

Scheme of Reservation and Delegation

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Introduction

Under the Standing Order relating to the Arrangements for the Exercise of Functions the Trust is given powers to " make arrangements for the exercise, on behalf of the Trust, of any of its functions by a committee or sub-committee, appointed by virtue of Standing Order 4 or by a Director or an Officer of the Trust or by another body as defined in Standing Order 5.1.1, in each case subject to such restrictions and conditions as the Board of Directors thinks fit."

Furthermore the Code of Accountability for NHS Board of Directors requires the Board of Directors to draw up a schedule of decisions reserved to itself and to ensure that management arrangements are in place to enable the clear delegation of its other responsibilities. This document sets out the powers reserved to the Board of Directors and the Scheme of Delegation including financial limits and approval thresholds. However, the Board of Directors remains accountable for all of its functions, including those which have been delegated, and would therefore expect to receive information about the exercise of delegated functions to enable it to maintain a monitoring role.

The Chief Executive shall exercise all powers of the Trust, which have not been retained as reserved by the Board of Directors or delegated to an executive committee or sub-committee, on behalf of the Board of Directors. 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.

All powers delegated by the Chief Executive can be re-assumed by him/her should the need arise. As Accountable Officer the Chief Executive is accountable to DH for the funds entrusted to the Trust.

a) Caution Over the Use of Delegated Powers

Powers are delegated to Directors and Officers on the understanding that they would not exercise delegated powers in a matter, which in their judgment was likely to be a cause for public concern.

b) Directors' Ability to Delegate their own Delegated Powers

The Scheme of Delegation shows only the "top level" of delegation within the Trust. The Scheme is to be used in conjunction with the system of budgetary control and other established procedures within the Trust.

c) Absence of Directors or Officers to Whom Powers have been Delegated

In the absence of a Director or Officer to whom powers have been delegated that Director or Officer's superior shall exercise those powers unless alternative arrangements have been approved by the Board of Directors. If the Chief Executive is absent powers delegated to him / her may be exercised by the nominated Deputy Chief Executive.

1.	Decisions Reserved to the Board
The Board	<p>General Enabling Provision</p> <ol style="list-style-type: none"> 1. The Board may determine any matter, for which it has delegated or statutory authority, it wishes in full session within its statutory powers.
The Board	<p>Regulations and Control</p> <ol style="list-style-type: none"> 1. Approve Standing Orders (SOs), 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 Chairman and Chief Executive in public session in accordance with SO 5.2 5. Approve a scheme of delegation of powers from the Board to committees. 6. Require and receive the declaration of Board members' interests that may conflict with those of the Trust and determining the extent to which that member may remain involved with the matter under consideration. 7. Require and receive the declaration of officers' interests that may conflict with those of the Trust. 8. Approve arrangements for dealing with complaints. 9. Adopt the organisation structures, processes and procedures to facilitate the discharge of business by the Trust and to agree modifications thereto. 10. Receive reports from committees including those that the Trust is required by the Secretary of State or other regulation to establish and to take appropriate action thereon. 11. Take appropriate action on 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 that are established by the Board. 14. Approve arrangements relating to the discharge of the Trust's responsibilities as a bailer for patients' property. 15. Authorise use of the seal. 16. Ratify or otherwise instances of failure to comply with Standing Orders brought to the Chief Executive's attention in accordance with SO 5.6. 17. Discipline members of the Board or employees who are in breach of statutory requirements or SOs.
	Decisions Reserved to the Board

The Board	<p>Appointments / Dismissal</p> <ol style="list-style-type: none"> 1. Appoint the Vice Chairman of the Board. 2. Appoint and dismiss committees (and individual members) that are directly accountable to the Board. 3. Appoint, appraise, discipline and dismiss Executive Directors (subject to SO 2.2). 4. Confirm the appointment of members of any committee of the Trust as representatives on outside bodies.
Chairman	<ol style="list-style-type: none"> 1. Appoint, appraise, discipline and dismiss the Secretary (if the appointment of a Secretary is required under Standing Orders). 2. Approve proposals of the Remuneration Committee regarding directors and senior employees and those of the Chief Executive for staff not covered by the Remuneration Committee.
The Board	<p>Strategy, Plans and Budgets</p> <ol style="list-style-type: none"> 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 guidance issued by the Secretary of State. 3. Approve the Trust's policies and procedures for the management of risk. 4. Approve Outline and Final Business Cases for Capital Investment projects in excess of £500,000 or that exceed the Board's risk appetite score. 5. Approve the Trust's annual business plan, revenue budgets and capital investment programme. 6. Approve annually the Trust's organisational development proposals. 7. Ratify proposals for acquisition, disposal or change of use of land and/or buildings, other than short term leases for use of land and buildings, authority for approval of which is delegated to the Director of Finance. 8. Approve PFI proposals. 9. Approve the opening of bank accounts. 10. Approve proposals on individual contracts (other than NHS contracts) of a capital or revenue nature amounting to, or likely to amount to over £1,000,000 over a three year period or the period of the contract if longer. 11. Approve proposals in individual cases for the write off of losses or making of special payments and/or compensation payments above the limits of delegation to the Chief Executive and Director of Finance (for losses and special payments) previously approved by the Board. 12. Approve proposals for action on litigation against or on behalf of the Trust above the limits of delegation to the Chief Executive and Director of Finance. <p>Strategy, Plans and Budgets cont.</p>

