



# Scheme of Reservation and Delegation

Version May 2023

Approved

## **INTERPRETATION AND DEFINITIONS FOR STANDING FINANCIAL INSTRUCTIONS AND SCHEME OF RESERVATION AND DELEGATION OF POWERS**

- a) Unless otherwise stated, words or expressions contained in these Standing Financial Instructions and the Scheme of Reservation and Delegation of Powers shall bear the same meaning as in the National Health Service Act 2006 as amended by the Health and Social Care Act 2012.
- b) Words importing the masculine gender only shall include the feminine gender; words importing the singular shall import the plural and vice-versa.
- c) Further details on the definitions of terms used may be found in both the Standing Financial Instructions and the Scheme of Reservation and Delegation.

### **1 SCHEDULE OF RESERVATIONS AND DELEGATIONS**

- 1.1 The Trust's *Scheme of Reservations and Delegation of Powers* should be read in conjunction with the Trust's *Constitution* and the Trust's *Standing Financial Instructions*.

# 1 INTRODUCTION

## 1.1 Background

- 1.1.1 This Scheme of Reservation and Delegation of Powers details administrative practice and procedure and records the delegations and reservations of powers and functions adopted by North East Ambulance NHS Foundation Trust (referred to as the “Trust”). They should be used in conjunction with the *Constitution* and the *Standing Financial Instructions* which have been adopted by the Trust. The Trust’s *Constitution* and the *Foundation Trust Code of Governance* from NHS England requires such a formal document recording the exercise of delegated powers.
- 1.1.2 The Trust is a *Public Benefit Corporation* following approval by the *Independent Regulator of NHS Foundation Trusts* (previously known as Monitor or NHS Improvement, but these have now been merged into NHS England as part of the Health and Care Act 2022) pursuant to the National Health Service Act 2006 (the “2006 Act”). The Trust is governed by the 2006 Act, as amended by the Health and Social Care Act 2012 (or subsequent statute), its Constitution and the NHS Provider License granted by NHS England. The functions of the Trust are conferred by the Regulatory Framework and the Trust is required to comply with the guidance issued by NHS England. This Scheme of Reservation and Delegation of Powers and their content and approval are the sole responsibility of the Board of Directors and are not required to be submitted for approval to any group or organisation including NHS England or the Council of Governors.
- 1.1.3 The purpose of this document is to detail how the powers are reserved to the Board of Directors, matters for which it is held accountable to NHS England whilst at the same time delegating to the appropriate level the detailed application of Trust policies and procedures. However, the Board of Directors remains accountable for all of its functions, even those delegated to individual directors or officers and would therefore expect to receive information about the exercise of delegated functions to enable it to maintain a monitoring role.

## 2.1 Role of the Chief Executive

- 2.1.1 All powers of the Trust which have not been retained as reserved by the Council of Governors, the Board of Directors or delegated to a committee shall be exercised on behalf of the Board of Directors by the Chief Executive. The Chief Executive shall prepare a *Scheme of Reservation and Delegation of Powers* identifying which functions shall be performed personally and which functions have been delegated for operational responsibility to other directors and officers.
- 2.1.2 All powers delegated by the Chief Executive can be re-assumed by her should the need arise. As Accountable Officer the Chief Executive is accountable to the Accounting Officer of the Department of Health and Social Care (DHSC) for the funds devolved to the Trust.

## 2.2 Caution over the Use of Delegated Powers

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

### **2.3 Absence of directors 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 the Board of Directors. If the Chief Executive is absent, their delegated powers may be exercised by the appointed Deputy Chief Executive. If both the Chief Executive and the Deputy Chief Executive are absent, the Chief Executive's delegated powers may be exercised by a nominated Executive Director acting in the Chief Executive's absence. In circumstances where the Chief Executive has not nominated an Officer to act in her absence, the Board of Directors shall nominate an officer to exercise the powers delegated to the Chief Executive in her absence.

## **3. RESERVATION OF POWERS TO THE BOARD OF DIRECTORS**

### **3.1 Accountability**

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

### **3.2 General Enabling Provision**

3.2.1 The Board of Directors may determine any matter it wishes in full session within its statutory powers and taking account of the Trust's Constitution and any guidance issued by NHS England.

### **3.3 Regulation and Control**

3.3.1 The powers reserved to the Board of Directors generally represent matters for which it is held accountable to NHS England under the Trust's NHS Provider License, Terms of Authorisation and the Regulatory Framework, while at the same time delegating to the appropriate level the detailed application of Trust policies and procedures. However, the Board of Directors remains accountable for all of its functions, even those delegated to individual committees, directors or officers and would therefore expect to receive information about the exercise of delegated functions to enable it to maintain a monitoring role. The Board of Directors exercises this delegation of regulation and control by the:

- a) approval of Standing Orders for the Board of Directors which form Annex 7 of the Trust's Constitution;
- b) a schedule of matters reserved to the Board of Directors and Standing Financial Instructions (SFIs) for the regulation of its proceedings and business;
- c) approval of a Scheme of Reservation and Delegation of Powers (SoRD) of powers from the Board of Directors to managers;
- d) requirement to receive the declaration of directors' interests which may conflict with those of the Trust and determining the extent to which that director may remain involved with the matter under consideration;
- e) requirement to receive the declaration of interests from officers which may conflict with those of the Trust;

- f) disciplining of Directors who are in breach of Statutory Requirements or the Trust's Constitution and governance documents;
- g) approval of the disciplinary procedure for Executive Directors;
- h) adoption of the organisational structures, processes and procedures to facilitate the discharge of business by the Trust and to agree modifications there to;
- i) requirement to receive reports from committees including those which the Trust is required by the Secretary of State or other regulation to establish and to take appropriate action thereon;
- j) requirement to approve the recommendations of the Trust's committees;
- k) requirement to establish terms of reference and reporting arrangements of all committees;
- l) ratification of any urgent decisions through use of emergency powers in accordance with paragraph 5.2 (Emergency Powers) of the Standing Orders for the Board of Directors as described in Annex 7 of the Trust's Constitution;
- m) approval of arrangements relating to the discharge of the Trust's responsibilities as a corporate Trustee for funds held on Trust (where and if applicable);
- n) approval of arrangements relating to the discharge of the Trust's responsibilities as a bailee for patients' property;
- o) approval of the Trust's Policy and Procedure for the Management of Complaints Concerns;
- p) approval of the Trust's Corporate Policy and Procedure for the Reporting, Management and Review of Adverse Incidents; Serious Untoward Incident Policy
- q) approval of the Trust's Freedom to Speak Up Strategy and Trust's Freedom to Speak Up Policy;
- r) approval of the Trust's Risk Management Strategy;
- s) approval of the Trust's Health, and Safety Policy;
- t) approval of the Trust's Major Incident Plan;
- u) with the Council of Governors, and in accordance with the Trust's Constitution, approving changes to the Trust's Constitution;
- v) approval of the Trust's Learning from Deaths Policy;
- w) approval of the Trust's Fit and Proper Persons Policy.

### **3.4 Appointments**

3.4.1 The Board of Directors exercises this delegation of appointments by:

- a) the appointment and dismissal of committees;

- b) the appointment, appraisal, disciplining and dismissal of Executive Directors;
- c) the appointment of members of any committee of the Trust or the appointment of representatives of *outside bodies*.

3.4.2 In accordance with the Trust's Constitution, the Council of Governors will appoint the Chairman, the Non-Executive Directors and approve the appointment of the Chief Executive.

### 3.5 Policy Determination

3.5.1 The Board of Directors exercises this delegation of policy determination by:

- a) the approval of Trust management policies where not specifically delegated to the Executive Management Group to approve.

