

**SCHEME OF
DELEGATION**

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1. INDEX OF DELEGATED MATTERS

DELEGATED MATTERS

| Delegated Matter |
|---|
| STANDING ORDERS / STANDING FINANCIAL INSTRUCTIONS |

TABLE A

| Delegated Matter | Reference No. |
|--|---------------|
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|--|---------------|
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2 INTRODUCTION

2.1. Reservation of Powers

Section 4 of the Trust's Standing Orders for the Board of Directors states that "The Board of Directors may make arrangements for the exercise, on behalf of the Trust of any of its functions by a committee, or sub-committee, appointed by virtue of Standing Order 5.1 or 5.2, or by a Director or an Officer of the Trust in each case subject to such restrictions and conditions as the Board of Directors thinks fit". The Code of Conduct of Accountability in the NHS also requires that there should be a formal schedule of matters specifically reserved to the Board of Directors of the Foundation Trust.

The purpose of this document is to detail how the powers are reserved to the Board of Directors, while at the same time delegating to the appropriate level the detailed application of Foundation Trust policies and procedures. However, the Board of Directors remains accountable for all of its functions, even those delegated to committees, sub committees, individual directors or officers and would therefore expect to receive information about the exercise of delegated functions to enable it to maintain a monitoring role.

2.2. Role of the Chief Executive

All powers of the Foundation Trust, which have not been retained as reserved by the Board of Directors or delegated to an executive committee or sub-committee, shall be exercised on behalf of the Board of Directors by the Chief Executive. The Chief Executive shall prepare a Scheme of Delegation identifying which functions he/she shall perform personally and which functions have been delegated to other directors and officers for operational responsibility.

All powers delegated by the Chief Executive can be re-assumed by him/her should the need arise.

2.3 Caution over the Use of Delegated Powers

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

2.4 Absence of Directors or Officers to Whom Powers have been Delegated

In the absence of a director or officer to whom powers have been delegated, those powers shall be exercised by that director or officer's superior unless alternative arrangements have been approved by the Board of Directors. If the Chief Executive is absent, powers delegated to him/her may be exercised by the nominated officer acting in his/her absence after taking appropriate advice from the Chief Financial Officer. In the absence of the Chief Financial Officer, appropriate advice should be sought from the Deputy Chief Financial Officer.

3. RESERVATION OF POWERS TO THE BOARD OF DIRECTORS

3.1 Accountability

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

3.2 General Enabling Provision

The Board of Directors may determine any matter, for which it has authority, it wishes in full session within its statutory powers.

3.3 Regulations and Control

The Board of Directors remains accountable for all of its functions, even those delegated to individual committees, sub-committees, directors or officers and would therefore expect to receive information about the exercise of delegated functions to enable it to maintain a monitoring role. The following are decisions reserved to the board:

- Approval of Standing Orders (SOs), a schedule of matters reserved to the Board of Directors and Standing Financial Instructions for the regulation of its proceedings and business.
- Suspend Standing Orders.
- Vary or amend the Standing Orders.
- Ratification of any urgent decisions taken by the Chairman and Chief Executive in accordance with SO 4.2.
- Approval of a scheme of delegation of powers from the Board of Directors to committees.
- Requiring and receiving the declaration of Directors' interests which may conflict with those of the Foundation Trust and determining the extent to which that director may remain involved with the matter under consideration.
- Requiring and receiving the declaration of officers' interests which may conflict with those of the Foundation Trust.
- Adoption of the organisational structures, processes and procedures to facilitate the discharge of business by the Foundation Trust and to agree modifications thereto.
- To receive reports from committees including those which the Foundation Trust is required by the Constitution and the Health and Social Care Act 2012 or other regulation to establish and to take appropriate action thereon.
- To confirm the recommendations of the Foundation Trust's committees where the committees do not have executive powers.
- Approval of arrangements relating to the discharge of the Foundation Trust's responsibilities as a corporate trustee for funds held on trust.
- To establish terms of reference and reporting arrangements of all committees and sub-committees that are established by the Board of Directors.

- Approval of arrangements relating to the discharge of the Foundation Trust's responsibilities as a bailer for patients' property.
- Authorise use of the seal.
- Ratify or otherwise instances of failure to comply with Standing Orders brought to the Chief Executive's attention.
- Disciplining Board members or employees that report to the Chief Executive, who are in breach of Statutory Requirements or Standing Orders.

3.4 Appointments / Dismissal

- Appointment of the Vice Chairman / Senior Independent Director of the Board of Directors.
- The appointment and dismissal of committees (and individual members) that are directly accountable to the Board of Directors.
- Confirm the appointment of members of any committee of the Foundation Trust as representatives on outside bodies.

3.5 Policy Determination

The approval of Foundation Trust management policies including Human Resources policies incorporating the arrangements for the appointment, dismissal and remuneration of staff.

3.6 Strategy and Business Plans and Budgets

- Definition of the strategic aims and objectives of the Foundation Trust.
- Approval and monitoring of the Foundation Trust's policies and procedures for the management of risk.
- Approve Business Cases for Capital Investment with significant capital expenditure commitments according to the limits set out in Table B.
- Approve budgets.
- Approve annually the Foundation Trust's proposed business plan including operational budgets and capital expenditure programme.
- Ratify proposals for acquisition, disposal or change of use of land and/or buildings.
- Approve proposals on individual contracts, including purchase orders (other than NHS contracts) of a capital or revenue nature amounting to, or likely to amount to the limits specified in Table B (Financial Limits) of the Scheme of Delegation.
- Approve proposals in individual cases for the write off of losses or making of special payments above the limits of delegation (Table B) to the Chief Executive and Chief Financial Officer.

- Approve proposals for action on litigation against or on behalf of the Foundation Trust where the likely financial impact is expected to exceed the limits specified in Table B, or contentious or novel or likely to lead to extreme adverse publicity, excluding claims covered by the NHS risk pooling schemes.
- Review use of NHS risk pooling schemes.

3.7 Audit Arrangements

To receive recommendations regarding the appointment (and where necessary dismissal) of the internal and external auditors. The appointment or removal of the external auditors must be ratified by the Council of Governors.