	<p>13. Review the use of NHSLA risk pooling schemes (LPST/CNST/ RPST).</p> <p>14. Approve final Business Cases for the exploitation of intellectual property.</p> <p>15. Approve all applications for loans from the National Loans Fund to finance the Trust's capital investment programme.</p>
The Board	<p>Policy Determination</p> <p>1. Approve management policies including personnel policies incorporating the arrangements for the appointment, removal and remuneration of staff.</p> <p>Policies so adopted shall be listed and appended to this document.</p>
The Board	<p>Audit</p> <p>1. Approve the appointment (and where necessary dismissal) of External Auditors and advise Public Sector Audit Appointments Limited (this Body replaced the Audit Commission in April 2015) on the appointment. Approval of external auditors' arrangements for the separate audit of funds held on trust, and the submission of reports to the Audit Committee meetings who will take appropriate action.</p> <p>2. Receive the annual management letter from the external auditor and agreement of proposed action, taking account of the advice, where appropriate, of the Audit Committee.</p> <p>3. Receive an annual report from the Internal Auditor and agree action on recommendations where appropriate of the Audit Committee.</p>
The Board	<p>Annual Reports and Accounts</p> <p>1. Receipt and approval of the Trust's Annual Report and Annual Accounts.</p> <p>2. Receipt and approval of the Annual Report and Accounts for funds held on trust.</p>
The Board	<p>Monitoring</p> <p>1. Receive such reports as the Board sees fit from committees and Executive Directors in respect of their exercise of powers delegated.</p> <p>2. Continuous appraisal of the affairs of the Trust by means of the provision to the Board as the Board may require of reports from directors, committees, and officers of the Trust as set out in management policy statements. All monitoring returns required by the Department of Health and the Charity Commission shall be reported, at least in summary, to the Board.</p> <p>Monitoring cont.</p>

	<ol style="list-style-type: none">3. Receive reports from the Director of Finance on financial performance against budget and on actual and forecast income from Service Level Agreements4. Receive reports of all risks that exceed the Board's risk appetite score including progress in implementing mitigating actions.5. Receive quarterly reports on the use of the Trust's seal.
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2.	Decisions / Duties Delegated by the Board to Committees
Committee	Duties delegated by the Board to Committees
Audit Committee	<p>The Committee will:</p> <ol style="list-style-type: none"> 1. Advise the Board of Directors on all internal and external audit services and matters; 2. Discuss problems and reservations arising from any audit work and any matters arising which the Auditor's may wish to discuss (in the absence of Executive Directors and other management where necessary); 3. Review the establishment and maintenance of an effective system of integrated governance, risk management and internal control, across the whole of the organisation's activities (both clinical and non-clinical), that supports the achievement of the organisation's objectives; 4. Monitor compliance with Standing Orders and Standing Financial Instructions; 5. Periodically review the assurance gained through the development of the Assurance Framework and to consider the gaps in control and gaps in assurance and to report the results to the Board of Directors; 6. Monitor the implementation of policy on standards of business conduct for members and staff, thus offering assurance to the Board of Directors that strict ethical standards are maintained in the conduct of business; 7. Reviewing financial and information systems and monitoring the integrity of the financial statements and review significant financial reporting judgments; 8. Review policies and procedures in respect of fraud, bribery and corruption and to receive the Counter Fraud Annual Report and Plan of the Local Counter Fraud Specialist; 9. Review schedules of losses, compensations and waivers and make recommendations to the Board of Directors; 10. Review the annual financial statements, annual report and calculation of the Trust's Reference Costs prior to submission to the Board of Directors. 11. Contribute independently to the Board's overall process for ensuring that an effective internal control system is maintained.
Remuneration And Terms of Service Committee	<p>The Committee will:</p> <ol style="list-style-type: none"> 1. Advise the Board about appropriate remuneration and terms of service for the Chief Executive, other Executive Directors and other senior employees including: <ol style="list-style-type: none"> I. All aspects of salary (including any performance-related elements/bonuses); II. Provisions for other benefits, including pensions and cars; III. Arrangements for termination of employment and

	<p>other contractual terms;</p> <ol style="list-style-type: none"> 2. 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; 3. Undertake proper calculation and scrutiny of termination payments taking account of such national guidance as is appropriate; advise on and oversee appropriate contractual arrangements for such staff; 4. The Committee shall report in writing to the Board the basis for its recommendations.
<p>Charitable Funds Committee</p>	<p>The Committee will:</p> <ol style="list-style-type: none"> 1. Ensure the effective management and governance of the Trust's charitable funds in accordance with the Charities Acts, and Charity Commission and Department of Health guidance. 2. Maximise the potential of the funds' charitable status for the improvement of services to the Trust's patients. 3. Oversee fundraising activity. 4. Appoint investment advisors (if required) and oversee and monitor their performance 5. Approve the annual accounts and annual report 6. Ensure that systems are in place to provide appropriate and effective financial controls and procedures in order that the funds are operated correctly, that money is used for the appropriate purpose and that funds are not overspent. 7. Regularly review the investment objectives of the fund and advise the funds' investment advisors (if applicable). 8. Receive interim reports and advice regarding market condition and performance from the investment advisors (if applicable). 9. Receive, consider and approve annual expenditure plans submitted by fund managers. 10. Consider and approve major expenditure proposals arising during the year i.e. proposals having a value in excess of £5,000 for any one item or scheme to be financed either from funds held within a charitable fund or as a rechargeable item. 11. Receive reports every half year in November and May/June on the actual expenditure incurred in comparison with plans. 12. Receive reports quarterly on the performance of the funds' investments. 13. Encourage the use of funds for the benefit of those that access Trust services and for staff welfare. 14. Determine and approve financial strategy and to monitor performance against agreed objectives. 15. Consider and approve the annual accounts and report. 16. Review changes in legislation and approve plans for their implementation. 17. Appoint investment advisors (if applicable) and review every three years. 18. Oversee and monitor the performance of the advisors (if applicable).

