme and delegating the duties as required
12.3.1	CE	Maintenance of asset registers
12.3.6	Director of finance	Approve procedures for reconciling balances on capital fixed assets accounts against balance of capital fixed asset registers
12.4.1	CE	Overall responsibility for fixed assets
12.4.4	Directors and senior officers	Apply such appropriate routine security practices in relation to trust property as may be determined by the board
13.2	CE	Must delegate responsibility for the control of stores to an officer
13.4	Director of finance	Responsibility for systems of control over stores and receipt of goods
14.1.1	Director of finance	Must instruct his nominated officer to prepare procedures for the disposal of assets
14.2.1	Director of finance	Preparing procedures for recording and accounting for losses and special payments and informing NHS executive of all frauds and informing police in cases of suspected arson or theft, and where appropriate involving the Local Counter Fraud Office (LCFO)

SFI ref	Delegated to	Authorities and duties delegated
15.1	Director of finance	Responsibility for accuracy and security of computerised financial data
16.2	CE	Responsibility for ensuring patients and guardians are informed about patients' money and property procedures on admission
17	Corporate trustee	Ensuring each fund held on trust is managed appropriately subject to the discretion and approval of the charitable funds committee
17.2.1	Director of finance	Arrange for the proper administration of charitable funds in accordance with the terms of the trust
17.2.2	Director of finance	Produce detailed codes of procedure covering every aspect of the financial management of funds held on trust
17.2.3	Director of finance	Recommend to the board the potential for rationalisation of funds in existence in accordance with statutory guidelines
17.3	Director of finance	Produce guidelines on how to deal with donations and assets from executors
17.5	Director of finance	Responsible for all aspects of the management of the investment of charitable funds
17.7.1	Director of finance	Advise the board (and subject to its approval) ensure that appropriate banking services are available
17.8.2	Director of finance	Shall ensure that all reports and accounts are prepared and submitted in the required manner and to the appropriate person
18.1	Director of finance	Ensure that all staff are aware of the trust's policy on the acceptance of gifts and other benefits in kind
19.1	CE	Retention and maintain archives for all documents required to be retained in accordance with department of health's records management code of practice
20.1	CE	Ensure that the risk management programme is approved and monitored by the board
20.4	CE	Ensuring adequate insurance cover is effected in accordance with risk management policy approved by the board
20.7	CE	Make all claims arising out of policies of insurance
App1 1.5.5	Director of finance	Determine whether it is desirable to seek tenders from firms not on the approved list
App1 1.6.2	CE	Designating an employee responsible for receipt and custody of tenders before opening

SFI ref	Delegated to	Authorities and duties delegated
App1 1.6.3 (i)	CE	Designating employees responsible for opening tenders
App1 1.6.4	CE or Director of finance	Ensure the price to be paid is fair and reasonable and will ensure value for money for the trust
App1 1.6.5	CE or Director of finance	Deciding whether any late tenders should be considered
App1 1.6.8	CE	Appoint a manager to maintain a list of approved firms for tender
App1 1.7.2	CE	Evaluate the quotations and select the quote which gives the best value for money
App1 1.11	CE	Nominating officers to enter into contracts of employment, regarding staff, agency staff or consultancy service contracts
App1 1.12	CE	Determining any items to be disposed of by sale or negotiation
App1 1.13	CE	Ensuring best value for money is demonstrated for all services provided under contract or in-house

Section 9 - Detailed scheme of delegation

This document provides a framework for decision-making responsibilities within the trust. Directors are responsible for ensuring that all staff operate within the scheme of delegation and in accordance with standing orders and standing financial instructions. The scheme of delegation identifies the lowest level to which a particular responsibility may be delegated. There is no requirement for directors to delegate to this level. The levels of management and delegation referred to in this scheme are as follows:

Chief executive (In the absence of the chief executive, urgent matters may be dealt with by the relevant director and/or the chair)

Director of finance & business development (referred throughout as the director of finance) (In the absence of the director of finance, urgent matters may be dealt with by the deputy director of finance)

Other executive directors

Group clinical leads / general managers

Service managers / divisional nurse managers

Senior manager authorised signatories

It is for executive directors to identify within their directorate those officers whom they wish to authorise (authorised signatories) to exercise delegated authority within this scheme of delegation. Forms for this purpose are available from the director of finance