3.8 Annual Reports and Accounts

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

3.9 Monitoring

- Receipt of such reports as the Board of Directors sees fit from committees in respect of their exercise of powers delegated.
- Continuous appraisal of the affairs of the Foundation Trust by means of the provision to the Board of Directors as the Board of Directors may require from directors, committees, and officers of the Foundation Trust as set out in management policy statements.
- Receive reports from the Chief Financial Officer on financial performance against budget and business plan and receive the minutes of the Finance Committee.

4 DELEGATION OF POWERS TO COMMITTEES

4.1 Delegation to Committees

The Board of Directors may determine that certain of its powers shall be exercised by Standing Committees. The composition and terms of reference of such committees shall be that approved by the Board of Directors. The Board of Directors shall determine the reporting requirements in respect of these committees. In accordance with SO 5.5, committees may not delegate executive powers to sub-committees unless expressly authorised by the Board of Directors. Terms of Reference for these Standing Committees shall be approved by the Board of Directors.

5 SCHEME OF DELEGATION TO OFFICERS

5.1 Delegation

Standing Orders and Standing Financial Instructions set out in some detail the financial responsibilities of the Chief Executive, the Chief Financial Officer and other directors. ~~These responsibilities are summarised below.~~

Delegated matters in respect of decisions that may have a far-reaching effect must be reported to the Chief Executive. **The delegation shown below is the lowest level to which authority is delegated.**

Table A - Delegated Authority

Table B - Delegated Financial Limits

Delegation to lower levels is only permitted with written approval of the Chief Executive who will, before authorising such delegation, consult with other Senior Managers as appropriate.

TABLE A.1

Delegated Authority

| DELEGATED MATTER | DELEGATED TO | OPERATIONAL RESPONSIBILITY / AUTHORITY |
|---|---|---|
| 1. Standing Orders / Standing Financial Instructions | | |
| a) Final authority in interpretation of Standing Orders | Chairman | Chairman |
| b) Notifying Directors and employees of their responsibilities within the Standing Orders and Standing Financial Instructions, and ensuring that they understand the responsibilities | Chief Executive | All Line Managers |
| c) Responsibility for security of the Foundation Trust's property, avoiding loss, exercising economy and efficiency in using resources and conforming with Standing Orders, Standing Financial Instructions (SFIs) and financial procedures | Chief Executive | All Directors and Employees |
| d) Suspension of Standing Orders | Board of Directors | Board of Directors |
| e) Review suspension of Standing Orders | Audit and Assurance Committee | Audit and Assurance Committee |
| f) Variation or amendment to Standing Orders | Board of Directors | Board of Directors |
| g) Emergency powers relating to the authorities retained by the Board of Directors | Chair and Chief Executive with two non-executives | Chair and Chief Executive with two non-executives |
| h) Disclosure of non-compliance with Standing Orders to the Chief Executive (report to the Board of Directors) | All | All |
| i) Disclosure of non-compliance with SFIs to the Chief Financial Officer (report to the Audit and Assurance Committee) | All | All |
| j) Advice on interpretation or application of SFIs and this Scheme of Delegation | Chief Financial Officer | Chief Financial Officer / Internal Audit |

Table A

| DELEGATED MATTER | DELEGATED TO | OPERATIONAL RESPONSIBILITY / AUTHORITY |
|---|---|---|
| 1. Audit Arrangements | | |
| a) Ensure adequate internal and external audit services, for which they are accountable, are provided (and prepare recommendations to the board for the replacement of either internal or external audit. NB. Whilst the board can unilaterally replace the internal auditor, the Council of Governors has to ratify the replacement or removal of the external auditor. See Section 3) | Audit and Assurance Committee | Chief Financial Officer |
| b) Review, appraise and report in accordance with Public Sector Internal Audit Standards and best practice | Audit and Assurance Committee | Head of Internal Audit |
| c) Provide an independent and objective view on internal control and probity | Audit and Assurance Committee | Internal Audit / External Audit |
| d) Ensure cost-effective audit service | Audit and Assurance Committee | Chief Financial Officer |
| e) Implement recommendations | Chief Executive | Assigned Relevant Officers |
| f) Track progress of recommendation implementation | Chief Financial Officer | Risk and Assurance Manager |
| 2. Authorisation of Clinical Trials and Research Projects | Chief Executive or Chief Financial Officer and Executive Medical Director | Research Governance Committee / Head of Research and Innovation |

TABLE A.2

| DELEGATED MATTER | DELEGATED TO | OPERATIONAL RESPONSIBILITY / AUTHORITY |
|---|-------------------------|---|
| 3. Authorisation of New Drugs | Chief Executive | Medicines Management Committee |
| 4. Bank Accounts / Cash (Excluding Charitable Fund (Funds Held on Trust) Accounts) | | |
| a) Operation: <ul style="list-style-type: none"> Managing banking arrangements and operation of bank accounts (Board of Directors approves arrangements) Opening bank accounts Authorisation of transfers between Foundation Trust bank accounts Approve and apply arrangements for the electronic transfer of funds Authorisation of: <ul style="list-style-type: none"> CHAPS schedules BACS schedules Automated cheque schedules Manual cheques | Chief Financial Officer | Head of Financial Services |
| | Chief Financial Officer | Head of Financial Services |
| | Chief Financial Officer | To be completed in accordance with bank mandate / internal procedures |
| | Chief Financial Officer | Head of Financial Services |
| | Chief Financial Officer | To be completed in accordance with bank mandate / internal procedures |
| b) Investment of surplus funds in accordance with the Foundation Trust's investment policy | Chief Financial Officer | Head of Financial Services |
| c) Petty Cash | Chief Financial Officer | Refer To Table B Delegated Limits |
| 5. Business Cases – including Tenders for Services Provided | | |
| a) Preparation of business cases / tenders | Chief Executive | Executive Directors / <u>Corporate Directors</u> / <u>Divisional General Managers</u> Refer To Table B Delegated Limits |
| b) Approval of business cases / tenders which generate a positive financial contribution | Chief Executive | Refer To Table B Delegated Limits |
| c) Approval of business cases / tenders which generate a negative financial contribution | Board of Directors | Refer To Table B Delegated Limits |
| 6. Capital Investment | | |
| a) Programme: <ul style="list-style-type: none"> Ensure that there is adequate appraisal and approval process for determining capital expenditure priorities and the effect that each has on business plans Preparation of Capital Investment Programme Financial monitoring and reporting on all capital scheme expenditure including variations to contract Responsible for the management of capital schemes and for ensuring that they are delivered on time and within cost Ensure that capital investment is not undertaken without availability of resources to finance all revenue consequences Issue procedures to support: <ul style="list-style-type: none"> Capital investment Staged payments Issuing the capital scheme project manager with specific authority to commit capital, proceed / accept tenders in accordance with the SOs and SFIs | Chief Executive | Chief Financial Officer |
| | Chief Executive | Chief Financial Officer |
| | Chief Financial Officer | Deputy Chief Financial Officer / <u>Head of Financial Services</u> |
| | Chief Executive | Chief Financial Officer |
| | Chief Financial Officer | Deputy Chief Financial Officer <u>Chief Financial Officer</u> |
| | Chief Executive | Refer to Table B Delegated Limits |
| | Chief Financial Officer | |
| 7. Clinical Audit | | |
| Design, implement and monitor the Foundation Trust's Clinical Audit Programme | Chief Executive | Lead Clinician for Clinical Audit / Service Directors / Clinical Managers / Department Heads / Clinical Audit Department |