Finance & Investment Committee	The Committee will review and provide assurance to the Board on the more detailed aspects of financial planning, reporting and delivery, investments, treasury management, procurement, estates and IM&T.
Safety & Quality Committee	The Committee will review and provide assurance to the Board on the arrangements for ensuring safety and quality, compliance with regulatory requirements and reporting the Trust's performance in these areas.
Human Resources & Organisational Development Committee	The Committee will review and provide assurance to the Board on the development and delivery of appropriate workforce and organisational development strategies.

3.	Scheme of Delegation Derived from the Accountable Officer Memorandum	
REF.	Delegated to	Duties Delegated
7	Chief Executive (CEO)	1. Accountable through the NHS Accounting Officer to Parliament for stewardship of Trust resources
9	Chief Executive (CEO) and Director of Finance (DoF)	1. Ensure the accounts of the Trust are prepared under principles and in a format directed by the Secretary of State. Accounts must disclose a true and fair view of the Trust's income and expenditure and its state of affairs. 2. Sign the accounts on behalf of the Board.
10	Chief Executive (CEO)	1. Sign a statement in the accounts outlining their responsibilities as the Accountable Officer. 2. Sign a statement in the accounts outlining their responsibilities in respect of Internal Control.
12 & 13	Chief Executive (CEO)	1. Ensure effective management systems that safeguard public funds and assist the Trust Chairman to implement the requirements of corporate governance including ensuring managers: <ul style="list-style-type: none"> • "have a clear view of their objectives and the means to assess achievements in relation to those objectives • be assigned well defined responsibilities for making best use of resources • have the information, training and access to the expert advice they need to exercise their responsibilities effectively."
12	Chairman	1. Implement the requirements of corporate governance.

13	Chief Executive (CEO)	<ol style="list-style-type: none"> 1. Achieve value for money from the resources available to the Trust and avoid waste and extravagance in the organisation's activities. 2. Follow through the implementation of any recommendations affecting good practice as set out on reports from such bodies as the Audit Commission and the National Audit Office (NAO).
15	Director of Finance (DoF)	<ol style="list-style-type: none"> 1. Operational responsibility for effective and sound financial management and information.

REF.	Delegated to	Duties Delegated
15	Chief Executive (CEO)	1. Primary duty to see that the DoF discharges the above function.
16	Chief Executive (CEO)	1. Ensuring that expenditure by the Trust complies with Parliamentary requirements.
18	Chief Executive (CEO) and Director of Finance	1. The Chief Executive, supported by the Director of Finance is to ensure appropriate advice is given to the Board on all matters of probity, regularity, prudent and economical administration, efficiency and effectiveness.
19	Chief Executive (CEO)	1. If the CEO considers the Board or Chairman is doing something that might infringe probity or regularity, he should set this out in writing to the Chairman and the Board. If the matter is unresolved, he/she should ask the Audit Committee to inquire and if necessary the Trust Development Authority and Department of Health.
21	Chief Executive (CEO)	1. If the Board is contemplating a course of action that raises an issue not of formal propriety or regularity but affects the CEO's responsibility for value for money, the CEO should draw the relevant factors to the attention of the Board. If the outcome is that the CEO is overruled it is normally sufficient to ensure that their advice and the overruling of it are clearly apparent from the papers. Exceptionally, the CEO should inform the National Trust Development Authority and the Department of Health. In such cases, and in those described in paragraph 24 of the Memorandum, the CEO should as a member of the Board vote against the course of action rather than merely abstain from voting.

4.	Scheme of Delegation Derived from the Codes of Conduct and Accountability	
REF.	Delegated to/Reserved	Authorities/Duties delegated or Reserved
1.3.1.7	Board	1. Approve the procedure for the declaration of hospitality and sponsorship in compliance with the Bribery Act 2010.
1.3.1.8	Board	1. Ensure proper and widely publicised procedures for voicing complaints, concerns about misadministration, breaches of Code of Conduct, and other ethical concerns.
1.31.9 & 1.3.2.2	All Board members	1. Subscribe to the Code of Conduct.
1.3.2.4	Board	1. Board members share corporate responsibility for all decisions of the Board.
1.3.2.4	Chair and non Executive / officer members	1. The Chair and non-officer members are responsible for monitoring the executive management of the organisation and are responsible to the Secretary of State for the discharge of those responsibilities.
1.3.2.4	Board	<p>The Board has six key functions for which it is held accountable by the Department of Health on behalf of the Secretary of State:</p> <ol style="list-style-type: none"> 1. to ensure effective financial stewardship through value for money, financial control and financial planning and strategy; 2. to ensure that high standards of corporate governance and personal behaviour are maintained in the conduct of the business of the whole organisation; 3. to appoint, appraise and remunerate senior executives; 4. to ratify the strategic direction of the organisation within the overall policies and priorities of the Government and the NHS, define its annual and longer term objectives and agree plans to achieve them; 5. to oversee the delivery of planned results by monitoring performance against objectives and ensuring corrective action is taken when necessary; 6. to ensure effective dialogue between the organisation and the local community on its plans and performance and that these are responsive to the community's needs.