### 3.6 Strategy and Business Plans and Budgets

3.6.1 The Board of Directors exercises this delegation of strategy, business plans and budgets by:

- a) the definition of the strategic aims and objectives of the Trust;
- b) the approval of the Annual Strategic Objectives and Operational Plan supported by enabling strategies including Quality, Workforce, Estates, Finance and Performance and Marketing and Business Development;
- c) the approval annually of plans in respect of the application of available financial resources;
- d) the overall approval of programmes of investment to guide the letting of contracts for the supply of clinical services.

3.6.2 The Board of Directors shall, in *accordance with the Trust's Constitution, take account of the need to present forward plans to the Council of Governors.*

### 3.7 General Matters

3.7.1 The Board of Directors exercises this delegation of general matters by:

- a) the acquisition, disposal or change of use of land and / or buildings;
- b) the introduction or discontinuance of any significant activity or operation. The significance should be determined by the Executive Director with delegated authority for the function using a risk management approach;
- c) agreeing action on litigation against, or on behalf of, the Trust where the estimated value was in excess of £100,000. This agreement can also take place by the Remuneration Committee in the respect of litigation brought by staff and the Audit and Risk Committee in respect of other litigation.

### **3.8 Financial and Performance Reporting Arrangements**

3.8.1 The Board of Directors exercises this delegation of financial and performance reporting arrangements by:

- a) the continuous appraisal of the affairs of the Trust by means of the receipt of reports as it sees fit from Executive Directors, committees and associate directors of the Trust;
- b) the approval of the opening or closing of any bank or investment accounts;
- c) the receipt and approval of a schedule of NHS contracts signed in accordance with arrangements approved by the Chief Executive;
- d) the consideration and approval of the Trust's Annual Report including the annual accounts;
- e) the receipt and approval of the Annual Report(s) for funds held on Trust.

3.8.2 The Board of Directors shall, in accordance with the Trust's Constitution, present performance information and the annual accounts and report to the Council of Governors.

### **3.9 Audit Arrangements**

3.9.1 The Board of Directors exercises this delegation of audit arrangements by:

- a) approving audit arrangements (including arrangements for the separate audit of funds held on Trust) and to receive reports of the Audit and Risk Committee meetings and take appropriate action;
- b) the receipt of the annual management letter received from the external auditor and agreement of action on the recommendation where appropriate of the Audit and Risk Committee;
- c) the receipt of the Annual Internal Audit Report from the internal auditor and the agreement of action on the recommendation where appropriate of the Audit and Risk Committee.

3.9.2 The Board of Directors note, in accordance with the Trust's Constitution, that the Council of Governors is responsible for the appointment, re-appointment and removal of the External Auditor, advised by the Board of Directors' Audit and Risk Committee.

## 4. DELEGATION OF POWERS

### 4.1 Delegation to Committees

- 4.1.1 The Board of Directors may determine that certain of its powers shall be exercised by Standing Committees, taking account the Trust's *Constitution* and guidance issued by NHS England. The composition and terms of reference of such committees shall be that determined by the Board of Directors from time to time taking into account where necessary the requirements of the NHS England / or the Charity Commission (including the need to appoint an Audit and Risk Committee and a Remuneration Committee). The Board shall determine the reporting requirements in respect of these committees. In accordance with *Standing Orders for the Board of Directors*, (Annex 7 of the Trust's *Constitution*) committees may not delegate executive powers to committees unless expressly authorised by the Board of Directors.

## 5. SCHEME OF RESERVATIONS AND DELEGATIONS TO OFFICERS

### 5.1.1 Introduction

- 5.1.1 The Trust's *Constitution* and *Standing Financial Instructions* set out in some detail the financial responsibilities of the Chief Executive, the Executive Director of Finance and Digital, and other directors. These responsibilities are summarised below.
- 5.1.2 Delegated matters in respect of decisions which may have a far reaching effect must be reported to the Chief Executive.
- 5.1.3 The delegation shown below is the lowest level to which authority is delegated.

a) **Table A – Delegated Authority:**

The Board of Directors delegated authority to Committees, Executive Directors and other officers of the Trust as set out in Table A.

b) **Table B – Delegated Financial Limits:**

Delegation to lower levels is only permitted with written approval of the Chief Executive who will, before authorising such delegation, consult with other Senior Managers as appropriate. All items concerning Finance must be carried out in accordance with *Standing Financial Instructions* and *Standing Orders*.



**Table A - Delegated Authority**

Delegated Matter	Delegated Authority	Operational Delivery	Cross reference to SFI's/Standing Orders/ Trust Policy
<b>Corporate and Legal</b>			
<b>Standing Orders for the Board of Directors/Standing Financial Instructions/Scheme of Reservation and Delegation</b>			
a) Approval of the Trust's Standing Orders for the Board of Directors, Standing Financial Instructions and Scheme of Reservation and Delegation of Powers (including variations and amendments)	Board of Directors	Board of Directors	Standing Orders 39. -39.1.4
b) Final authority in interpretation of Standing Orders	Chairman	Chief Executive / Assistant Director of Corporate Governance	Standing Orders Annex 7, 1. – 1.1
c) Notifying Directors and employees of their responsibilities within the Standing Orders and Standing Financial Instructions and ensuring that they understand the responsibilities	Chief Executive	Executive Directors /Directors/Heads of Service/ Heads of Department	Standing Orders 40. – 40.1
d) Responsibility for security of the Trust's property, avoiding loss, exercising economy and efficiency in using resources and conforming with Trust's Constitution, Standing Orders for the Board of Directors, Financial instructions and financial procedures	Director of Finance and Digital	All Employees	Standing Financial Instructions 15.3.7
e) Ensuring Standing Orders for the Board of Directors / Standing Financial Instructions are compatible with Department of Health and Social Care (DHSC) requirements re building and engineering contracts	Chief Executive	Director of Finance and Digital	Standing Financial Instructions 22.1

Delegated Matter	Delegated Authority	Operational Delivery	Cross reference to SFI's/Standing Orders/ Trust Policy
f) Suspension of Standing Orders for the Board of Directors / Standing Financial Instructions	Board of Directors	Board of Directors	Standing Orders 38.-38.2
g) Review suspension of Standing Orders for the Board of Directors / Standing Financial Instructions	Audit and Risk Committee	Assistant Director of Corporate Governance	Standing Orders 38.-38.2
h) Use of emergency powers relating to the authorities retained by the Board of Directors	Chairman and Chief Executive with two Non-Executive Directors	Chairman and Chief Executive with two Non-Executive Directors	Standing Orders 23. – 23.2
i) Advice on the interpretation or application of the Standing Financial Instructions	Chief Executive	Director of Finance and Digital	Standing Financial Instructions 15.1.4
j) Advice on the interpretation or application of the Scheme of Reservation and Delegation of Powers	Chief Executive	Assistant Director of Corporate Governance	Standing Orders 44.6
k) Disclosure of non-compliance with Standing Orders (as per the Constitution) to the Chief Executive (report to the Board of Directors)	Chief Executive	All Employees	
l) Disclosure of non-compliance with Standing Financial Instructions to the Director of Finance and Digital	Chief Executive	All Employees	
m) Disclosure of non-compliance with the Scheme of Reservation and Delegation of Powers to the Chief Executive	Chief Executive	All Employees	
<b>Audit Arrangements</b>			
a) Advise the Board of Directors on The Trust's Audit function	Audit and Risk Committee	Director of Finance and Digital	Standing Financial Instruction 16.2
b) Advise the Council of Governors on external audit services.	Audit and Risk Committee	Director of Finance and Digital	Standing Financial Instructions 16.5.1