TABLE A.3

| DELEGATED MATTER | DELEGATED TO | OPERATIONAL RESPONSIBILITY / AUTHORITY |
|--|---|--|
| 8. Commercial Sponsorship | | |
| Agreement to proposal | Chief Executive | Refer to Table B Delegated Limits |
| 9. Complaints (Patients and Relatives) | | |
| a) Overall responsibility for ensuring that all complaints are dealt with effectively | Executive Medical Director | Divisional Clinical Chairs <u>Directors</u> / Divisional <u>Nurse Directors</u> Matrons / Patient Experience Manager |
| b) Responsibility for ensuring complaints relating to a division / department are investigated thoroughly | Executive Medical Director | Divisional Clinical Chairs <u>Directors</u> / Divisional <u>Nurse Directors</u> Matrons |
| c) Medico - Legal Complaints Coordination of their management | Executive Medical Director | Legal Services Manager <u>Trust Solicitor</u> |
| 10. Confidential Information | | |
| Review of the Foundation Trust's compliance with the Caldicott report on protecting patients' confidentiality in the NHS | Chief Executive <u>Caldicott Guardian</u> | Chief Nurse / Executive Medical Director <u>Caldicott Guardian</u> |
| Freedom of Information Act compliance code | Chief Executive | Senior Information Risk Owner |
| 11. Data Protection Act | | |
| Review of Foundation Trust's compliance | Chief Executive | Senior Information Risk Owner |
| 12. Declaration of Interest | | |
| <ul style="list-style-type: none"> Maintaining a register Declaring relevant and material interests | Chief Executive All Directors | Director of Corporate Affairs All staff |
| 13. Disposal and Condemnations | | |
| <ul style="list-style-type: none"> Items obsolete, redundant, irreparable or cannot be repaired cost effectively Develop arrangements for the sale of assets | Chief Financial Officer Chief Financial Officer | Refer to Table B Delegated Limits |
| 14. Environmental Regulations | | |
| Review of compliance with environmental regulations, for example those relating to clean air and waste disposal | Chief Executive | Associate Director of Estates and Facilities |
| 15. External Financing | | |
| a) Advise Board of Directors of the requirements to repay / draw down Public Dividend Capital | Chief Financial Officer | Head of Financial Services |
| b) Application for draw down of Public Dividend Capital and other forms of foundation trust funding | Chief Financial Officer | Head of Financial Services |
| c) Application for draw down of overdrafts and other forms of external borrowing | Chief Financial Officer | In accordance with the Treasury Management Policy |
| d) Preparation of procedural instructions | Chief Financial Officer | Head of Financial Services |
| e) Private Finance: <ul style="list-style-type: none"> Demonstrate that the use of private finance represents best value for money and transfers risk to the private sector. Proposal to use PFI must be specifically agreed by the Board of Directors | Chief Executive | Chief Financial Officer – subject to agreement by NHSE A |
| f) Leases (including property, equipment and operating leases) <ul style="list-style-type: none"> Granting and termination of leases with Annual rent < £100k Granting and termination of leases of > £100k should be reported to the Board of Directors | Chief Executive Board of Directors | Chief Financial O fficer Chief Executive / Chief Financial Officer |
| g) Finance leases (any value) | Board of Directors | Chief Financial Officer – subject to agreement by NHSE A |

TABLE A.4

| DELEGATED MATTER | DELEGATED TO | OPERATIONAL RESPONSIBILITY / AUTHORITY |
|--|-------------------------|--|
| 16. Financial Planning / Budgetary Responsibility | | |
| a) Setting: <ul style="list-style-type: none"> Submit agreed business plan to the Board of Directors Submit capital and revenue budgets to the Board of Directors Submit financial estimates and forecasts to the Board of Directors | Chief Executive | Chief Financial Officer |
| | Chief Executive | Chief Financial Officer |
| | Chief Executive | Chief Financial Officer |
| b) Monitoring: <ul style="list-style-type: none"> Delegate budgets to budget holders Monitor performance against budget Ensuring adequate training is delivered to budget holders to facilitate their management of the allocated budget Submit in accordance with NHSI's requirements financial monitoring returns Meet reporting requirements of banking terms and conditions Identify and implement cost improvements and income generation activities in line with the Business Plan Monitor performance against the cost improvement programme | Chief Executive | Chief Financial Officer / Prime Budget Holders |
| | Chief Financial Officer | Executive Directors / Prime Budget Holders |
| | Chief Financial Officer | Divisional Finance Managers |
| | Chief Executive | Chief Financial Officer |
| | Chief Executive | Chief Financial Officer |
| | Chief Executive | All budget holders |
| | Chief Executive | Associate Director of Transformation |
| Preparation of: <ul style="list-style-type: none"> Annual Accounts Annual Report | Chief Financial Officer | Deputy Chief Financial Officer |
| | Chief Executive | Director of Corporate Affairs Company Secretary |
| c) Authorisation of Virement: It is not possible for any officer to vire from non-recurring headings to recurring budgets, from capital to revenue / revenue to capital, or between NHSI Plan expenditure categories Virement between different budget holders requires the agreement of both parties | Chief Financial Officer | Refer To Table B Delegated Limits |
| 17. Financial Procedures and Systems | | |
| a) Maintenance and update of Foundation Trust Financial Procedures | Chief Financial Officer | Deputy Chief Financial Officer |
| b) Responsibilities: <ul style="list-style-type: none"> Implement Foundation Trust's financial policies and co-ordinate corrective action Ensure that adequate records are maintained to explain Foundation Trust's transactions and financial position Provide financial advice to members of the Board of Directors and staff Ensure that appropriate statutory records are maintained Design and maintain compliance with all financial systems | Chief Financial Officer | Deputy Chief Financial Officer |
| | | Head of Financial Services |
| | | Deputy Chief Financial Officer / Head of Financial Services |
| | | Head of Financial Services |
| | | Deputy Chief Financial Officer |