Reference Documents	Duties Delegated	Delegated to:
SFI section 3	1. Management of budget Responsibility for keeping expenditure within budgets (excluding grants from external bodies and charitable funds)	
	At individual budget level (pay and non pay)	Nominated officer determined by relevant General Manager
	At service level	Head of department or clinical services manager
	For the totality of departmental services	Divisional director / general manager
	For all other areas	Director of finance or nominated officer(s)
	Virements between departmental budgets	CE or Director of finance
SFI section 5	2. Maintenance/operation of bank accounts	
	Payments up to £50,000 (excluding VAT) shall be supported by two authorised signatories on a cheque or authority to pay, as appropriate	Director of finance
	Individual payments over £50,000 (excluding VAT) shall be supported by two authorised signatures of which at least one will be an executive director of the trust	Director of finance
SFI section 10	3. Non pay revenue and capital expenditure/ requisitioning and ordering of goods & services (to be read in conjunction with Appendix 1 of the SFI)	
	Up to £4,999 per item, (excluding VAT)	Nominated officer and financial limit to be determined by relevant General Manager
	£5,000 to £9,999 per item, (excluding VAT)	Nominated officer and financial limit to be determined by relevant General Manager

Reference Documents	Duties Delegated	Delegated to:
	£10,000 to £49,999 per item (excluding VAT)	General manager, divisional director or executive director
	Pharmacy orders up to £100,000 per item (excluding VAT). Variation to this delegated limit to be authorised by the director of finance/CE in writing.	Director of pharmacy
	Physics orders £50,000 to £100,000 per item (excluding VAT)	Director of NW medical physics
	Credit card orders £0 - £10,000	CE, medical director, director of finance, head of procurement
	£50,000 to £149,999 (total cost over life of contract) including non pay expenditure for which no specific budget has been set up and which is not subject to funding under delegated powers of virement.	CE or Director of finance
	£150,000 to £499,999 (total cost over life of contract)	Management board
	£500,000 and over (total cost over life of contract)	Board of directors
	All contracts for goods & services and subsequent variations to contract	General manager, divisional director or executive director
SFI section 12 and capital investment manual	4. Capital schemes including charity funded schemes (to be read in conjunction with Appendix 1 of the SFIs) All schemes must be supported by a business case.	
	Approval of capital programme	Board of directors
	Schemes up to £500k (excluding VAT)	Management board and CFC
	Schemes above £500k (excluding VAT)	Board of directors
	Approval of post contract increases on all contracts up to an overall limit of £99,999 (excluding VAT)	Management board and CFC

Reference Documents	Duties Delegated	Delegated to:
	Approval of post contract increases on all contracts above £100k (excluding VAT)	Board of directors
	Selection of architects, quantity surveyors, consultant engineer and other professional advisors within EU regulations	CE or Director of finance or nominated officer(s) Head of capital or Deputy director of finance
	Financial monitoring and reporting on all capital scheme expenditure	Director of finance or nominated officer(s)
	Granting of and termination of leases and annual rent up to £100k (excluding VAT)	CE, Director of finance or nominated officer(s) Head of capital or Deputy director of finance
	Granting of and termination of leases and annual rent over £100k (excluding VAT)	Board of directors
SFIs sections 10	5. Quotation, tendering & contract procedure (to be read in conjunction with Appendix 1 of the SFIs)	
Appendix 1 : 1.7.1	Obtaining 1 minimum verbal quote for goods & services up to £999 (excluding VAT) (per item)	Nominated officer to be determined by relevant General Manager
Appendix 1 : 1.7.1	Obtaining 2 minimum verbal quotations (unless sole supplier) for goods /services from £1,000 to £4,999 (excluding VAT) (per item)	Head of department or head of procurement or nominated procurement officer(s)
Appendix 1 : 1.7.1	Obtaining 3 written quotations for goods & services from £5,000 to £50,000 (excluding VAT) (per item)	Head of department or clinical services manager or head of procurement or nominated procurement officer
Appendix 1 : 1.7.2	Obtaining 3 minimum competitive tenders for goods & services over £50,000 (excluding VAT)	Head of department or clinical services manager and head of procurement or nominated procurement officer
Appendix 1 : 1.5.3	Waiving of quotations & tenders for goods & services over £5,000	CE or Director of finance or nominated officer(s)