REF.	Delegated to/Reserved	Authorities/Duties delegated or Reserved
1.3.2.4	Board	<p>It is the Board's duty to:</p> <ol style="list-style-type: none"> 1. act within statutory financial and other constraints; 2. 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, 3. 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; 4. establish performance and quality measures that maintain the effective use of resources and provide value for money; 5. specify its requirements in organising and presenting financial and other information succinctly and efficiently to ensure the Board can fully undertake its responsibilities; 6. establish Audit and Remuneration Committees on the basis of formally agreed terms of reference that set out the membership of the committee, the limit to their powers, and the arrangements for reporting back to the main Board.
1.3.2.5	Chairman	<p>It is the Chairman's role to:</p> <ol style="list-style-type: none"> 1. provide leadership to the Board; 2. enable all Board members to make a full contribution to the Board's affairs and ensure that the Board acts as a team; 3. ensure that key and appropriate issues are discussed by the Board in a timely manner, 4. ensure the Board has adequate support and is provided efficiently with all the necessary data on which to base informed decisions; 5. lead Non-Executive Board members through a formally-appointed Remuneration Committee of the main Board on the appointment, appraisal and remuneration of the Chief Executive and (with the latter) other Executive Board members; 6. appoint Non-Executive Board members to an Audit Committee of the main Board; 7. advise the Secretary of State on the performance of Non-Executive Board members.
REF.	Delegated	Authorities/Duties delegated or Reserved

	to/Reserved	
1.3.2.5	Chief Executive (CEO)	<ol style="list-style-type: none"> 1. The Chief Executive is accountable to the Chairman and Non-Executive members of the Board for ensuring that its decisions are implemented, that the organisation works effectively, in accordance with Government policy and public service values and for the maintenance of proper financial stewardship. 2. The Chief Executive should be allowed full scope, within clearly defined delegated powers, for action in fulfilling the decisions of the Board. 3. The other duties of the Chief Executive as Accountable Officer are laid out in the Accountable Officer Memorandum.
1.3.2.6	Non Executive Directors	<ol style="list-style-type: none"> 1. Non-Executive Directors are appointed by the Trust Development Authority to bring independent judgement to bear on issues of strategy, performance, key appointments and accountability through the Department of Health to Ministers and to the local community.
1.3.2.8	Chair and Directors	<ol style="list-style-type: none"> 1. Declaration of conflict of interests in compliance with the Bribery Act 2010.
1.3.2.9	Board	<ol style="list-style-type: none"> 1. NHS Boards must comply with legislation and guidance issued by the Department of Health on behalf of the Secretary of State, respect agreements entered into by themselves or on their behalf and establish terms and conditions of service that are fair to the staff and represent good value for taxpayers' money.

5. Scheme of Delegation Derived from Standing Orders		
REF.	Delegated to/Reserved	Authorities/Duties delegated or Reserved
3.10	Chairman	1. Final authority in interpretation of Standing Orders (SOs).
2.4	Board	1. Appointment of Vice Chairman.
3.1	Chairman	1. Call meetings.
3.9	Chairman	1. Chair all Board meetings and associated responsibilities.
3.10	Chairman	1. Give final ruling in questions of order, relevancy and regularity of meetings.
3.12	Chairman	1. Having a second or casting vote.
3.13	Board	1. Suspension of Standing Orders.
3.13	Audit Committee	1. To review every decision to suspend Standing Orders (power to suspend Standing Orders is reserved to the Board).
3.14	Board	1. Variation or amendment of Standing Orders.
4.1	Board	1. Formal delegation of powers to sub committees or joint committees and approval of their constitution and terms of reference. (Constitution and terms of reference of sub committees may be approved by the Chief Executive.)
5.2	Chairman & Chief Executive	1. The powers which the Board has retained to itself within these Standing Orders may in emergency be exercised by the Chair and Chief Executive after having consulted at least two Non-Executive members.
5.4	Chief Executive (CEO)	1. The Chief Executive shall prepare a Scheme of Delegation identifying his/her proposals that shall be considered and approved by the Board, subject to any amendment agreed during the discussion.
5.6	All	1. Disclosure of non-compliance with Standing Orders to the Chief Executive as soon as possible.
7.1	Board Members	1. Declare relevant and material interests.

REF.	Delegated to/Reserved	Authorities/Duties delegated or Reserved
7.2	Chief Executive (CEO)	1. Maintain Register(s) of Interests.
7.4	All staff	1. Comply with national guidance contained in HSG 1993/5 "Standards of Business Conduct for NHS Staff".
7.4	All	1. Disclose relationship between self and candidate for staff appointment. (CEO to report the disclosure to the Board.)
8.1/8.3	Chief Executive (CEO)	1. Keep seal in safe place and maintain a register of sealing.
8.4	Chief Executive / Executive Directors	1. Approve and sign all documents which will be necessary in legal proceedings.
* Nominated officers and the areas for which they are responsible are incorporated into the Trust's Detailed Scheme of Delegation document.		