Delegated Matter	Delegated Authority	Operational Delivery	Cross reference to SFI's/Standing Orders/Trust Policy
c) Review, appraise and report in accordance with NHS internal audit manual and best practice.	Audit and Risk Committee	Director of Finance and Digital	Standing Financial Instruction 16.2
d) Provide an independent and objective view on internal control and probity.	Audit and Risk Committee	Director of Finance and Digital	
e) Advising the Council of Governors to ensure cost-effective external audit.	Audit and Risk Committee	Director of Finance and Digital	
f) Implement audit recommendations	Chief Executive	All Directors	
<b>Legal Proceedings</b>			
a) Engagement of Trust's Solicitors	Chief Executive	Executive Directors	
b) Approve and sign all documents which will be necessary in legal proceedings, i.e., executed as a deed	Chief Executive	Chief Executive	
c) Sign on behalf of the Trust any agreement or document not requested to be executed as a deed	Chief Executive	Executive Directors	
<b>Registration with the regulator</b>			
a) To appoint a nominated individual registered with the Care Quality Commission to supervise the management of the regulated activity provided.	Chief Executive	Director of Quality and Safety	

<b>Reporting of Incidents to the Police</b>			
a) Where a criminal offence has occurred or is suspected to have occurred, such as <ul style="list-style-type: none"> <li>• criminal offence of a violent nature</li> <li>• arson or theft</li> </ul>	Chief Executive	On call managers/Relevant Head of Service	
b) Where a fraud is involved (reporting to the Counter Fraud Security Management Specialist)	Director of Finance and Digital	Director of Finance and Digital advised by the Local Counter Fraud Officer	Counter Fraud, Bribery and Corruption Policy
<b>Trust Seal</b>			
a) The keeping of a register of seal and safekeeping of the seal.	Chief Executive	Assistant Director of Corporate Governance	
b) Attestation of seal in accordance with Standing Orders for the Board of Directors	Chief Executive	Two Executive Directors	
<b>Finance and Estates</b>			
<b>Bank Accounts (excluding Charitable Funds )</b>			
a) Managing banking arrangements and operation of bank accounts	Director of Finance and Digital	Deputy Director Finance/ Associate Director of Financial Services	
b) Opening bank accounts	Director of Finance and Digital	Deputy Director Finance/ Associate Director of Financial Services	
c) Authorisation of transfers between Trust bank accounts	Director of Finance and Digital	Deputy Director Finance/ Associate Director of Financial Services	
d) Authorisation of: BACS schedules	Director of Finance and Digital	Deputy Director Finance/ Associate Director of Financial Services	
e) Automated cheque schedules; Manual cheques	Director of Finance and Digital	Deputy Director Finance/ Associate Director of Financial Services	

Delegated Matter	Delegated Authority	Operational Delivery	Cross reference to SFI's/Standing Orders/Trust Policy
f) Investment of surplus funds in accordance with the Trusts Treasury Management policy	Director of Finance and Digital	Deputy Director Finance/ Associate Director of Financial Services	
<b>Capital Investment</b>			
<b>a) Programme</b> Ensure that there is an adequate appraisal and approval process for determining capital expenditure priorities and the effect that has on each business plan	Director of Finance and Digital	Deputy Director Finance/ Associate Director of Financial Services	
<ul style="list-style-type: none"> <li>• Preparation of Capital Investment Programme</li> </ul>	Director of Finance and Digital	Deputy Director Finance/ Associate Director of Financial Services	
<ul style="list-style-type: none"> <li>• Preparation of a business case</li> </ul>	Director of Finance and Digital	Deputy Director Finance/ Associate Director of Financial Services	
<ul style="list-style-type: none"> <li>• Financial monitoring and reporting on all capital scheme expenditure including variations to contract</li> </ul>	Director of Finance and Digital	Deputy Director Finance/ Associate Director of Financial Services	
<ul style="list-style-type: none"> <li>• Additions, variations, and amendments to the Capital Investment Programme (within limits stipulated in Table B)</li> </ul>	Director of Finance and Digital	Deputy Director Finance/ Associate Director of Financial Services	
<ul style="list-style-type: none"> <li>• Issue procedures governing capital investment projects, including variation to contract, covering               <ul style="list-style-type: none"> <li>○ Financial management</li> <li>○ Staged payments</li> </ul> </li> </ul>	Director of Finance and Digital	Deputy Director Finance/ Associate Director of Financial Services	

<b>b) Contracting:</b> Selection of architects, quantity surveyors, consultant engineer and other professional advisors within EU regulations and Trust tender procedures	Director of Finance and Digital	Deputy Director Finance / Head of Estates, Facilities and Environment	
<b>c) Private Finance:</b> Demonstrate that the use of private finance represents best value for money and transfers risk to the private sector	Chief Executive	Director of Finance and Digital – subject to agreement by NHS England	
<b>Financial Planning / Budgetary responsibility</b>			
<b>a) Budget Setting:</b> Submit business plan to the Board of Directors	Director of Finance and Digital	Deputy Director of Finance	
b) Submit budgets to the Board of Directors	Director of Finance and Digital	Deputy Director of Finance	
c) Submit to the Board of Directors financial estimates and forecasts	Director of Finance and Digital	Deputy Director of Finance	
<b>Budget Monitoring</b>			
<b>a) Budget Monitoring</b> Devise and maintain systems of budgetary control.	Director of Finance and Digital	Deputy Director of Finance	
b) Monitor performance against budget	Director of Finance and Digital	Deputy Director of Finance	
c) Submit in accordance with NHS England's requirements financial monitoring returns	Director of Finance and Digital	Deputy Director of Finance	
d) Delegate budgets to budget holders (where appropriate)	Chief Executive	Director of Finance and Digital / Prime Budget Holders	
e) Ensuring adequate training is delivered to budget holders to	Director of Finance and Digital	Deputy Director of Finance	

facilitate their management of the allocated budget			
<b>Budget Responsibility</b>			
a) Ensure that no overspend or reduction of income that cannot be met from virement is incurred without prior consent of the Board of Directors	Director of Finance and Digital	Budget Holders	
b) Ensure that approved budget is not used for any other than the specified purpose subject to rule of virement	Director of Finance and Digital	Budget Holders	
c) Ensure that no permanent employees are appointed without the approval of the Chief Executive other than those provided for within available resources and manpower establishment.	Chief Executive	Director of People and Development	
<b>Authorisation of Virements</b>			
a) It is not possible for any officer to vire from non-recurring headings to recurring headings or from capital to revenue / revenue to capital or between NHS England plan expenditure categories. Virement between different budget holders requires the agreement of both parties	Director of Finance and Digital	Refer to Table B	
<b>Financial Procedures</b>			
a) Maintenance & Updating of Trust Financial Procedures	Director of Finance and Digital	Deputy Director of Finance / Associate Director of Financial Services	
<b>b) Responsibilities</b> -	Director of Finance and Digital	Deputy Director of Finance / Associate Director	

<p><b>implementation</b></p> <ul style="list-style-type: none"> <li>• Implement the Trust's financial policies and coordinate corrective action</li> <li>• Ensure that adequate records are maintained to explain the Trust's transactions and financial position</li> <li>• Providing financial advice to the Board of Directors and employees</li> <li>• Ensure that appropriate statutory records are maintained across the organisation</li> <li>• Designing and monitoring compliance with all financial systems</li> </ul>		of Financial Services	
<p><b>c) Responsibilities – compliance</b></p> <ul style="list-style-type: none"> <li>• Adherence to the Trust's financial policies</li> <li>• Assist with ensuring that appropriate statutory records are maintained</li> <li>• Seeking financial advice from the Executive Director of Finance</li> <li>• Providing advice on compliance with all financial systems</li> </ul>	Director of Finance and Digital	All Employees	