Reference Documents	Duties Delegated	Delegated to:
	(excluding VAT) Providing list of all waivers issued for review by Audit Committee	Chief operating officer or Deputy director of finance
Appendix 1 : 1.6.3 (i)	Opening all tenders below £100k	Two senior officers (not from originating department) nominated by the CE
Appendix 1 : 1.6.3 (ii)	Opening tenders from £100k and above	Two senior officers (not from originating department) nominated by the CE– one to be a member of the board
Appendix 1 : 1.6.6	Acceptance of a tender other than the lowest (if payment is to be made by the trust) or other than the highest (if payment is to be received by the trust)	CE or director of finance or nominated officer
	Acceptance of tender up to £150k (excluding VAT) subject to being within the budget amount allocated by the trust	CE or Director of finance
	Acceptance of tender of over £150k up to £500k (excluding VAT) subject to being within the budget amount allocated by the trust	Management board
	Acceptance of tender over £500k (excluding VAT) subject to being within the budget amount allocated by the trust	Board of directors
	Acceptance of a tender which exceeds budget amount allocated by the trust	Management board
	Building, engineering, property and capital contracts (including any professional services relating to them worth £50k (excluding VAT) or more) shall be sealed under common seal of trust.	Sealing committee of board of directors once approved by Director of finance or nominee and CE Head of capital or Deputy director of finance
SFIs section 6	6. Setting of fees and charges	
	Private patient overseas visitors, income generation and other	Director of finance or nominated officer(s)

Reference Documents	Duties Delegated	Delegated to:
	patient related services	
	Price of NHS activity which falls outside of the national published tariff	Director of finance or nominated officer(s) Deputy director of finance
	Credit notes	Deputy Director of finance or nominated officer(s)
SFIs section 9	7. Engagement of staff not on the establishment	
	Engagement of independent consultants	CE or Director of finance or nominated officer(s) Chief operating officer or Deputy director of finance
	Engagement of trust's solicitors	CE or Director of finance
	Agency staff	Nominated officer to be determined by relevant General Manager
SFIs section 17	8. Expenditure on charitable funds	
	Up to £5,000 per request up to maximum of uncommitted funds	Budget holder
	£5,000 to £25,000 per request up to maximum of uncommitted funds	CE
	Above £25,000 per request up to maximum of uncommitted funds	Charitable funds committee
SFIs section 17	9. Expenditure on non-charitable grants	
	Up to the limit of the non- charitable grant awarded	Grant holder
SFIs sections 6	10. Agreements/licences	

Reference Documents	Duties Delegated	Delegated to:
	Preparation and signature of all tenancy agreements/licences for all staff subject to trust policy on accommodation for staff	Chief operating officer or Director of finance
	Extensions to existing leases	Chief operating officer or Director of finance
	Letting of premises to outside organisations	Chief operating officer or Director of finance
	Approval of rent based on professional assessment	Chief operating officer or Director of finance
SFIs section 14	11. Condemning & disposal	
	Disposals: Obtaining best sale price for revenue assets with an estimated sale value of less than £1,000 (excluding VAT)	Head of department or clinical services manager or head of procurement or nominated procurement officers
	Disposals: Competitive offers for revenue assets with an estimated sale price of £1,000 (excluding VAT) or over	Director of finance or Head of procurement or nominated officer Deputy director of finance
	Disposals: Tenders for any asset (whether capital or revenue) with an estimated sale price of £5,000 (excluding VAT) or over	CE or Director of finance or nominated officers Deputy director of finance
SFIs section 14	12. Losses, write-offs & compensation	
	Losses of each due to theft, fraud, overpayment; fruitless payment (including abandoned capital schemes); bad debts and claims abandoned, private patients, overseas visitors; damage to buildings, fittings, furniture and equipment and loss of equipment and property in stores and in use due to culpable causes (e. g. fraud, theft, arson); extra contractual payments to contractors; & others up to £50,000	CE or Director of finance
	Compensation payments made under legal obligation	CE or Director of finance
	Ex-gratia payments: Patients and staff for loss of personal effects	Director of finance