6.	Scheme of Delegation from Standing Financial Instructions	
REF.	Delegated to/Reserved	Authorities/Duties delegated or Reserved
1.1.3	Director of Finance	1. Approval of all financial procedures.
1.1.4	Director of Finance	1. Advice on the interpretation or application of SFIs.
1.1.6	All members of the Board and employees	1. Have a duty to disclose any non-compliance with these Standing Financial Instructions to the Director of Finance as soon as possible.
1.3.3	Chief Executive (CEO)	1. Responsible as the Accountable Officer to ensure financial targets and obligations are met and has overall responsibility for the System of Internal Control.
1.3.3	Chief Executive (CEO) & Director of Finance	1. Accountable for financial control but will, as far as possible, delegate their detailed responsibilities.
1.3.4	Chief Executive (CEO)	1. To ensure all Board members, officers and employees, present and future, are notified of and understand Standing Financial Instructions.
1.3.5	Director of Finance	Responsible for: <ul style="list-style-type: none"> 1. Implementing the Trust's financial policies and coordinating corrective action; 2. Maintaining an effective system of financial control including ensuring detailed financial procedures and systems are prepared and documented; 3. Ensuring that sufficient records are maintained to explain the Trust's transactions and financial position; 4. Providing financial advice to members of Board and staff; 5. Maintaining such accounts, certificates etc as are required for the Trust to carry out its statutory duties.
1.3.6	All members of the Board and employees	1. Responsible for security of the Trust's property, avoiding loss, exercising economy and efficiency in using resources and conforming to Standing Orders, Financial Instructions and financial procedures.

REF.	Delegated to/Reserved	Authorities/Duties delegated or Reserved
1.3.7	Chief Executive (CEO)	1. Ensure that any contractor or employee of a contractor who is empowered by the Trust to commit the Trust to expenditure or who is authorised to obtain income are made aware of these instructions and their requirement to comply.
2.1.1	Audit Committee	1. Provide an independent and objective view on internal control and probity.
2.1.2	Chair	1. Raise the matter at the Board meeting where Audit Committee considers there is evidence of ultra vires transactions or improper acts.
2.1.3 & 2.2.1	Director of Finance	1. Ensure an adequate internal audit service, for which he/she is accountable, is provided (and involve the Audit Committee in the selection process when/if an internal audit service provider is changed.)
2.2.1	Director of Finance	1. Decide at what stage to involve the police in cases of misappropriation and other irregularities not involving fraud or corruption.
2.3	Head of Internal Audit	1. Review, appraise and report in accordance with the NHS Internal Audit Manual and best practice.
2.4	Audit Committee	1. Ensure cost-effective External Audit.
2.5	Chief Executive (CEO) & Director of Finance	1. Monitor and ensure compliance with Secretary of State Directions on fraud and corruption including the appointment of the Local Counter Fraud Specialist.

REF.	Delegated to/Reserved	Authorities/Duties delegated or Reserved
2.6	Chief Executive (CEO)	1. Monitor and ensure compliance with Directions issued by the Secretary of State for Health on NHS security management including appointment of the Local Security Management Specialist.
3.1.1	Chief Executive (CEO)	1. Compile and submit to the Board an Annual Business Plan which takes into account financial targets and forecast limits of available resources. The Annual Plan will contain: <ul style="list-style-type: none"> • a statement of the significant assumptions on which the plan is based; • Details of major changes in workload, delivery of services or resources required to achieve the plan. • An assessment of risks and plans for their management
3.1.2 & 3.1.3	Director of Finance	1. Submit budgets to the Board for approval. 2. Monitor performance against budget; submit to the Board financial estimates and forecasts.
3.1.6	Director of Finance	1. Ensure adequate training is delivered on an ongoing basis to budget holders.
3.2.1	Chief Executive (CEO)	1. Delegate budget to budget holders.
3.2.2	Chief Executive (CEO) & Budget Holders	1. Must not exceed the budgetary total or virement limits set by the Board.
3.3.1	Director of Finance	1. Devise and maintain systems of budgetary control.
3.3.2	Budget Holders	Ensure that: <ol style="list-style-type: none"> 1. no overspend or reduction of income that cannot be met from virement is incurred without prior consent of Board; 2. approved budget is not used for any other than specified purpose subject to the rules of virement; 3. no permanent employees are appointed without the approval of the CEO other than those provided for within available resources and the manpower establishment.

REF.	Delegated to/Reserved	Authorities/Duties delegated or Reserved
3.3.3	Chief Executive (CEO)	1. Identify and implement cost improvements and income generation activities in line with the Annual Business Plan.
3.5.1	Chief Executive (CEO)	1. Submit monitoring returns.
4.1	Director of Finance	1. Preparation of annual accounts and reports.
5.1	Director of Finance	1. Managing banking arrangements, including provision of banking services, operation of accounts, preparation of instructions and list of cheque signatories. (The Board approves arrangements)
6	Director of Finance	1. Income systems, including system design, prompt banking, review and approval of fees and charges, debt recovery arrangements, design and control of receipts, provision of adequate facilities and systems for employees whose duties include collecting or holding cash.
6.2.3	All employees	1. Duty to inform DoF of money due from transactions which they initiate/deal with.
7	Chief Executive (CEO)	1. Tendering and contract procedures.
7.4.4	Chief Executive (CEO)	1. Waive formal tendering procedures where permitted by SFIs
7.4.4	Chief Executive (CEO)	1. Report waivers of tendering procedures to the Audit Committee.
7.5.2	Chief Executive (CEO)	1. Responsible for the receipt, endorsement and safe custody of tenders received.
7.5.3	Chief Executive (CEO)	1. Shall maintain registers to show each set of competitive tender invitations despatched by paper or electronic means.
7.5.4	Chief Executive (CEO) and Director of Finance	1. Where one tender is received will assess for value for money and fair price.
7.5.6	Chief Executive (CEO)	1. No tender shall be accepted which will commit expenditure in excess of that which has been allocated by the Trust and which is not in accordance with these Instructions except with the authorisation of the Chief Executive.