Delegated Matter	Delegated Authority	Operational Delivery	Cross reference to SFI's/Standing Orders/Trust Policy
<b>Preparation of Annual Accounts</b>			
Annual accounts	Director of Finance and Digital	Associate Director of Financial Services	DHSC Group Accounting Manual  SFI's 18.1 Audit and Risk Committee Terms of Reference
Annual report	Chief Executive	Assistant Director of Corporate Governance	DHSC Group Accounting Manual  SFI's 18.2 Audit and Risk Committee Terms of Reference
<b>Fixed Assets</b>			
a) Maintenance of asset register	Director of Finance and Digital	Deputy Director of Finance / Financial Services and Capital Accounting Manager	SFI's 27.4.1
b) Calculate and pay capital charges in accordance with NHS England guidance	Director of Finance and Digital	Deputy Director of Finance / Financial Services and Capital Accounting Manager	SFI's 27.4.7
c) Responsibility for security of Trust assets including notifying discrepancies to the Director of Finance and Digital in accordance reporting losses in with Trust procedures	Chief Executive	All Employees	SFI's 27.4.1
<b>Fraud</b>			
a) Monitor and ensure compliance with statute and Secretary of State Directions on fraud and corruption	Director of Finance and Digital	Local Counter Fraud Specialist	SFI's 16.4 Counter Fraud, Bribery and Corruption Policy
b) Appoint an Anti-Fraud Specialist	Director of Finance and Digital	Director of Finance and Digital	SFI's 16.4

c) Prepare an Anti-Fraud, Corruption and Bribery Policy and response Plan	Director of Finance and Digital	Local Counter Fraud Specialist	SFI's 16.4.2 Counter Fraud, Bribery and Corruption Policy
d) Inform Counter Fraud and Security Management, the Audit and Risk Committee and External Auditors of frauds that have taken place in the Trust	Director of Finance and Digital	Local Counter Fraud Specialist	Counter Fraud, Bribery and Corruption Policy
<b>Funds Held on Trust</b>			
<b>a) Management:</b> • Funds held on Trust are managed appropriately	Director of Finance and Digital	Financial Services and Capital Accounting Manager	SFI's 32.1
• Maintenance of authorised signatory list of nominated fund holder	Director of Finance and Digital	Financial Services and Capital Accounting Manager	SFI's 32.1
• Expenditure Limits	Director of Finance and Digital	Refer to Table B	
• Dealing with Legacies	Director of Finance and Digital	Financial Services and Capital Accounting Manager	SFI's 32.3
<b>b) Fundraising Appeals:</b> • Preparation and monitoring of budget • Reporting progress and performance against budget	Director of Finance and Digital	Financial Services and Capital Accounting Manager	
<b>c) Operation of Bank Accounts:</b> • Managing banking arrangements and operation of bank accounts • Opening bank accounts	Director of Finance and Digital in conjunction with Trustees  Director of Finance and Digital	Financial Services and Capital Accounting Manager	SFI's 32.31
<b>d) Investments</b> • Nominating deposit taker • Placing transactions	Charitable Funds Committee  Director of Finance and Digital	Financial Services and Capital Accounting Manager	SFI's 32.32

<b>e) Charities Commission</b>  Registration of fund(s) with the Charity Commission	Director of Finance and Digital	Financial Services and Capital Accounting Manager	SFI's 32.1
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Delegated Matter	Delegated Authority	Operational Delivery	Cross reference to SFI's/Standing Orders/Trust Policy
<b>Quality, Safety and Innovation</b>			
<b>Health and Safety</b>			
Review of all statutory compliance legislation and Health and Safety requirements including control of Substances Hazardous to Health Regulations	Director of Quality and Safety	Head of Regulatory Compliance	Health & Safety Organisation & Responsibilities Policy
Develop policies and procedures to comply with statutory requirements, including control of Substances Hazardous to Health Regulations	Director of Quality and Safety	Head of Regulatory Compliance	Health & Safety Organisation & Responsibilities Policy
Ensure compliance with statutory requirements and Trust policies and procedures	Director of Quality and Safety	Head of Regulatory Compliance	Health & Safety Organisation & Responsibilities Policy
Review Regulations and ensure Trust policies and procedures adhere to these statutory requirements	Director of Quality and Safety	Head of Regulatory Compliance	Health & Safety Organisation & Responsibilities Policy
<b>Fire Precautions</b>			
Review and ensure that the Trust's fire safety precautions and prevention policies and procedures are adequate and that the fire safety and integrity of the estate is intact.	Chief Executive	Director of Quality and Safety	Fire and Emergency Procedure
Develop fire precautions and prevention policies and procedures that comply with statute and guidance.	Director of Finance and Digital	Head of Regulatory Compliance	Fire and Emergency Procedure
Ensure compliance with the fire precautions and prevention policies and procedures within the premises for which you have responsibility	Director of Finance and Digital	Relevant Heads of Service/Assistant Directors	Fire and Emergency Procedure
Comply with the fire precautions and prevention policies and procedures	Director of Finance and Digital	All Employees	Fire and Emergency Procedure

Delegated Matter	Delegated Authority	Operational Delivery	Cross reference to SFI's/Standing Orders/ Trust Policy
<b>Medicines Inspectorate Regulations</b>			
a) Review Regulations and ensure Trust policies and procedures adhere to these statutory requirements	Director of Quality and Safety	Chief Pharmacist	Medicines Management Policy
b) Discharge the duties of Accountable Officer for Controlled Drugs for the Trust	Director of Quality and Safety	Chief Pharmacist	Medicines Management Policy
c) Officers designated by the Accountable Officer for Controlled Drugs for the Trust to act as an Authorised Witness for the disposal of Controlled Drugs	Director of Quality and Safety	Chief Pharmacist / Deputy Chief Pharmacist	Medicines Management Policy
d) Ensure Trust staff dispose of Controlled Drugs in accordance with statute and Trust Policy	Director of Quality and Safety	Chief Pharmacist	Management of Controlled Drugs Policy
e) Dispose of Controlled Drugs, as used by the Trust, in the manner laid out by statute and Trust policy	Director of Quality and Safety	Chief Pharmacist	Management of Controlled Drugs Policy
f) Responsibility for controls of all pharmaceutical stock as used by the Trust	Director of Quality and Safety	All Employees	Management of Controlled Drugs Policy
<b>Patient and Public Complaints</b>			
Overall responsibility for ensuring that all complaints are dealt with effectively	Director of Quality and Safety	Head of Patient Safety and Patient Experience	Complaints Handling Policy
Responsibility for ensuring complaints relating to a Divisional Directorate / Hosted Service are investigated thoroughly.	Director of Quality and Safety	Heads of Service	Complaints Handling Policy
Medico - Legal Claims Coordination and management	Director of Quality and Safety	Head of Risk and Regulatory Services	

Delegated Matter	Delegated Authority	Operational Delivery	Cross reference to SFI's/Standing Orders/Trust Policy
<b>Risk Management</b>			
Ensure the Trust has robust risk management processes in place	Chief Executive	Director of Quality and Safety	SFI's 35.1.1
Review and maintain the Trust's Risk Management Strategy, for approval by the Board of Directors	Director of Quality and Safety	Head of Risk and Regulatory Compliance, Assistant Director of Corporate Governance	SFI's 35.1.1 Risk Strategy and Procedure
Review and maintain / develop the Trust's systems for the management of risk	Director of Quality and Safety	Head of Risk and Regulatory Compliance	Risk Strategy and Procedure
Review and maintain / develop the Trust's systems for incident / accident reporting	Director of Quality and Safety	Head of Risk and Regulatory Compliance	Risk Strategy and Procedure
Ensure compliance with the Trust's systems for the management of risk and incident / accident reporting	Director of Quality and Safety	Executive Team/Heads of Service/ Heads of Department	Incident Reporting Policy
Comply with the Trust's systems for the management of risk and incident / accident reporting	Director of Quality and Safety	All Employees	Incident Reporting Policy
<b>Research and Development</b>			
Develop a policy / procedure for the authorisation of clinical trials, including the appropriate ethical approval, intellectual property, and patient confidentiality measures	Medical Director	Research and Development Manager	Research Governance Policy
Authorisation of clinical trials in accordance with the policy / procedure for the authorisation of clinical trials	Medical Director	Research and Development Manager	Research Governance Policy