Reference Documents	Duties Delegated	Delegated to:
	up to £10,000	
	Ex-gratia payments: £10,000 to £50,000	CE & Director of finance
	Other, except cases of maladministration where there was no financial loss by claimant, up to £50,000	CE & Director of finance
	All losses over £50,000	Board of directors
	For clinical negligence up to £1,000,000 (negotiated settlements) (including plaintiff's costs)	CE & Director of finance & Director of nursing and governance in consultation with NHS Litigation Authority
	For personal injury claims involving negligence where legal advice has been obtained and guidance applied up to £1,000,000 (including plaintiff's costs)	CE & Director of finance & Director of nursing and governance in consultation with NHS Litigation Authority
	For all negligence claims over £1,000,000 (including plaintiff's costs)	Board of directors in consultation with NHS Litigation Authority
	Write-off of individual NHS and non-NHS debtors over £5,000 and an annual report of all debtors written off in total	Director of finance (Reported to audit committee for information)
SFIs section 2 & anti fraud & corruption policy	13. Reporting of incidents to the police	
	Where a criminal offence is suspected	General manager or security officer
	Where a fraud is involved in accordance with Secretary of State directions	Director of finance or nominated officer(s) Deputy director of finance
SFI section 10	14. Petty cash disbursements a) Expenditure up to £25 (per item)	Petty cash holder
	15. Receiving hospitality	

Reference Documents	Duties Delegated	Delegated to:
Section 18 and appendix 2b	Hospitality received by an individual on any occasion to a value in excess of £25 requires to be disclosed	All staff Declaration required in trust's hospitality Register
SFI section 2	16. Implementation of internal and external audit recommendations	Director of finance or nominated officer Deputy director of finance
SFI section 1	17. Maintenance & update on trust financial procedures	Director of finance or nominated officer Deputy director of finance
SFIs section 17	18. Investment of funds (including charitable funds)	Director of finance or nominated officer Deputy director of finance
	19. Personnel & pay All authorities to be exercised in accordance with the relevant policy and procedure of the trust as amended from time to time.	
	19(a) Appointment of temporary and permanent staff to the funded establishment (following the Vacancy Vetting Procedure)	Chief operating officer
	19(b) Appointment of temporary and permanent staff to post to non-funded establishment (following the Change of Establishment Procedure)	CE & Director of finance
	Additional increments 19(c) The granting of additional increments to staff within the limit of the relevant approved budget and funded establishment	CE & Chief operating officer
	Upgrading & re-grading 19(d) Upgrading and re-grading within the limit of the relevant approved budget and funded establishment (following Agenda for Change)	Chief operating officer & Associate Director of HR & OD

Reference Documents	Duties Delegated	Delegated to:
	Remuneration Changes 19(e) (i) Agreeing changes to any aspect of remuneration within the limit of the relevant approved budget and funded establishment	Director of finance
	19 (e) (ii) Agreeing changes over and above national approved pay spines within the limit of the relevant approved budget and funded establishment	Director of finance or chief operating officer
	19 (e) (iii) Approval of performance related pay assessment	Remuneration committee
	19(f)(i)Following the Change of Establishment Procedure: Appointment of additional temporary or permanent staff to the relevant establishment with specifically allocated finance	CE & Director of finance
	19(f)(ii)Following the Change of Establishment Procedure: Appointment of additional temporary or permanent staff to the relevant establishment without specially allocated finance	Chief operating officer and Director of finance
	19(g)(i)Authority to complete standing data forms effecting pay, new starters, variations and leavers	Director, general manager/delegated officer
	19(g)(ii)Authority to complete and authorise attendance record on SMART	General manager/delegated officer
	19(g)(iii)Authority to authorise overtime within the limit of the relevant approved budget	General manager/delegated officer
	19(g)(iv)Authority to authorise travel & subsistence expenses	General manager/delegated officer
	Authorised leave	
	19(h)(i)Approval of annual leave	General manager/delegated officer
	19(h)(ii)Approval of the carrying forward of up to maximum of 5 days annual leave accrued but untaken at the end of the relevant holiday	General manager/delegated officer