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TABLE A.5

| DELEGATED MATTER | DELEGATED TO | OPERATIONAL RESPONSIBILITY / AUTHORITY |
|---|--|--|
| 18. Fire Precautions <ul style="list-style-type: none"> Ensure that the Fire Precautions and prevention policies and procedures are adequate and that fire safety and integrity of the estate is intact | Chief Executive | Director of People / Head of Fire Prevention & Security Management Specialist |
| 19. Fixed Assets | | |
| a) Maintenance of Trust asset register including asset identification and monitoring | Chief Financial Officer | Head of Financial Services |
| b) Maintenance of IT asset register for items associated with other NHIS clients, including asset identification and monitoring | Chief Financial Officer | Director of NHIS |
| c) Ensuring arrangements for financial control and financial audit of building and engineering contracts and property transactions are in line with the NHS Premises Assurance Model and latest guidance | Chief Executive | Associate Director of Estates and Facilities |
| d) Calculate and pay capital charges in accordance with the requirements of the Independent Regulator | Chief Financial Officer | Head of Financial Services |
| e) Responsibility for security of Foundation Trust's assets including notifying discrepancies to the Chief Financial Officer and reporting losses in accordance with Foundation Trust's procedures | Chief Executive | All staff |
| 20. Funds Held on Trust (Charitable and Non Charitable Funds) | | |
| a) Management: <ul style="list-style-type: none"> Funds held on trust are managed appropriately | Chief Financial Officer (supported by the Charitable Trustees) | Deputy Chief Financial Officer / Head of Financial Services |
| b) Maintenance of authorised signatory list of nominated fund holders | Chief Financial Officer | Head of Financial Services |
| c) Expenditure limits | Chief Financial Officer | Refer To Table B Delegated Limits |
| d) Developing systems for receiving donations | Chief Financial Officer | Head of Financial Services |
| e) Dealing with legacies | Chief Financial Officer | Head of Financial Services |
| f) Fundraising Appeals | Charitable Funds Committee | Community Involvement Manager |
| <ul style="list-style-type: none"> Preparation and monitoring of budget | Chief Financial Officer | Community Involvement Manager with advice from Head of Financial Services |
| <ul style="list-style-type: none"> Reporting progress and performance against budget | Chief Financial Officer | Community Involvement Manager with advice from Head of Financial Services |
| g) Operation of Bank Accounts: <ul style="list-style-type: none"> Managing banking arrangements and operation of bank accounts | Chief Financial Officer | Head of Financial Services |
| <ul style="list-style-type: none"> Opening bank accounts | Chief Financial Officer | Head of Financial Services |
| h) Investments: <ul style="list-style-type: none"> Nominating deposit taker | Charitable Funds Committee | Chief Financial Officer |
| <ul style="list-style-type: none"> Placing transactions in accordance with the Charitable Funds Investment Policy | Chief Financial Officer | Head of Financial Services |
| 21. Health and Safety | | |
| Review of all statutory compliance with legislation and Health and Safety requirements including Control of Substances Hazardous to | Chief Executive | Director of People / Health and Safety Manager |

TABLE A.6

| DELEGATED MATTER | DELEGATED TO | OPERATIONAL RESPONSIBILITY / AUTHORITY |
|--|--|---|
| Health Regulations | | |
| 22. Hospitality/Gifts | | |
| a) Keeping of hospitality register | Chief Executive | Director of Corporate Affairs |
| b) Applies to both individual and collective hospitality receipt items. | | All staff declaration required in Foundation Trust's Hospitality Register Refer To Table B Delegated Limits |
| 23. Infectious Diseases and Notifiable Outbreaks | Chief Executive | Executive Medical Director |
| 24. Information Management and Technology | | |
| a) Developing systems in accordance with the Foundation Trust's IM&T Strategy | Executive Directors / Director of Health Informatics Service | Chief Digital Information Officer / Heads of Service in conjunction with IT advisors |
| b) Implementing new systems ensuring that they are developed in a controlled manner and thoroughly tested | | |
| c) Seeking third party assurances regarding systems operated externally | | |
| d) Ensuring that contracts for computer services for financial applications define responsibility regarding security, privacy, accuracy, completeness and timeliness of data during processing and storage | | |
| 25. Legal Proceedings | | |
| a) Engagement of Foundation Trust's Solicitors | Chief Executive / Director of People | Director of Corporate Affairs / Director of People |
| b) Approve and sign all documents which will be necessary in legal proceedings | Chief Executive | Any Executive Director |
| c) Sign on behalf of the Foundation Trust any agreement or document not requested to be executed as a deed (i.e. any legal contract) | Chief Executive | Any Executive Director |
| 26. Losses and Special Payments | | |
| a) Prepare procedures for recording and accounting for losses and special payments including preparation of a Fraud Response Plan and informing Counter Fraud Management Services of frauds | Chief Executive | Chief Financial Officer |
| b) <u>Losses</u> Losses of cash and cash equivalents due to theft, fraud, overpayment & others Fruitless payments (including abandoned Capital Schemes) Bad debts and claims abandoned (e.g. private patients, overseas visitors, road traffic act claims) Damage to buildings, fittings, furniture and equipment in use due to culpable causes (e.g. fraud, theft, arson, neglect) General losses (e.g. linen and bedding, equipment, stores items) Un-vouched payments Overpayment of salaries, fees and allowances | | Refer To Table B Delegated Limits |
| <u>Special Payments</u> i) Clinical negligence after legal advice • Medical negligence ii) Non-clinical negligence • Personal injury iii) Other (Ex-gratia payments) • Compensation payments by Court Order • To patients/staff for loss of personal effects • Extra contractual payments to contractors | | Refer To Table B Delegated Limits |