REF.	Delegated to/Reserved	Authorities/Duties delegated or Reserved
7.5.6	Chief Executive (CEO)	1. Shall ensure that appropriate checks are carried out by the relevant Director as to the technical and financial capability of

		those firms that are invited to tender or quote.
7.6.1	Chief Executive (CEO)	1. The Chief Executive or his nominated officer should evaluate the quotation and select the quote which gives the best value for money.
7.6.3	Chief Executive (CEO) or Director of Finance	1. No quotation shall be accepted which will commit expenditure in excess of that which has been allocated by the Trust and which is not in accordance with these Instructions except with the authorisation of the Chief Executive or Director of Finance.
7.8	Chief Executive (CEO)	1. The Chief Executive shall demonstrate that the use of private finance represents value for money and genuinely transfers risk to the private sector.
7.8	Board	1. All PFI proposals must be agreed by the Board.
7.9	Chief Executive (CEO)	1. The Chief Executive shall nominate an officer who shall oversee and manage each contract on behalf of the Trust.

REF.	Delegated to/Reserved	Authorities/Duties delegated or Reserved
7.10	Chief Executive (CEO)	1. Shall nominate officers with delegated authority to enter into contracts of employment, regarding staff, agency staff or temporary staff service contracts.
7.13	Chief Executive (CEO)	1. Shall be responsible for ensuring that best value for money can be demonstrated for all services provided on an in-house basis.
7.13.5	Chief Executive (CEO)	1. Shall nominate an officer to oversee and manage the contract on behalf of the Trust.
8.1.1	Chief Executive (CEO)	1. Must ensure the Trust enters into suitable Service Level Agreements (SLAs) with service commissioners for the provision of NHS services.
8.3	Chief Executive (CEO)	1. As the Accountable Officer, ensure that regular reports are provided to the Board detailing actual and forecast income from the SLA.
9.1.1	Board	1. Establish a Remuneration & Terms of Service Committee.
9.1.2	Remuneration Committee	<ol style="list-style-type: none"> 1. Advise the Board on and make recommendations on the remuneration and terms of service of the CEO, other officer members and senior employees to ensure they are fairly rewarded having proper regard to the Trust's circumstances and any national agreements; 2. Monitor and evaluate the performance of individual senior employees; 3. Advise on and oversee appropriate contractual arrangements for such staff, including proper calculation and scrutiny of termination payments.
9.1.3	Remuneration Committee	1. Report in writing to the Board its advice and its basis about remuneration and terms of service of directors and senior employees.

REF.	Delegated to/Reserved	Authorities/Duties delegated or Reserved
9.1.4	Board	1. Approve proposals presented by the Chief Executive for setting of remuneration and conditions of service for those employees and officers not covered by the Remuneration Committee.
9.2.2	Chief Executive (CEO)	1. Approval of variation to funded establishment of any department.
9.3	Chief Executive (CEO)	1. Staff, including agency staff, appointments and re-grading.
9.4.1 and 9.4.2	Director of Finance	Payroll: 1. Specifying timetables for the submission of properly authorised time records and other notifications; 2. final determination of pay and allowances; 3. making payments on agreed dates; 4. agreeing the method of payment; 5. issuing instructions (as listed in SFI 9.4.2).
9.4.3	Nominated Managers*	1. Submit time records in line with the timetable. 2. Complete time records and other notifications in the required form. 3. Submitting termination forms in the prescribed form and on time.
9.4.4	Director of Finance	1. Ensure that the chosen method for payroll processing is supported by appropriate (contracted) terms and conditions, adequate internal controls and audit review procedures and that suitable arrangements are made for the collection of payroll deductions and payment of these to appropriate bodies.
9.5.1	Director of Human Resources	1. Ensure that all employees are issued with a Contract of Employment in a form approved by the Board and which complies with employment legislation; and 2. Deal with variations to, or termination of, contracts of employment.

* Nominated officers and the areas for which they are responsible should be incorporated into the Trust's Scheme of Delegation document.

REF.	Delegated to/Reserved	Authorities/Duties delegated or Reserved
10.1	Chief Executive (CEO)	1. Determine, and set out, levels of delegation of non-pay expenditure to budget managers, including a list of managers authorised to place requisitions, the maximum level of each requisition and the system for authorisation above that level.
10.2.1	Requisitioner*	1. In choosing the item to be supplied (or the service to be performed) shall always obtain the best value for money for the Trust. In so doing, the advice of the Trust's Head of Procurement and Logistics shall be sought.
10.2.	Director of Finance	1. Shall be responsible for the prompt payment of accounts and claims.
10.2.3	Director of Finance	<ol style="list-style-type: none"> 1. Advise the Board regarding the setting of thresholds above which quotations (competitive or otherwise) or formal tenders must be obtained; and, once approved, the thresholds should be incorporated in standing orders and regularly reviewed; 2. Prepare procedures on the obtaining of goods, works and services incorporating the thresholds; 3. Be responsible for the prompt payment of all properly authorised accounts and claims; 4. Be responsible for designing and maintaining a system of verification, recording and payment of all amounts payable; 5. Devise a timetable and system for submission to the Director of Finance of accounts for payment; provision shall be made for the early submission of accounts subject to cash discounts or otherwise requiring early payment; 6. Issue instructions to employees regarding the handling and payment of accounts within the Finance Department; 7. Be responsible for ensuring that payment for goods and services is only made once the goods and services are received
10.2.4	Appropriate Executive Director	1. Make a written case to support the need for a prepayment.
10.2.4	Director of Finance	1. Approve proposed prepayment arrangements.