Reference Documents	Duties Delegated	Delegated to:
	year.	
	19(h)(iii)Approval of the carrying forward of in excess of 5 days but not exceeding 10 days of annual leave accrued but untaken at the end of the relevant holiday year.	Executive director
	19(h)(iv)Authorisation of paid bereavement leave up to 5 days per bereavement	General manager/delegated officer
	19(h)(v)Authorisation of additional paid bereavement leave of up to a further 5 days per bereavement	General manager
	19(h)(vi)Special leave arrangements: Paid Care leave Up to 5 days in any one year	Line manager
	19(h)(vi)Special leave arrangements: Paid Care leave Up to an additional 5 days in any one year	General manager/delegated officer
	19(h)(vi)Special leave arrangements: Paternity leave	General manager/delegated officer
	19(h)(vi)Special leave arrangements: Other Leave	General manager/delegated officer
	19(h)(vii)Special leave arrangements: Leave without pay or time off in lieu	General manager/delegated officer
	19(h)(viii)Special leave arrangements: Senior medical staff leave of absence	Divisional Director
	19(h)(ix)Special leave arrangements: Maternity leave-paid and unpaid	General manager/delegated officer
	19(h)(x)Special leave arrangements: Adoption leave – paid and unpaid	General manager/delegated officer
	19(i)(i)Extension of sick leave on full pay for up to three months after normal contractual entitlement to full pay has been exhausted.	Chief operating officer

Reference Documents	Duties Delegated	Delegated to:
	(Additional full payment period to be off set against half pay period.)	
	E19(i)(ii)extension of sick leave on half pay for up to three months after normal contractual entitlement to half pay has been exhausted.	Chief operating officer
	19(i)(iii)Return to work part-time on full pay to assist recovery	Line Manager
	19(j)(i)Non-medical staff: paid Study leave in the UK and overseas	General manager/delegated officer
	19(j)(ii)Medical staff paid study leave in the UK and overseas	Chair of medical staff committee
	Other HR duties	
	19(k) Agreeing that the Trust should pay removal expenses incurred by an employee taking up a new appointment	Associate Director of HR & OD
	19(l)All grievances cases must be dealt with strictly in accordance with the Trust's Grievance Procedure and the advice of a human resource officer must be sought when the grievance reaches the level of senior manager or executive director	HR Manager and nominated officer together
	19(m)Renewal of Extension to fixed term contract	General Manager/Deputy finance manager or delegated officer
	19(n) Authorisation of extensions of contract beyond normal retirement age in exceptional circumstances	Associate Director of HR & OD and General manager
	19(o)(i)Redundancy: compulsory and voluntary	Associate Director of HR & OD and General manager
	19(o)(ii)Redundancy: Non renewal of fixed term	Associate Director of HR & OD and General manager
	19(p)Decision to support an employee's application for retirement on the grounds of ill-health	Associate Director of HR & OD or delegated HR officer and General manager with advice from OH provider

Reference Documents	Duties Delegated	Delegated to:
	19(q) Dismissal	Associate Director of HR & OD or delegated HR officer and General manager or delegated officer
	19(r) Disciplinary procedure All disciplinary cases must be dealt with strictly in accordance with the Trust's Disciplinary Procedure and the advice of a HR officer must be sought when the disciplinary procedure reaches the level of senior manager or executive director	Chief operating officer or senior manager
	19(s)(i) Issuing all employees with an employment contract in a form approved by the board and which complies with employment legislation and Agenda for Change and/or the trust's own terms and conditions as the case may be.	Associate Director of HR & OD or delegated HR officer
	19(s)(ii) Varying contracts of employment (excluding remuneration)	HR manager
SFIs section 10	20. Authorisation of new drugs	Drugs management committee
	21. Authorisation of sponsorship deals	
	Medical/clinical	CE or medical director or ethics committee
	Other (including commercial participators)	CE or appeals committee
	22. Authorisation of research projects	CE or director of research & development or director of N W medical physics
	23. Authorisation of clinical trials	Ethics committee & CE or ethics committee & director of research & development
	24. Publication of useful results of charitable funded research in line with Charity Commission guidance.	Director of research & development
	25. Acceptance of non—research linked grants and donations:	