TABLE A.7

| DELEGATED MATTER | DELEGATED TO | OPERATIONAL RESPONSIBILITY / AUTHORITY |
|---|---|--|
| c) A register of all of the payments should be maintained by the Finance Department and made available for inspection | Chief Financial Officer | Head of Financial Services |
| d) A report of all of the above payments should be presented to the Audit and Assurance Committee at least annually | Chief Financial Officer | Head of Financial Services |
| 27. Meetings | | |
| a) Calling meetings of the Foundation Trust Board | Chairman | Director of Corporate Affairs |
| b) Chair all Foundation Board of Directors meetings and associated responsibilities | Chairman | Chairman |
| 28. Medical | | |
| <ul style="list-style-type: none"> Clinical Governance arrangements Medical Leadership Programmes of medical education Clinical staffing plans Matters involving individual professional competence of medical staff Medical Research | <p>Chief Nurse</p> <p>Executive Medical Director</p> <p>Executive Medical Director</p> <p>Chief Executive</p> <p>Executive Medical Director</p> <p>Executive Medical Director</p> | <p>Head of Governance / Lead Clinician for Clinical Audit / Divisional Clinical <u>Chairs Directors</u> / Service Directors / Divisional <u>Nurse Directors</u> <u>Matrons</u></p> <p>Divisional Clinical <u>Chairs</u> <u>Directors</u> / Service Directors</p> <p>Director of Medical Education</p> <p><u>Heads of Service Directors</u></p> <p>Divisional Clinical <u>Chairs</u> <u>Directors</u></p> <p>Research Governance Committee Chairman / Head of Research and Innovation</p> |
| 29. Non Pay Expenditure | | |
| a) Maintenance of a list of managers authorised to place requisitions/orders and accept goods in accordance with Table B | Chief Executive | Deputy Chief Financial Officer / Head of Financial Services |
| b) Obtain the best value for money when requisitioning goods/services | Chief Executive | Strategic Head of Procurement Development / Divisional General Managers / Heads of <u>Department</u> <u>Service</u> |
| c) Non-Pay Expenditure for which no specific budget has been set up and which is not subject to funding under delegated powers of virement. (Subject to the limits specified above in (a)) | Chief Executive | Chief Financial Officer |
| d) Develop systems for the payment of accounts | Chief Financial Officer | Head of Financial Services |
| e) Prompt payment of accounts | Chief Financial Officer | Head of Financial Services |
| f) Financial limits for ordering / requisitioning goods and services | Chief Financial Officer | Refer To Table B Delegated Limits |
| 30. Nursing | | |
| a) Compliance with statutory and regulatory arrangements relating to professional nursing and midwifery practice | Chief Nurse | Deputy Director of Nursing / Divisional <u>Nurse Directors</u> <u>Matrons</u> |
| b) Matters involving individual professional competence of nursing staff | Chief Nurse | Deputy Director of Nursing / <u>Divisional Divisional Nurse Directors</u> <u>Matrons</u> |
| c) Compliance with professional training and development of nursing staff | Chief Nurse | Deputy Director of Nursing / <u>Divisional Nurse Directors</u> <u>Divisional Matrons</u> |
| d) Quality assurance of nursing processes | Chief Nurse | Deputy Director of Nursing / <u>Divisional Nurse Directors</u> <u>Divisional Matrons</u> |
| 31. Patient Services Agreements | | |
| a) Negotiation of Foundation Trust Contract and | Chief Executive | Chief Financial Officer / Strategic Head of |

TABLE A.8

| DELEGATED MATTER | DELEGATED TO | OPERATIONAL RESPONSIBILITY / AUTHORITY |
|--|--|--|
| Non Commercial Contracts | | Procurement Deputy Director – Income and Performance |
| b) Quantifying and monitoring out of area treatments | Chief Financial Officer | Head of Finance Business Intelligence Deputy Director – Income and Performance |
| c) Reporting actual and forecast income | Chief Financial Officer | Head of Finance Business Intelligence Deputy Director – Income and Performance |
| d) Costing Foundation Trust Contract and Non Commercial Contracts | Chief Financial Officer | Head of Finance Business Intelligence Deputy Director – Income and Performance |
| e) Reference Costing / Payment by Results | Chief Financial Officer | Deputy Chief Financial Officer |
| f) Ad hoc costing relating to changes in activity, developments, business cases and bids for funding | Chief Financial Officer | Head of Finance Business Intelligence Deputy Director – Income and Performance / Divisional Finance Managers |
| 32. Patients' Property (in conjunction with financial advice from the Head of Financial Services) | | |
| a) Ensuring patients and guardians are informed about patients' monies and property procedures on admission | Chief Executive | Chief Nurse / Divisional General Managers / Heads of Service Department / Divisional Nurse Directors Matrons |
| b) Prepare detailed written instructions for the administration of patients' property | Chief Nurse / Chief Financial Officer | Deputy Director of Nursing / Head of Financial Services |
| c) Informing staff of their duties in respect of patients' property | Chief Nurse | Divisional General Managers / Heads of Department Service / Divisional Matrons |
| d) Issuing property of deceased patients (See SFI 15.9, 15.10) | | Refer To Table B Delegated Limits |
| e) Repayment of cash held for safe keeping | Chief Financial Officer | Divisional General Managers / Head of Financial Services |
| 33. Personnel & Pay (excluding Non-executive Directors whose remuneration, terms and conditions are dealt with by the Board of Governors Nominations Committee) | | |
| a) Develop Human Resource policies and strategies for approval by the board including employee relations | Director of People / Director of Culture and Improvement | Deputy Director of Human Resources / Head of Learning and OD |
| b) Authority to fill funded post on the establishment with permanent staff | Director of People | Budget Holders |
| c) The granting of additional increments to staff within budget | Director of People | Director of People |
| d) Develop training policies | Director of People Director of Culture and Improvement | Deputy Director of Human Resources Head of Learning and OD |
| e) All requests for re-grading shall be dealt with in accordance with Foundation Trust Procedure | Director of People | Budget Holders |
| f) Establishments | | |
| • Recurrent changes to establishment outside existing recurrent funding <u>without</u> identified recurrent sources of funding | Chief Executive | Chief Financial Officer |
| • Recurrent changes to establishment outside existing recurrent funding but <u>with</u> identified recurrent sources of funding | Chief Financial Officer | Prime Budget Holders |
| • Recurrent changes to establishment within existing recurrent funding | Chief Financial Officer | Budget Holders |
| • Terminations | Director of People | Line Managers |
| g) Pay | | |
| • Presentation of proposals to the Board of Directors for the setting of remuneration and conditions of service for those staff not covered by the Remuneration and Nominations Committee or national terms and conditions | Chief Executive | Director of People |