Delegated Matter	Delegated Authority	Operational Delivery	Cross reference to SFI's/Standing Orders/Trust Policy
<b>Safeguarding - Adults</b>			
a) Discharge the duties of the Board of Directors Level Lead for Safeguarding Vulnerable Adults	Director of Quality and Safety	Safeguarding Lead Adults	Policy for the Safeguarding of Adults at Risk
b) Review and maintain the Trust's Policy for Safeguarding	Director of Quality and Safety	Safeguarding Lead Adults	Policy for the Safeguarding of Adults at Risk
c) Ensure compliance with statutory requirements and policies and procedures for safeguarding vulnerable adults	Director of Quality and Safety	Safeguarding Lead Adults	Policy for the Safeguarding of Adults at Risk
d) Comply with statutory requirements and policies and procedures for safeguarding vulnerable adults	Chief Executive	All Employees	Policy for the Safeguarding of Adults at Risk
<b>Safeguarding – Children</b>			
a) Discharge the duties of the Board of Directors Level Lead for Safeguarding Children	Director of Quality and Safety	Safeguarding Lead Children	Safeguarding Children Policy
b) Review and maintain the Trust's Policy and Procedure for the Safeguarding and Protection of Children	Director of Quality and Safety	Safeguarding Lead Children	Safeguarding Children Policy
c) Ensure compliance with statutory requirements and policies and procedures for safeguarding children	Director of Quality and Safety	Safeguarding Lead Children	Safeguarding Children Policy
d) Comply with statutory requirements and policies and procedures for safeguarding children	Chief Executive	All Employees	Safeguarding Children Policy

Delegated Matter	Delegated Authority	Operational Delivery	Cross reference to SFI's/Standing Orders/Trust Policy
<b>Information Management</b>			
<b>Confidential Information</b>			
a) Discharge the duties of the Trust's Senior Information Risk Owner and Information Asset Owner	Director of Finance and Digital	Chief Technology and Information Officer	Information Governance Policy
b) Develop, maintain and implement the Trust's Information Risk Policy	Director of Finance and Digital	Chief Technology and Information Officer	Information Governance Policy
c) Ensure Trust's Information Risk Policy is adhered to	Director of Finance and Digital	All employees	Information Governance Policy
d) Review of the Trust's compliance code of Practice for handling confidential information in the contracting environment and the compliance with "safe haven" per EL 92/60 (Caldicott)	Medical Director (Caldicott Guardian)	Information Governance Manager	Information Governance Policy
e) Develop robust systems and policies to ensure patient confidentiality and confidentiality of person identifiable data	Medical Director (Caldicott Guardian)	Information Governance Manager	Information Governance Policy
<b>Data Protection Act / UK General Data Protection Regulations</b>			
Review Trust's compliance with the Public Records Act 1958, the Data Protection Act 1998 and the Freedom of Information Act 2000 (together with any other statutory requirement and any subsequent amendments / additions)	Director of Finance and Digital	Medical Director / Information Governance Manager(Data Protection Officer)	Information Governance Policy



Delegated Matter	Delegated Authority	Operational Delivery	Cross reference to SFI's/Standing Orders/Trust Policy
<p>Ensure records are retained in accordance with the Department of Health and Social Care's (DHSC) Records Management: NHS Code of Practice and subsequent / relevant guidance:</p> <ul style="list-style-type: none"> <li>a) For Clinical Records</li> <li>b) For Non-Financial Corporate records</li> <li>c) For Financial Corporate records</li> </ul>	<ul style="list-style-type: none"> <li>a) Medical Director</li> <li>b) Director of Finance and Digital</li> <li>c) Director of Finance and Digital</li> </ul>	<ul style="list-style-type: none"> <li>a) Information Governance Manager</li> <li>b) Information Governance Manager</li> <li>c) Information Governance Manager</li> </ul>	<ul style="list-style-type: none"> <li>Clinical Records Policy</li> <li>Records Management Policy</li> <li>Records Management Policy</li> </ul>
<p>Ensure record, retain and dispose of records in accordance with Trust records management policies and procedures</p>	<p>Chief Executive</p>	<p>All Employees</p>	<ul style="list-style-type: none"> <li>Clinical Records Policy</li> <li>Records Management Policy</li> </ul>
<p><b>Freedom of Information</b></p>			
<p>Development of Freedom of Information Act policies and the Trust's Publication Scheme in accordance with statute and guidance</p>	<p>Director of People and Development</p>	<p>Assistant Director of Communications &amp; Engagement)</p>	<p>Freedom of Information Policy</p>
<p>Ensure Freedom of information Act policies are adhered in respect of requests received under the Freedom of Information Act within the correct timescales</p>	<p>Director of People and Development</p>	<p>Assistant Director of Communications &amp; Engagement)</p>	<p>Freedom of Information Policy</p>

Service Delivery			
To develop systems and process to ensure compliance with the Civil Contingencies Act 2004 and the National Health Service Act 2006 (as amended)	Chief Operating Officer	Strategic Head of Emergency Preparedness, Resilience and Response	Emergency Preparedness, Resilience and Response Policy
Professional Leadership			
<b>a) Medical Professionals</b> <ul style="list-style-type: none"> <li>Provide professional leadership in respect of professional standards, education and training for all of the Trust's medical employees</li> </ul>	Medical Director	GP Lead for Clinical Advisory Service (CAS)	
<ul style="list-style-type: none"> <li>Ensuring compliance with statutory and regulatory arrangements relating to medical professionals</li> </ul>	Medical Director	GP Lead for Clinical Advisory Service (CAS)	
<ul style="list-style-type: none"> <li>Quality assurance of medical professionals processes</li> </ul>	Director of Paramedicine	GP Lead for Clinical Advisory Service (CAS)	
<b>b) Nursing Professionals</b> <ul style="list-style-type: none"> <li>Provide professional leadership in respect of professional standards, education and training for all of the Trust's nursing professionals</li> </ul>	Director of Quality and Safety	Deputy Director of Quality	
<ul style="list-style-type: none"> <li>Ensuring compliance with statutory and regulatory arrangements relating to nursing professionals</li> </ul>	Director of Quality and Safety	Deputy Director of Quality	
<ul style="list-style-type: none"> <li>Quality assurance of nursing</li> </ul>	Director of Quality and Safety	Deputy Director of Quality and Patient Safety	

professionals processes			
<b>c) Allied Health Professionals</b> <ul style="list-style-type: none"> <li>• Provide professional leadership in respect of professional standards, education and training for all of the Trust's allied health professionals</li> </ul>	Director of Paramedicine	Lead Consultant Paramedic	
<ul style="list-style-type: none"> <li>• Ensuring compliance with statutory and regulatory arrangements relating to allied health professionals</li> </ul>	Director of Paramedicine	Lead Consultant Paramedic	
<ul style="list-style-type: none"> <li>• Quality assurance of nursing professionals processes</li> </ul>	Director of Paramedicine	Lead Consultant Paramedic	
<b>d) Financial Employees</b> <ul style="list-style-type: none"> <li>• Provide professional leadership in respect of professional standards, education and training for all of the Trust's financial employees</li> </ul>	Director of Finance and Digital	Deputy Director of Finance	