Reference Documents	Duties Delegated	Delegated to:
	Up to £50k	Director of finance
	Up to £100k	CE
	Above £100k	Board of directors
SFIs section 21	26. Insurance policies and risk management	Director of finance or Director of nursing and governance or nominated officer(s) Deputy director of finance
	27. Patients & relatives complaint	
	Overall responsibility for ensuring that all complaints are dealt with effectively	Director of nursing and governance
	Responsibility for ensuring complaints relating to a directorate are investigated thoroughly	Director of nursing and governance
	Medico-legal complaints co-ordination of their management	Director of nursing and governance
	28. Relationships with press	Head of Communications
Nurse/midwives /health visitors act/midwives rules/code of practice/ UKCC code of professional conduct	29. Infectious diseases & notifiable outbreaks	Director of nursing & governance
	30. Patient services	
	Variation of operating and clinic sessions within existing numbers: <ul style="list-style-type: none"> • Out-patients • Theatres • Other 	Chief operating officer or General Manager

Reference Documents	Duties Delegated	Delegated to:
	All proposed changes in bed allocation and use: Temporary change	Chief operating officer or General Manager
	All proposed changes in bed allocation and use: Permanent change	Management board
	All proposed changes in bed allocation and use: Contract monitoring & reporting	Chief operating officer or General Manager
	31. Facilities for staff not employed by the trust to gain practical experience	
	Professional recognition	Medical director
	Honorary contracts	CE or medical director
	Insurance of medical staff	Director of finance
	Work experience students	HR or line manager
	32. Review of fire precautions	Director of facilities
	33. Review of all statutory compliance legislation and health and safety requirements including Control of Substances Hazardous to Health Regulations 2002	Director of nursing and governance
	34. Review of Medicines Inspectorate Regulations including but not limited to: <ul style="list-style-type: none"> • The Medicines (Homeopathic Medicinal Products for Human Use) Amendment Regulations 2005 (SI 2005/2753) • The Medicines (Marketing Authorisations Etc.) Amendment Regulations 2005 (SI 2005/2759) • The Medicines (Advertising Amendments) Regulations 2005 (SI 2005/2787) • The Medicines for Human Use (Manufacturing, Wholesale 	Medical director

Reference Documents	Duties Delegated	Delegated to:
	Dealing and Miscellaneous Amendments) Regulations 2005 (SI 2005/2789)	
	35. Review of compliance with environmental regulations, for example those relating to clean air and waste disposal	Chief operating officer
	36. Review of trust's compliance with the Data Protection Act 1998	Data protection manager
	37. Monitor proposals for contractual arrangements between the trust and outside	CE
	38. Review of trust's compliance with the Access to Health Records Act 1990	Health records officer
	39. Review of the trust's compliance with all applicable code of practices and/or guidance on the for handing of confidential information in the contracting environment	Director of finance
	40. The keeping of a declaration of interests register	CE
	41. Attention of sealings in accordance with standing orders	Chair or CE
	42. The keeping of a register of sealings	Executive Secretary to the Board
	43. The keeping of the hospitality register	CE
SFIs section 19	44. Retention of records	CE
	45. Clinical audit	Chair of clinical audit committee
	46. Expenses policy	Board of directors
	47. Expenses Hospitality a) Claims will not be eligible for alcohol consumed on site.	

Reference Documents	Duties Delegated	Delegated to:
	<p>(This is in line with the trust policy on alcohol)</p> <ul style="list-style-type: none"> b) For staff functions - one function per annum is permissible up to a maximum of £30 per head (this is intended to cover christmas functions) c) For working dinners and other off site hospitality events related to work, food and beverages up to a maximum of £30 per head where funds from a commercial source and/or specific grant income exist. If there are no such funds available and the event is necessary, expenses at standard NHS rates will be reimbursed (the current standard meal allowance is £5). d) For working dinners and other off site hospitality events related to work, food and beverages up to a maximum of £100 per head. A specific list of chairman's action to be reported to the board annually. <p>Meetings/courses/conferences and travel</p> <ul style="list-style-type: none"> a) Event costs – 100% reimbursement permissible. b) Travel – 100% of costs where the following are adhered to:- <ul style="list-style-type: none"> i) mileage at NHS standard rates, based on excess miles only ii) Rail and airfares –second class or economy tickets iii) Rail and airfares – first class rail fare and or business class airfare for journeys in excess of four hours. A specific list of chairman's action to be reported to the board annually. <p>Accommodation and meals- expenses will be reimbursed at cost providing the cost is moderate and reasonable.</p>	<p>Divisional director or academic head</p> <p>Divisional director or academic head</p> <p>Chairman</p> <p>Divisional director or academic head</p> <p>Chairman</p>