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TABLE A.9

| DELEGATED MATTER | DELEGATED TO | OPERATIONAL RESPONSIBILITY / AUTHORITY |
|--|---|---|
| | | |
| <p>h)</p> <ul style="list-style-type: none"> Authority to commit pay expenditure Approval of completed variable pay claims forms Approval of travel and subsistence expenses <p><u>Leave</u></p> <p><u>Annual Leave</u></p> <ul style="list-style-type: none"> Approval of annual leave Approval of carry forward up to a maximum 5 days (to occur in exceptional circumstances only) Approval to pay outstanding annual leave (except for leavers) <p><u>Special Leave</u></p> <ul style="list-style-type: none"> Compassionate leave Special leave arrangements for domestic/personal/family reasons <ul style="list-style-type: none"> Paternity leave Carers leave Adoption leave <p>(to be applied in accordance with Foundation Trust Policy)</p> <ul style="list-style-type: none"> Special Leave – this includes Jury Service, Armed Services, School Governor (to be applied in accordance with Foundation Trust Policy) Leave without pay Medical Staff Leave of Absence – paid and unpaid Time off in lieu Maternity Leave - paid and unpaid <p><u>Sick Leave</u></p> <ul style="list-style-type: none"> Extension of sick leave on pay Return to work part-time on full pay to assist recovery <p><u>Study Leave</u></p> <ul style="list-style-type: none"> Non-medical leave | <p>Director of People Human Resources and Organisational Development / Chief Financial Officer</p> <p>Chief Financial Officer</p> <p>Chief Financial Officer</p> <p>Chief Executive</p> <p>Chief Executive</p> <p>Director of People</p> <p>Director of People</p> <p>Director of People</p> <p>Director of People</p> | <p>Budget Holders</p> <p>Budget Holders</p> <p>Authorised Signatories</p> <p>Line/Departmental Manager</p> <p>Chief Executive / Executive Directors / Chief Operating Officer</p> <p>Chief Executive / Executive Directors / Chief Operating Officer</p> <p>Divisional General Managers / Heads of ServiceDepartment</p> <p>Divisional General Managers / Heads of Department Service</p> <p>Divisional General Managers / Heads of Service Department</p> <p>Divisional General Managers / Heads of Service Department</p> <p>Executive Medical Director</p> <p>Line/Departmental Manager</p> <p>Automatic approval with guidance</p> <p>Executive Director / Chief Operating Officer</p> <p>Divisional General Managers / relevant Director / Deputy Chief Financial Officer</p> <p>Relevant Executive Director / Divisional General Managers</p> |

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TABLE A.10

| DELEGATED MATTER | DELEGATED TO | OPERATIONAL RESPONSIBILITY / AUTHORITY |
|--|---|---|
| <ul style="list-style-type: none"> • Medical staff study leave <ul style="list-style-type: none"> - Consultant / Career Grade - Doctors in training | Executive Medical Director | Service Directors Post Graduate Tutor |
| i) Removal Expenses, Excess Rent and House Purchases in accordance with Trust policy Authorisation of payment of removal expenses incurred by officers taking up new appointments (providing consideration was promised at interview) | Director of People | Director of People/Human Resources and Organisational Development / Divisional General Managers |
| j) Grievance Procedure All grievances cases must be dealt with strictly in accordance with the Grievance Procedure and the advice of the Director of Human Resources and Organisational Development must be sought when the grievance reaches the level of Chief Operating Officer / Heads of Department | Director of People | Executive Directors / Chief Operating Officer / Heads of Service Department |
| k) Authorised - Car Users <ul style="list-style-type: none"> ▪ Leased car ▪ Regular/standard car user arrangements | Chief Financial Officer Chief Financial Officer | Payroll & Pensions Manager Line/Department Manager |
| l) Mobile Phone Users | Chief Financial Officer | Line/Department Manager |
| m) Renewal of Fixed Term Contract | See 33 (f) | See 33 (f) |
| n) Operation of Staff Retirement Policy | Chief Executive | Director of People / Divisional General Managers |
| o) Redundancy <ul style="list-style-type: none"> ▪ Executive Directors ▪ All staff excluding Board Members | Board of Directors | Remuneration and Nominations Committee Executive Team |
| p) Ill Health Retirement Decision to pursue retirement on the grounds of ill-health following advice from the Occupational Health Department | Director of People | Divisional General Managers |
| q) Disciplinary Procedure <ul style="list-style-type: none"> ▪ Chief Executive ▪ Others | Chairman Chief Executive | To be applied in accordance with the Foundation Trust's Disciplinary Procedure |
| r) Waiting List Payments <ul style="list-style-type: none"> ▪ Approval of Rates of Pay | Chief Executive | Chief Financial Officer / Director of People Human Resources and Organisational Development |
| s) Ensure that all employees are issued with a Contract of employment in a form approved by the Board of Directors and which complies with employment legislation. | Director of People | Deputy Director of Human Resources |
| t) Engagement of staff not on the establishment <ul style="list-style-type: none"> ▪ Management Consultants ▪ Management of use and booking of bank staff <ul style="list-style-type: none"> a. Nursing b. Other ▪ Management of use and booking of agency staff <ul style="list-style-type: none"> a. Nursing b. Other | Chief Executive / Chief Financial Officer Chief Operating Officer Divisional General Managers Chief Operating Officer Divisional General Managers | Budget Holders Budget Holders Budget Holders Budget Holders Budget Holders |
| 34. Quotation, Tendering & Contract Procedures - Purchases | | |
| a) Services: <ul style="list-style-type: none"> ▪ Best value for money is demonstrated for all services provided under contract or in-house ▪ Nominate officers to oversee and manage | Chief Financial Officer Chief Financial Officer | Strategic Head of Procurement Divisional General Managers / Heads of |