Delegated Matter	Delegated Authority	Operational Delivery	Cross reference to SFI's/Standing Orders/ Trust Policy
<b>People and Organisational Development</b>			
<b>Personnel and Pay</b>			
Nominate officers to enter into contracts of employment regarding staff, agency staff or consultancy service contracts	Director of People and Development	Relevant Heads of Service/ Assistant Directors/Heads of Department	Recruitment Policy
Authority to fill funded post on the establishment with permanent staff.	Director of People and Development	Relevant Heads of Service/Assistant Directors/Heads of Department	Increasing or Decreasing the Trust Establishment/Creating a New Position – Standard Operating Procedure
The granting of additional increments to staff within budget	Director of People and Development	Relevant Heads of Service/Assistant Directors/Heads of Department	Recruitment Policy
All requests for upgrading / regarding / major skill mix changes shall be dealt with in accordance with Trust Procedure	Director of People and Development	Relevant Heads of Service/Assistant Directors/Heads of Department	
<b>Establishments</b> Appoint additional staff to the agreed establishment with specifically allocated finance.	Director of People and Development	Relevant Heads of Service/Assistant Directors/Heads of Department	
Additional staff to the agreed establishment without specifically allocated finance.	Chief Executive	Director of Finance and Digital	
<b>Pay</b> Authority to complete standing data forms effecting pay, new starters, variations and leavers	Director of People and Development	All Directors / Assistant Directors/ Heads of Service/ Heads of Department	Recruitment Policy

Delegated Matter	Delegated Authority	Operational Delivery	Cross reference to SFI's/Standing Orders/ Trust Policy
Authority to complete and authorise positive outcomes resulting in a pay uplift	Director of People and Development	All Directors / Assistant Directors/ Heads of Service/ Heads of Department	Appraisal Policy
Authority to authorise overtime (subject to resources being available)	Director of People and Development	Line Managers at any level	Voluntary Overtime Policy
Authority to authorise travel & subsistence expenses	Director of People and Development	All Directors / Assistant Directors/ Heads of Service/ Heads of Department	Travel and Subsistence Policy
<b>Leave</b>			
Approval of annual leave	Director of People and Development	Line / Departmental Manager	Annual Leave Policy
Annual leave – approval of carry forward over 5 days (to occur in exceptional circumstances only in line with the policy)	Director of People and Development	Line / Departmental Manager	Annual Leave Policy
Compassionate leave	Director of People and Development	All Directors/ Assistant Directors/ Heads of Service/ Heads of Department/ Line Managers	Family Friendly Policy
Special leave arrangements for domestic/personal/family reasons paternity leave including: <ul style="list-style-type: none"> <li>• Carers leave;</li> <li>• Adoption leave (to be applied in accordance with Trust Policy);</li> <li>• Leave without pay;</li> <li>• Jury service;</li> <li>• Medical Staff Leave of Absence – paid and unpaid.</li> </ul>	Director of People and Development	All Directors/ Assistant Directors/ Heads of Service/ Heads of Department	Family Friendly Policy

Delegated Matter	Delegated Authority	Operational Delivery	Cross reference to SFI's/Standing Orders/ Trust Policy
Time off in lieu	Director of People and Development	Line Manager / Departmental Manager	
Maternity Leave - paid and unpaid	Director of People and Development	Automatic approval with guidance	Maternity Leave - paid and unpaid
<b>Sick Leave</b> Any form of pay arrangement outside of automatic entitlement	Director of People and Development	Senior Departmental Manager <b>And</b> Assistant Director of People Services	Sick Leave Policy
<b>Study leave</b> outside the UK	Director of People and Development	Assistant Director of People Services	
<b>Removal Expenses, Excess Rent and House Purchases</b> • Authorisation of payment of removal expenses incurred by officers taking up new appointments (providing consideration was promised at interview)	Director of People and Development	Senior Departmental Manager <b>And</b> Assistant Director of People Services	
<b>Grievance Process</b>  • All grievances cases must be dealt with strictly in accordance with the Grievance Policy	Director of People and Development	All managers trained in the policy and process	Grievance Policy
Authorisation of <b>Mobile Phone Users</b>	Director of Finance and Digital	Relevant Assistant Directors/ Heads of Service/ Heads of Department	Mobile Computing Working Policy
<b>Renewal of Fixed Term Contract</b>	Director of People and Development	Budget Holder on advice from relevant Business Accountant / Deputy Business Accountant/ HR Business Partner	

<b>Ill Health Retirement</b>	Director of People and Development	Director of People and Development (noting that the decision for ill health retirement is the Individual and the Occupational Health Consultant)	Retirement Policy
<b>Redundancy</b> Approval of redundancy payments	Chief Executive	Director of People and Development	Organisational Change Policy
<b>Disciplinary Process</b> Excluding Executive Director and some very senior managers)	Director of People and Development	Relevant Assistant Directors/ Heads of Service/ Heads of Department	Investigation and Disciplinary Policy
<b>Salary Sacrifice Schemes</b> Approval of scheme (i.e. Bikes and Cars)	Director of Finance and Digital	Associate Director of Financial Services	

## Table B – Delegated Limits

- 5.3.1 **Delegated Authority** - the delegation shown below is the lowest level to which authority is delegated. Delegated authority to a named position cannot be further delegated to another officer or Board member.
- 5.3.2 **Absence of the Chief Executive** - if the Chief Executive is absent, powers delegated to him / her may be exercised by the Executive Director of People and Development (as the nominated Deputy Chief Executive) or, if both are absent, by a nominated Executive Director.
- 5.3.3 **Absence of a director or officer other than the Chief Executive** - in the absence of a director or officer to whom powers have been delegated, that director's or officer's superior shall exercise those powers unless alternative arrangements have been approved in writing by the Board of Directors.
- 5.3.4 **Financial limits** – financial limits are subject to funding available within relevant budget(s) and are exclusive of VAT.
- 5.3.5 **Failure to comply with the delegated limits** - *the failure to comply with delegated limits below could be regarded as a disciplinary matter that could result in dismissal.*



**TABLE B – DELEGATED LIMITS:**

DELEGATED MATTER	DELEGATED LIMIT	OPERATIONAL DELIVERY
<b>NEAS</b>		
<b>B1. Use Quotations/Tenders:</b>		
<p>a) <b>Quotations:</b></p> <ul style="list-style-type: none"> <li>Obtaining a minimum of 3 written quotations for goods or services (following the official Trust Procedure).</li> </ul>	£5,000 to £49,999 (excl. VAT)	Head of Procurement <b>or</b> Heads of Service/Department Heads
<p>b) <b>Competitive Tenders:</b></p> <ul style="list-style-type: none"> <li>Obtaining a minimum of 3 written competitive tenders for goods or services (following the official Trust Procedure)</li> </ul> <p><u>Note</u> - Appropriate UK legislation must be complied with (e.g. 'Find a Tender')</p>	£50,000 to £115,633 (excl. VAT)	Head of Procurement <b>or</b> Director (Non-voting)
<ul style="list-style-type: none"> <li>Obtaining a minimum of 3 written competitive tenders for goods or services.</li> </ul> <p><u>Note</u> - Appropriate UK legislation must be complied with (e.g. 'Find a Tender')</p>	Over £115,633 (excl. VAT)	Chief Executive or nominated Executive Director with Executive Director of Finance and Digital