REF.	Delegated to/Reserved	Authorities/Duties delegated or Reserved
10.2.4	Budget holder	1. Ensure that all items due under a prepayment contract are received (and immediately inform the DoF if problems are encountered).
10.2.5	Chief Executive (CEO)	1. Authorise who may use and be issued with official orders.
10.2.6	Managers and officers	1. Ensure that they comply fully with the guidance and limits specified by the Director of Finance.
10.2.7	Chief Executive (CEO) and Director of Finance	1. Shall ensure that the arrangements are in place for financial control and financial audit of building and engineering contracts and property transactions. The technical audit of these contracts shall be the responsibility of the relevant Director.
10.3	Director of Finance	1. Lay down procedures for payments to local authorities and voluntary organisations made under the powers of section 28A of the NHS Act.
11.1.1	Director of Finance	1. The DoF will advise the Board on the Trust's ability to pay dividends on PDC and report, periodically, concerning the PDC debt and all loans and overdrafts.
11.1.2	Board	1. Approve a list of employees authorised to make short term borrowings on behalf of the Trust. (This must include the CEO and DoF.).
11.1.3	Director of Finance	1. Prepare detailed procedural instructions concerning applications for loans and overdrafts.
11.1.5	Chief Executive (CEO) or Director of Finance	1. Be on an authorising panel comprising one other member for short term borrowing approval.
11.2.2	Director of Finance	1. Will advise the Board on investments and report, periodically, on performance of the same.
11.2.3	Director of Finance	1. Prepare detailed procedural instructions on the operation of investments held.

REF.	Delegated to/Reserved	Authorities/Duties delegated or Reserved
12	Director of Finance	1. Ensure that Board members are aware of the Financial Framework and ensure compliance.
13.1.1& 13.1.2	Chief Executive (CEO)	<ol style="list-style-type: none"> 1. Responsible for the capital investment programme: 2. ensure that there is an adequate appraisal and approval process for determining capital expenditure priorities and the effect that each has on plans 3. responsible for the management of capital schemes and for ensuring that they are delivered on time and within cost; 4. ensure that capital investment is not undertaken without availability of resources to finance all revenue consequences; 5. ensure that a business case is produced for each proposal.
13.1.2	Director of Finance	1. Certify professionally the costs and revenue consequences detailed in the business case for capital investment.
13.1.3	Chief Executive (CEO)	1. Issue procedures for the management of contracts involving stage payments.
13.1.4	Director of Finance	1. Assess the requirement for the operation of the construction industry taxation deduction scheme.
13.1.5	Director of Finance	1. Issue procedures for the regular reporting of expenditure and commitment against authorised capital expenditure.
13.1.6	Chief Executive (CEO)	<ol style="list-style-type: none"> 1. Issue the manager responsible for any capital scheme with authority to commit expenditure, authority to proceed to tender and approval to accept a successful tender. 2. Issue a scheme of delegation for capital investment management.
13.1.7	Director of Finance	1. Issue procedures governing financial management, including variation to contract, of capital investment projects and valuation for accounting purposes.
13.2.1	Director of Finance	1. Demonstrate that the use of private finance represents value for money and genuinely transfers significant risk to the private sector.

REF.	Delegated to/Reserved	Authorities/Duties delegated or Reserved
13.2.1	Board	1. A proposal to use PFI must be specifically agreed by the Board.
13.3.1	Chief Executive (CEO)	1. Maintenance of asset registers (on advice from the DoF).
13.3.5	Director of Finance	1. Approve procedures for reconciling balances on fixed assets accounts in ledgers against balances on fixed asset registers.
13.3.8	Director of Finance	1. Calculate and pay capital charges in accordance with Department of Health requirements.
13.4.1	Chief Executive (CEO)	1. Overall responsibility for fixed assets.
13.4.2	Director of Finance	1. Approval of fixed asset control procedures.
13.4.4	Board, Executive Members and All senior staff	1. Responsibility for the security of Trust assets including notifying discrepancies to DoF, and reporting losses in accordance with Trust procedures.
14.2	Chief Executive (CEO)	1. Delegate overall responsibility for control of stores (subject to DoF responsibility for systems of control). Further delegation for day-to-day responsibility is permitted subject to such delegation being recorded.
14.2	Director of Finance	1. Responsible for systems of control over stores and receipt of goods.
14.2	Designated Pharmaceutical officer	1. Responsible for controls of pharmaceutical stocks
14.2	Designated Estates Manager	1. Responsible for control of stocks of fuel oil.
14.2	Nominated Officers*	1. Security arrangements and custody of keys
14.2	Director of Finance	1. Set out procedures and systems to regulate the stores.
14.2	Director of Finance	1. Agree stocktaking arrangements.