TABLE A.11

| DELEGATED MATTER | DELEGATED TO | OPERATIONAL RESPONSIBILITY / AUTHORITY |
|---|---|---|
| contracts on behalf of the Foundation Trust | | Department Service |
| b) Competitive Tenders: <ul style="list-style-type: none"> ▪ Authorisation Limits ▪ Receipt and custody of tenders received by post prior to opening ▪ Opening tenders ▪ Decide if late tenders should be considered | Chief Executive Chief Executive Chief Executive Chief Executive | Refer To Table B Delegated Limits Director of Corporate Affairs Company Secretary Director of Corporate Affairs Company Secretary and an Executive Director Chief Financial Officer |
| c) Quotations | Chief Executive | Refer To Table B Delegated Limits |
| d) Waiving the requirement to request <ul style="list-style-type: none"> ▪ Tenders - subject to SOs ▪ Quotes - subject to SOs | Chief Executive Chief Financial Officer | Chief Financial Officer Budget Holders |
| e) Maintain contract register | Chief Financial Officer | Business Support Manager |
| 35. Records | | |
| a) Review Foundation Trust's compliance with the Records Management Code of Practice for Health and Social Care | Chief Executive Senior Information Risk Owner | Executive Directors Executive Directors / Divisional General Managers / Heads of Department Senior Information Risk Owner |
| b) Ensuring the form and adequacy of the financial records of all departments | Chief Financial Officer | Deputy Chief Financial Officer |
| 36. Reporting of Incidents to the Police | | |
| a) Where a criminal offence is suspected <ul style="list-style-type: none"> * Criminal offence of a violent nature * Arson or theft * Other | Chief Executive | Executive/Senior Manager On-call / Divisional General Managers / Heads of Service Department / Caldicott Guardian |
| b) Where a fraud is involved (reporting to the NHS Directorate of Counter Fraud Services) | Chief Financial Officer | Head of Internal Audit / Local Counter Fraud Specialist |
| 37. Risk Management | | |
| <ul style="list-style-type: none"> • Ensuring the Foundation Trust has a Risk Management Strategy and a programme of risk management • Developing systems for the management of risk • Developing incident and accident reporting systems • Compliance with the reporting of incidents and accidents • Compliance with statutory safeguarding children and young people requirements | Chief Executive Director of Corporate Affairs Chief Nurse / Executive Medical Director / Director of Corporate Affairs Chief Nurse / Executive Medical Director / Director of Corporate Affairs Chief Nurse | Director of Corporate Affairs Risk and Assurance Manager Divisional Clinical Chairs Directors / Risk and Assurance Manager / Deputy Head of Nursing for Quality Governance / Health & Safety Manager / Patient Safety Manager All staff Named Nurse / Named Doctor for Safeguarding Children |
| 38. Seal | | |
| a) The keeping of a register of seal and safekeeping of the seal | Chief Executive | Director of Corporate Affairs |
| b) Approval of documents for sealing | Chief Executive / Chief Financial Officer | Director of Corporate Affairs / Strategic Head of Procurement/ |
| c) Use of seal in accordance with Standing Orders | Chairman / Chief Executive | Chairman / Director of Corporate Affairs |
| d) Report to the Board of Directors at least quarterly | Chief Executive | Director of Corporate Affairs |
| e) Property transactions and any other legal requirement for the use of the seal | Chairman / Chief Executive | Director of Corporate Affairs |

TABLE A.12

| DELEGATED MATTER | DELEGATED TO | OPERATIONAL RESPONSIBILITY / AUTHORITY |
|---|-------------------------|--|
| 39. Setting of Fees and Charges (Income) | | |
| a) Private Patient, Overseas Visitors, Income Generation and other patient related services | Chief Financial Officer | Associate Director Business Planning and Partnership |
| b) Non patient care income | Chief Financial Officer | Associate Director Business Planning and Partnership |
| c) Informing the Chief Financial Officer of monies due to the Foundation Trust | Chief Financial Officer | All Staff |
| d) Recovery of debt | Chief Financial Officer | Head of Financial Services |
| 40. Stores and Receipt of Goods | | |
| a) Responsibility for systems of control over stores and receipt of goods, issues and returns | Chief Financial Officer | Associate Director of Estates & Facilities / Strategic Head of Procurement / Head of Pharmacy / Head of IT |
| b) Stocktaking arrangements | Chief Financial Officer | Head of Financial Services |
| c) Recovery of debt | Chief Financial Officer | Head of Financial Services |

Table B – Delegated Financial Limits

All thresholds include the cost of non-recoverable VAT.

| | Financial Limits (Subject to funding available in budget) | Includes: |
|------------|--|--|
| 1 | CHARITABLE FUNDS | |
| 1.1 | Expenditure | |
| | Board of Directors (as Trustee) | Over £100,000 |
| | Charitable Funds Committee | Up to £100,000 |
| | Chief Executive / Chief Financial Officer | Up to £25,000 |
| | Fund Monitor and Manager | Up to £15,000 |
| | Heads of Service | Up to £4,000 |
| | | Specific purpose funds only |
| 2 | LOSSES AND SPECIAL PAYMENTS | |
| 2.1 | Losses | |
| | Board of Directors | Over £100,000 |
| | Audit and Assurance Committee | Up to £100,000 |
| | Chief Executive / Chief Financial Officer - reported to the Audit and Assurance Committee | Up to £25,000 |
| 2.2 | Special Payments – Non-Clinical Negligence (Clinical Negligence litigation payments managed by the NHSLA) | |
| | Chief Executive / Chief Financial Officer | Over £10,000 |
| | Company Secretary - reported to the Audit and Assurance Committee | Up to £10,000 |
| | | Non-clinical Negligence payments by the NHSLA, through the RPST, subject to scheme excesses |
| 2.3 | Special Payments – Others (Ex-gratia payments) | |
| | Board of Directors | Over £100,000 |
| | Audit and Assurance Committee | Up to £100,000 |
| | Chief Executive / Chief Financial Officer - reported to the Audit and Assurance Committee | Up to £25,000 |
| | | All subject to HM Treasury approval |
| 2.4 | Special Payments - made under legal obligation – not related to negligence claims | |
| | Chief Executive | Over £30,000 |
| | Director of Corporate Affairs / Director of People | Up to £30,000 |
| 3 | HOSPITALITY/GIFTS | |
| | Director of Corporate Affairs | Over £50 |
| | | Personal gifts or hospitality |
| 4 | PETTY CASH DISBURSEMENTS (authority to pay) | |
| 4.1 | Sundry Exchequer Items | Conditions: |
| | Chief Financial Officer or Nominated Deputy | Over £100 |
| | Petty Cash Imprest Holder | Up to £100 |
| | | On receipt of signed claim form from an authorised Budget Holder |
| 4.2 | Petty Cash Float Reimbursement | |
| | Petty Cash Imprest Holder | Up to £3,100 |
| | Petty Cash Imprest Holder | Up to £2,000 |
| | Petty Cash Imprest Holder | Up to £800 |
| | | King's Mill total imprest balance Newark total imprest balance Mansfield total imprest balance |
| 5 | PATIENTS' PROPERTY (INCLUDING CASH) | Conditions: |
| 5.1 | Inpatients and Discharged Patients | |
| | Head of Financial Services | Over £250 |
| | Petty Cash Imprest Holder | Up to £250 |
| | | On receipt of the appropriate Reclaim Form On receipt of a signed claim form from an authorised Budget Holder and the patient |
| 5.2 | Deceased Patients | |
| | <u>Testate</u> | |
| | Chief Operating Officer / Head of Financial Services | Over £5,000 |
| | Chief Operating Officer / Head of Financial Services | Up to £5,000 |
| | | Copy of Probate required To the executor to the will on receipt of indemnity |
| | <u>Intestate</u> | |
| | Chief Operating Officer / Head of Financial Services | Any amount |
| | | Letter of Administration required |