<b>B2. Approval of In-Year Revenue and Capital Schemes; and Purchasing for Revenue and capital expenditure (Including VAT)</b>		
<p>a) <b>Approval of in-year revenues schemes</b>            Within available budget delegated by the Trust Board to Executive Management Group to discharge duties. Where a scheme changes the nature of the provision of service Trust Board approval is required.</p>	<p>Up to £100,000 (inc. VAT)</p> <p>Between £100,000 and £250,000 (inc. VAT)</p> <p>Between £250,000 and £1,000,000 (inc. VAT)</p> <p>Over £1,000,000 (inc. VAT)</p>	<p>Executive Directors</p> <p>Chief Executive (or Deputy Chief Executive) and Director of Finance and Digital</p> <p>Executive Management Group</p> <p>The Board of Directors Via Performance and Finance Committee</p>
<p>b) <b>Revenue expenditure</b>            Requisition approval, payment of goods and services (including pharmacy), approval of invoices within the finance system within available budget delegated by the Trust Board (or additionally approved in year revenue schemes).</p> <ul style="list-style-type: none"> <li>• Except ordering and paying for building works and computer equipment (see below)</li> <li>• Please note section B15 in relation to Engagement of staff not on the establishment as limits vary in this area</li> <li>• <u>Note</u> - any expenditure relating to consultancy costs over £50,000 or likely to be more</li> </ul>	<p>Up to £5,000 (inc. VAT)</p> <p>Up to £10,000 (inc. VAT)</p> <p>Up to £15,000 (inc. VAT)</p> <p>Up to £20,000 (inc. VAT)</p> <p>Up to £25,000 (inc. VAT)</p> <p>Up to £50,000 (inc. VAT)</p> <p>Up to £75,000 (inc. VAT)</p> <p>Up to £100,000 (inc. VAT)</p> <p>No Limit</p>	<p>Budget Holder (Band 6)</p> <p>Budget Holder (Band 7)</p> <p>Budget Holder (Band 8a)</p> <p>Budget Holder (Band 8b)</p> <p>Budget Holder (Band 8c)</p> <p>Budget Holder (Band 8d)</p> <p>Director (non-voting)</p> <p>Executive Directors and Deputy Director of Finance</p> <p>Chief Executive or Director of Finance and Digital</p>

<p>that £50,000 in the lifetime of a project now requires prior approval from NHS England before the Trust signs / varies the consultancy contract or the Trust agrees to spend more money with the consultant. Please notify the Head of Procurement prior to entering / varying / spending more money on consultancy contracts.</p>		
<p><b>c) Part 1 - Approval of In-Year Capital Schemes</b></p> <ul style="list-style-type: none"> <li>Additions, amendments and variations to the Capital Programme, including approval of in-year capital schemes</li> </ul> <p><b>Part 2 – Approval of In-Year Carbon Reduction Commitment Schemes</b></p>	<p><b><u>Part 1 Limits:</u></b></p> <p>Up to £100,000 (inc. VAT)</p> <p>Between £100,000 and £250,000 (inc. VAT)</p> <p>Between £250,000 and £1,000,000</p> <p>Between £1,000,000 and £5,000,000 (inc. VAT)</p> <p>Over £5,000,000</p> <p><b><u>Part 2 Limits:</u></b></p> <p>Up to £250,000 (inc. VAT)</p> <p>Over £250,000 (inc. VAT)</p>	<p>Deputy Director of Finance and Assistant Director of Estates, Facilities and Environment</p> <p>Director of Finance and Digital</p> <p>Capital Monitoring Group</p> <p>Executive Management Group</p> <p>The Board of Directors Via Performance and Finance Committee</p> <p>Director of Finance and Digital</p> <p>Chief Executive <b>or</b> nominated Executive Director <b>and</b> Director of Finance and Digital</p>

<p><b>d) Capital Expenditure</b></p> <p>Requisition approval, payment of goods and services, approval of invoices within the finance system within available budget delegated by the Trust Board (or additionally approved in year capital schemes).</p>	<p>Up to £100,000 (inc. VAT)</p> <p>No Limit</p>	<p>Deputy Director of Finance</p> <p>Chief Executive or Director of Finance and Digital</p>
<p><b>B3. Petty Cash Disbursements</b></p>		
<p>Individual items (only on authorised, approved purposes of Trust business where the use of the normal ordering system would be too slow or inappropriate)</p>	<p>Up to £50</p>	<ul style="list-style-type: none"> <li>• Budget Holder or Delegated Signatory</li> </ul>
	<p>£50 to £150</p>	<ul style="list-style-type: none"> <li>• Budget Holder or</li> <li>• Delegated Signatory <b>plus</b> Business Manager (i.e. 2 signatories)</li> </ul>
<p><b>B4. Contracted Services (All individuals signing contracts have a responsibility to review and assure themselves that they provide value for money and that due care has been exercised in their preparation, with formal legal advice provided if necessary. This applies to contracts that appear to have no financial value, as these might have financial or non-financial implications from termination).</b></p>		
<p>Services covered by Contract, Service Level Agreement (including negotiation and contract variations) within available budget delegated by the Trust Board (or additionally approved in year revenue schemes) and agreed by budget holder.</p>	<p>Up to £100,000 (inc. VAT)</p>	<p>Head of Contracting</p>
	<p>£100,000 to £250,000 (inc. VAT)</p>	<p>Head of Contracting and Director of Finance and Digital</p>
	<p>Over £250,000</p>	<p>Chief Executive (or Deputy Chief Executive) and Director of Finance and Digital</p>

<b>B5. Removal Expenses</b>		
Removal expenses, excess rent and home purchase incurred by officers taking up new appointments (providing consideration was promised at interview)	As per relevant policy	As per relevant policy
<b>B6. Charitable Funds</b>		
Expenditure authorisation	Up to £500	Financial Service and Capital Accounting Manager <b>OR</b> Associate Director of Financial Services
	£500 to £5000	<b>Both</b> Financial Service and Capital Accounting Manager and Associate Director of Financial Services
	Above £5,000	Charitable Funds Committee
<b>B7. Losses and Special Payment</b>		
<b>a) Losses</b> Losses of cash due to theft, fraud, overpayment & others.	Up to £5,700	Associate Director of Financial Services
	Up to £10,800	Deputy Director of Finance
	Over £10,800	Director of Finance and Digital <b>And</b> Chief Executive (or nominated Executive Director)
Fruitless payments (including abandoned Capital Schemes)	Any amount	Director of Finance and Digital <b>and</b> Heads of Service
Bad debts and claims abandoned.	Up to £10,300	Deputy Director of Finance
	Over £10,300	Director of Finance and Digital
Damage to buildings, fittings, furniture and equipment and loss of equipment and property in stores and in use due to:	Up to £1,500	Associate Director of Financial Services
	Over £1,500	Director of Finance and Digital

Culpable causes (e.g. fraud, theft, arson).		
<b>b) Special Payments</b> Compensation payments by Court Order	Any amount	Director of Quality and Patient Safety <b>and</b> Director of Finance and Digital
<b>c) Ex Gratia Payments</b>		
<ul style="list-style-type: none"> <li>To patients and staff for loss of personal effects</li> </ul>	<p>Up to £100</p> <p>Up to £600</p> <p>Up to £1,100</p> <p>Over £1,100</p>	<p>Line Manager</p> <p>Line Manager together with Associate Director of Financial Services</p> <p>Heads of Service/ <b>and</b> Associate Director of Financial Services</p> <p>Director of Finance and Digital And Associate Director of Financial Services</p>
<ul style="list-style-type: none"> <li>Any special severance payments made to staff e.g. compromise agreements in excess of contractual commitments. (Note – where required in line with the managing public money guidance from HM Treasury, special severance payments to staff require treasury consent and approval prior to payments being approved and made by the Trust).</li> </ul>	Any amount	Remuneration Committee

• For clinical negligence after legal advice	Any amount	Head of Regulatory Services <b>and</b> Director of Finance and Digital
• For personal injury after legal advice	Any amount	Head of Regulatory Services <b>and</b> Director of Finance and Digital
• Other clinical negligence and personal injury	Any amount	Head of Regulatory Services <b>and</b> Director of Finance and Digital
• Other ex gratia payments	Up to £1,100	Head of Regulatory Services <b>and</b> the Associate Director of Financial Services
	Over £1,100	Head of Regulatory Services <b>and</b> the Director of Finance and Digital



<b>B8. Virement</b>		
<b>Note - Outside of budget holders area of responsibility (excl. movement of reserves)</b>		
a) Virement	Up to £10,000	Respective budget holders and Head of Financial Reporting and Planning within delegated budget
	Up to £50,000	Respective budget holders and Deputy Director of Finance
	Up to £100,000	Either the <ul style="list-style-type: none"> <li>• Respective Executive Director or</li> <li>• Deputy Chief Operating Officer or Divisional Director (appropriate Clinical Division)</li> </ul> <b>together</b> with the Director of Finance and Digital
	Over £100,000	The Director of Finance and Digital with the Chief Executive
<b>B9. Bank Account Cheque Signatories</b>		
Bank account cheque signatories	Up to £5,000	One signature from those on the bank mandate
	Over £5,000	Two signatures from those on the bank mandate