REF.	Delegated to/Reserved	Authorities/Duties delegated or Reserved
14.2.4	Director of Finance	1. Approve alternative arrangements where a complete system of stores control is not justified.
14.2.5	Director of Finance	1. Approve a system for review of slow moving and obsolete items and for condemnation, disposal and replacement of all unserviceable items.
14.2.5	Nominated Officers*	1. Operate a system for slow moving and obsolete stock, and report to DoF evidence of significant overstocking.
14.3	Chief Executive (CEO)	1. Identify persons authorised to requisition and accept goods from NHS Supplies stores.
15.1.1	Director of Finance	1. Prepare detailed procedures for the disposal of assets including condemnations and ensure that these are notified to managers.
15.2.1	Director of Finance	1. Prepare procedures for recording and accounting for losses, special payments and informing the police in cases of suspected arson or theft.
15.2.2	All Staff	1. Discovery or suspicion of loss of any kind must be reported immediately to either head of department or nominated officer. The head of department / nominated officer should then inform the CEO and DoF.
15.2.2	Director of Finance	1. Where a criminal offence is suspected, DoF must inform the police if theft or arson is involved. In cases of fraud and corruption DoF must inform the relevant LCFS and CFSMS Regional Team in line with SoS directions.
15.2.2	Director of Finance	1. Notify CFSMS and External Audit of all frauds.
15.2.3	Director of Finance	1. Notify Board and External Auditor of losses caused by theft, arson, neglect of duty or gross carelessness (unless trivial).
15.2.4	Board	1. Approve write off of losses (within limits delegated by DH).
15.2.6	Director of Finance	1. Consider whether any insurance claim can be made.

REF.	Delegated to/Reserved	Authorities/Duties delegated or Reserved
15.2.7	Director of Finance	1. Maintain a losses and special payments register.
16.1.1	Director of Finance	1. Responsible for the accuracy and security of computerised financial data.
16.1.2	Director of Finance	1. Satisfy himself that new financial systems and amendments to current financial systems are developed in a controlled manner and thoroughly tested prior to implementation. Where this is undertaken by another organisation, assurances of adequacy must be obtained from them prior to implementation.
16.1.3	Director of Corporate Business	1. Shall publish and maintain a Freedom of Information Scheme.
16.2.1	Relevant officers	1. Send proposals for general computer systems to the DoF.
16.2.2	The Board	Nominate an Executive Member to be responsible to the Board for information risk management (the Senior Information Risk Owner).
16.2.2	Director of Finance	To ensure the completion of the Information Governance Toolkit requirements.
16.3	Director of Finance	<ol style="list-style-type: none"> 1. Ensure that contracts with other bodies for the provision of computer services for financial applications clearly define the responsibility of all parties for the security, privacy, accuracy, completeness and timeliness of data during processing, transmission and storage, and allow for audit review. 2. Seek periodic assurances from the provider that adequate controls are in operation.
16.4	Director of Site Services, Planning and Information	1. Ensure that risks to the Trust from the use of IT are identified and considered and that disaster recovery plans are in place.
16.5	Director of Finance	<p>Where computer systems have an impact on corporate financial systems satisfy himself that:</p> <ol style="list-style-type: none"> 1. systems acquisition, development and maintenance are in line with corporate policies; 2. data assembled for processing by financial systems is adequate, accurate, complete and timely, and that an audit trail exists; 3. DoF staff have access to such data; 4. Such computer audit reviews are being carried out as are considered necessary.

REF.	Delegated to/Reserved	Authorities/Duties delegated or Reserved
17.2	Chief Executive (CEO)	1. Responsible for ensuring patients and guardians are informed about patients' money and property procedures on admission.
17.3	Director of Finance	1. Provide detailed written instructions on the collection, custody, investment, recording, safekeeping, and disposal of patients' property (including instructions on the disposal of the property of deceased patients and of patients transferred to other premises) for all staff whose duty is to administer, in any way, the property of patients.
17.6	Departmental Managers	1. Inform staff of their responsibilities and duties for the administration of the property of patients.
18.1.3	Director of Finance	1. Shall ensure that each charitable trust fund which the Trust is responsible for managing is managed appropriately with regard to its purpose and to its requirements.
19.1	Director of Finance	1. Ensure all staff are made aware of the provisions of the Bribery Act 2010 and Trust policy on the acceptance of gifts and other benefits in kind by staff.
20	Chief Executive (CEO)	1. Responsible for retention of document procedures in accordance with the Department of Health Records Management NHS Code of Practice 30 March 2006.
21.1	Chief Executive (CEO)	1. Risk management arrangements.
21.1	Board	1. Approve and monitor the risk management programme.

REF.	Delegated to/Reserved	Authorities/Duties delegated or Reserved
21.2	Board	<ol style="list-style-type: none"> 1. Decide whether the Trust will use the risk pooling schemes administered by the NHS Litigation Authority or self-insure for some or all of the risks (where discretion is allowed). Decisions to self-insure should be reviewed annually.
21.4	Director of Finance	<ol style="list-style-type: none"> 1. Where the Board decides to use the risk pooling schemes administered by the NHS Litigation Authority the Director of Finance shall ensure that the arrangements entered into are appropriate and complementary to the risk management programme. The Director of Finance shall ensure that documented procedures cover these arrangements. 2. Where the Board decides not to use the risk pooling schemes administered by the NHS Litigation Authority for any one or other of the risks covered by the schemes, the Director of Finance shall ensure that the Board is informed of the nature and extent of the risks that are self insured as a result of this decision. The Director of Finance will draw up formal documented procedures for the management of any claims arising from third parties and payments in respect of losses that will not be reimbursed.
21.4	Director of Finance	<ol style="list-style-type: none"> 1. Ensure documented procedures cover management of claims and payments below the deductible.