| | Financial Limits (Subject to funding available in budget) | Includes: | |
|------------|--|--|--|
| 6 | QUOTATIONS AND TENDERS (SOs Section 9) | | |
| 6.1 | Quotations | | |
| | Chief Financial Officer / Strategic Head of Procurement | Over £25,000 | To be advertised on the website www.gov.uk/contracts-finder |
| | Chief Financial Officer / Strategic Head of Procurement | £5,000 to £25,000 | Obtain minimum of 3 informal quotations for goods/services/disposals |
| 6.2 | Tenders | | |
| | Official Journal of the European Union (OJEU) | Crown Commercial Service Threshold Levels | Works / Supplies & Services levels stated within the Crown Commercial Service's Procurement Policy Note : New Threshold Levels |
| | Chief Financial Officer / Strategic Head of Procurement | Over £25,000 (in compliance with EC Directives as appropriate) | Competitive Tenders: Obtaining a minimum of 3 written competitive tenders for goods, services, materials, manufactured articles, rendering of services (including Management Consultancy) construction and disposals |
| 7 | REQUISITIONING GOODS AND SERVICES, AND APPROVING PAYMENTS WITHOUT AN APPROVED REQUISITION | | |
| 7.1 | Revenue Expenditure | | |
| | Board of Directors | Over £1,000,000 | Over £250,000 subject to NHSE/I approval where necessary |
| | Finance Committee | Up to £1,000,000 | Over £250,000 subject to NHSE/I approval where necessary |
| | Executive Team | Up to £250,000 | Consultancy expenses over £50,000 subject to NHSI approval where necessary |
| | Trust Management Team | Up to £100,000 | Voting and non-voting members |
| | Executive Board Members | Up to £100,000 | Divisional General Managers / Deputy Divisional General Managers / Clinical Directors / Chief Pharmacist / Divisional Nurse Matrons / |
| | Prime Budget Holders | Up to £50,000 | Deputy Directors reporting directly to Executive Board Members |
| | | | Divisional General Managers |
| | Discretionary Spend, Consultancy, and Professional fees and training. | Up to £50,000 | |
| | Delegated Budget Holders | Up to £25,000 | One per cost centre Ward Matrons / Heads of Service / Assistant Divisional General Managers / Deputy Directors |
| | Ward/Department Budget Holders | Up to £5,000 | One Two per cost centre Ward Leaders / Heads of Department Service |
| | Other Authorised Signatories | Up to £1,000 | |
| 7.2 | Capital Expenditure | | |
| | Delegated Budget Holders | Up to the value of the individual capital scheme | One per cost centre All schemes to be approved by the Board of Directors |
| 7.3 | Private Financing Initiative Charges | | |
| | Chief Financial Officer | Up to value of monthly charge in agreed contract | |
| 7.4 | Mandatory Payments – regulatory charges | | |
| | Chief Executive or Chief Financial Officer | Up to value of assessed charge | Rates CNST |
| 7.5 | Partnership Arrangements | | |
| | Lead Executive Director | Within the Board of Directors approved agreement | Sustainability & Transformation Partnerships Mid Nottinghamshire Alliance NUH Partnership gip |

| | Financial Limits (Subject to funding available in budget) | Includes: |
|------------|---|--|
| 8 | CAPITAL EXPENDITURE AND BUSINESS CASES – including external tenders for services provided, investments and disinvestments | |
| 8.1 | Total Project Value / Cost Implications | |
| | Board of Directors | Over £1,000,000 |
| | Finance Committee | Up to £1,000,000 |
| | Executive Team | Up to £250,000 |
| | Capital Oversight Group | Up to £100,000 |
| | Advised by Finance Committee - over £250,000 subject to NHSI approval where necessary Subject to Executive Team approval and part of approved Capital plan Over £250,000 subject to NHSI approval where necessary | |
| 9 | ASSET DISPOSALS | |
| 9.1 | Asset Register items (Net Book Value) – including accelerated depreciation | |
| | Board of Directors | Any value |
| | Chief Financial Officer - reported to the Audit and Assurance Committee | Over £25,000 |
| | Head of Financial Services | Up to £25,000 |
| | | Land and Buildings All other assets All other assets |
| 9.2 | Non-Asset Register items (Replacement Cost) | |
| | Chief Financial Officer - reported to the Audit and Assurance Committee | Over £25,000 |
| | Head of Financial Services | Up to £25,000 |
| | Divisional General Managers | Up to £1,000 |
| 10 | COMMERCIAL SPONSORSHIP | |
| | Chief Financial Officer Executive Directors | Over £5,000 |
| | | Up to £5,000 |
| 11 | VIREMENTS | |
| | Executive Directors / Chief Operating Officer / Deputy Chief Financial Officer | Over £5,000 |
| | Budget Holders | Up to £5,000 |
| | | Total Division/Department budget remains in balance Total Division/Department budget remains in balance |