<b>B10. Short Term Borrowing</b>		
Short term borrowings	Any amount	Any two from : <ul style="list-style-type: none"> <li>• Director of Finance and Digital</li> <li>• Deputy Director of Finance</li> <li>• Associate Director of Financial Services</li> </ul>
<b>B11. Use of Seal</b>		
a) All contracts for the purchase or lease of land or buildings b) Any lease agreement	Any amount	Two Executive Directors nominated by the Chief Executive
<b>B12. Setting Fees and charges</b>		
c) Private Patient, Overseas Visitors, Income Generation and other patient related services.	Any amount	Director of Finance and Digital
d) Non patient care income	Any amount	Director of Finance and Digital
<b>B13. Agreements and licences</b>		
a) Signature of tenancy agreements and licences for all staff subject to Trust Policy on accommodation for staff.	Any amount	<ul style="list-style-type: none"> <li>• Director of Finance and Digital</li> <li><b>Or</b></li> <li>• Deputy Director of Finance <b>together</b> with the</li> <li>• Assistant Director of Estates, Facilities and Environment</li> </ul>
b) Extensions to existing leases.	Any amount	Director of Finance and Digital <b>Or</b> <ul style="list-style-type: none"> <li>• Deputy Director of Finance <b>together</b> with the</li> <li>• Assistant Director of Estates, Facilities and Environment</li> </ul>

c) Letting of premises to outside organisations.	Any amount	Chief Executive and Director of Finance and Digital
d) Approval of rent based on professional assessment.	Any amount	Director of Finance and Digital
<b>B14. Condemning and Disposal</b>		
a) Items obsolete, obsolescent, redundant, and irreparable or cannot be repaired cost effectively.	Estimated worth up to £150	Budget Holder
	Estimated worth over £150	Head of Procurement and Budget Holder
b) Disposal of mechanical and engineering plant	Estimated worth between £150 and £1,100	Deputy Director of Finance <b>Or</b> Head of Estates
	Estimated worth over £1,100	Both the <ul style="list-style-type: none"> <li>• Deputy Director of Finance <b>and</b></li> <li>• Assistant Director of Estates, Facilities and Environment</li> </ul>

<b>B15. Engagement of staff not on the establishment</b>		
a) Non medical consultancy staff  <u>Note</u> - any expenditure relating to consultancy costs over £50,000 or likely to be more than £50,000 in the lifetime of a project now requires <b>prior</b> approval from / NHS England before the Trust signs / varies the consultancy contract or the Trust agrees to spend more money with the consultant. Please notify the Head of Procurement prior to entering / varying / spending more money on consultancy contracts.	Up to aggregated commitment of £36,000 in any financial year	Heads of Service or Director/Assistant Director/ Head of Department
	Aggregated commitment between £36,000 and £82,000 in any financial year.	<ul style="list-style-type: none"> <li>• Director of Finance and Digital <b>and</b></li> <li>• Heads of Service</li> </ul>
	Where the aggregated commitment is greater than £82,000 in any financial year.	<ul style="list-style-type: none"> <li>• Executive Director or</li> <li>• Heads of Service or <b>together</b> with the Director of Finance and Digital</li> </ul>
b) Original Engagement of Solicitors	Any amount	One of the following officers: <ul style="list-style-type: none"> <li>• Chief Executive or</li> <li>• Director of Quality and Patient Safety</li> <li>• Director of People and Development</li> </ul>
c) Re engagement of Solicitors	Any amount	One of the following officers: <ul style="list-style-type: none"> <li>• Chief Executive or</li> <li>• Director of Quality and Patient Safety</li> <li>• Director of People and Development</li> </ul>
d) Engagement of Bank staff, Agency Staff, Medical Locums, Nursing or Clerical staff	Up to aggregated commitment of £36,000 in any financial year	Budget Holder

	Aggregate commitment greater than £36,000 in any financial year.	Chief Operating Officer or Divisional Director (appropriate Clinical Division)
<b>B16. Grants to other bodies</b>		
a) For the provision of patient services	Up to £1,100	Chief Operating Officer or Divisional Director (appropriate Clinical Division)
	Up to £26,000	<ul style="list-style-type: none"> <li>• Executive Director of Finance <b>and</b></li> <li>• Chief Operating Officer or Divisional Director (appropriate Clinical Division)</li> </ul>
	Over £26,000	Chief Executive <b>and</b> Executive Director of Finance (and another Executive Director if the Executive Director of Finance is deputising for the Chief Executive)
<b>B17. Exceptions to the Normal Finance System Payment Mechanisms</b>		
<i>(Note - This section details the delegated limits for the finance team to transact payments through the ledger, which have already been approved either internally or externally to the Trust, and which are due to external third parties on behalf of staff, patients / service users or NHS Supply Chain)</i>		
a) Patient / Service User Expenditure.	Up to £1,000	Head of Financial Reporting & Planning or nominated deputy
	Over £1,000 and up to £34,000	Head of Financial Reporting & Planning or nominated deputy
b) Staff Third Party Deductions.	Up to £1,000	Head of Financial Reporting & Planning or nominated deputy
	Over £1,000 and up to £34,000	Head of Financial Reporting & Planning or nominated deputy
c) Staff Court Orders and Fines.	Up to £1,000	Head of Financial Reporting & Planning or nominated deputy
	Over £1,000 and up to £34,000	Financial Services and Capital Accounting Manager

d) Salary Sacrifice Cars.	Up to £16,000	Head of Financial Reporting & Planning or nominated deputy
	Up to £26,000	Financial Services and Capital Accounting Manager
	Over £26,000	Director of Finance and Digital or nominated Deputy
e) NHS Supply Chain (non Medical Products).	Any amount	Director of Finance and Digital or nominated Deputy
f) PAYE, National Insurance and Apprenticeship Levy payments	Any amount	Director of Finance and Digital or nominated Deputy
<b>B18. Research and Innovation</b>		
a) Research and Innovation Requisitioning, Ordering, payment of goods and services (including pharmacy). Except ordering and paying for building works and computer equipment (see below)  <u>Note</u> - any expenditure relating to consultancy costs over £50,000 or likely to be more than £50,000 in the lifetime of a project now requires <b>prior</b> approval from NHS England before the Trust signs / varies the consultancy contract or the Trust agrees to spend more money with the consultant. Please notify the Head of Procurement prior to entering/ varying / spending more money on consultancy contracts		
	Up to £15,000 (inc. VAT)	Budget Holder (Band 8A)
	Up to £75,000 (inc. VAT)	<ul style="list-style-type: none"> <li>• Director of Paramedicine <b>or</b></li> <li>• Deputy Director of Finance</li> </ul>
	Up to £100,000 (inc. VAT)	<ul style="list-style-type: none"> <li>• Medical Director</li> </ul>
	Up to £250,000 (inc. VAT)	<ul style="list-style-type: none"> <li>• Director of Finance and Digital</li> </ul>

DELEGATED MATTER			DELEGATED LIMIT	OPERATIONAL RESPONSIBILITY
				NEAS
	Up to £500,000 (inc. VAT)	Chief Executive ( <b><i>or nominated Executive Director</i></b> ) in the absence of the Chief Executive) <b><i>and</i></b> <ul style="list-style-type: none"> <li>• Director of Finance and Digital <b><i>or</i></b></li> <li>• Deputy Director of Finance</li> </ul>		
	Up to £1,000,000 (inc. VAT)	Chief Executive <b><i>and</i></b> the Quality Committee		
	Over £1,000,000 (inc VAT)	The Board of Directors		