



Sherwood Forest Hospitals
NHS Foundation Trust

SCHEME OF DELEGATION

CONTENTS

	SECTION
INDEX OF DELEGATED MATTERS	1
INTRODUCTION	2
RESERVATION OF POWERS TO THE BOARD OF DIRECTORS	3
DELEGATION OF POWERS TO COMMITTEE	4
SCHEME OF DELEGATION TO OFFICERS	5
DELEGATED MATTERS	Table A
DELEGATED FINANCIAL LIMITS	Table B

1. INDEX OF DELEGATED MATTERS

DELEGATED MATTERS

Delegated Matter
STANDING ORDERS / STANDING FINANCIAL INSTRUCTIONS

TABLE A

Delegated Matter	Reference No.
AUDIT ARRANGEMENTS	1
AUTHORISATION OF CLINICAL TRIALS	2
AUTHORISATION OF NEW DRUGS	3
BANK/OPG ACCOUNTS (EXCLUDING CHARITABLE FUND ACCOUNTS)	4
BUSINESS CASES – INCLUDING TENDERS FOR SERVICES PROVIDED	5
CAPITAL INVESTMENT	6
CLINICAL AUDIT	7
COMMERCIAL SPONSORSHIP	8
COMPLAINTS (PATIENTS & RELATIVES)	9
CONFIDENTIAL INFORMATION	10
DATA PROTECTION ACT	11
DECLARATION OF INTERESTS	12
DISPOSAL AND CONDEMNATIONS	13
ENVIRONMENTAL REGULATIONS	14
EXTERNAL BORROWING	15
FINANCIAL PLANNING / BUDGETARY RESPONSIBILITY	16
FINANCIAL PROCEDURES	17
FIRE PRECAUTIONS	18
FIXED ASSETS	19
FUNDS HELD ON TRUST	20
HEALTH & SAFETY	21
HOSPITALITY/ GIFTS	22
INFECTIOUS DISEASES & NOTIFIABLE OUTBREAKS	23
IM&T	24
LEGAL PROCEEDINGS	25
LOSSES, WRITE-OFFS & COMPENSATION	26
MEETINGS	27
MEDICAL	28
NON PAY EXPENDITURE	29
NURSING	30
PATIENTS SERVICES AGREEMENTS	31
PATIENTS' PROPERTY	32
PERSONNEL & PAY	33
QUOTATIONS, TENDERING & CONTRACT PROCEDURES - PURCHASES	34
RECORDS	35
REPORTING INCIDENTS TO THE POLICE	36
RISK MANAGEMENT	37
SEAL	38
SETTING OF FEES & CHARGES	39
STORES AND RECEIPT OF GOODS	40

TABLE B - DELEGATED FINANCIAL LIMITS

Delegated Limit	Reference No.
CHARITABLE FUNDS	1
General Funds	1.1
LOSSES AND SPECIAL PAYMENTS	2
Losses	2.1
Special Payments – Clinical Negligence	2.2
Special Payments – Non-Clinical Negligence	2.3
Special Payments – Other	2.4
HOSPITALITY/GIFTS	3
Petty Cash Disbursements	4
Sundry Exchequer Items	4.1
Petty Cash Float Reimbursement	4.2
PATIENTS' PROPERTY (including cash)	5
Inpatients and Discharged Patients	5.1
Deceased Patients	5.2
QUOTATIONS AND TENDERS	6
Quotations	6.1
Tenders	6.2
REQUISITIONING GOODS AND SERVICES AND APPROVING PAYMENTS WITHOUT AN APPROVED REQUISITION	7
Revenue Expenditure	7.1
Capital Expenditure	7.2
Private Financing Initiative charges	7.3
Mandatory Payments – regulatory charges	7.4
Partnership Arrangements	7.5
CAPITAL EXPENDITURE AND BUSINESS CASES	8
Total Project Value	8.1
Non-Asset Register items	8.2
ASSET DISPOSALS	9
Asset Register Items	9.1
Non-Asset Register Items	9.2
COMMERCIAL SPONSORSHIP	10
VIREMENTS	11

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 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.

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	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

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: - 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: - 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 / Divisional General Managers 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: - 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: - 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/ Head of Financial Services
		Chief Executive	Chief Financial Officer t
		Chief Financial Officer	Deputy Chief Financial Officer Chief Financial Officer
		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 Directors / Divisional Matrons / Patient Experience Manager
b)	Responsibility for ensuring complaints relating to a division / department are investigated thoroughly	Executive Medical Director	Divisional Clinical Directors / Divisional Matrons
c)	Medico - Legal Complaints Coordination of their management	Executive Medical Director	Legal Services Manager
10.	Confidential Information		
	Review of the Foundation Trust's compliance with the Caldicott report on protecting patients' confidentiality in the NHS	Caldicott Guardian	Chief Nurse / Executive Medical Director
	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		
	- Maintaining a register - Declaring relevant and material interest	Chief Executive All Directors	Director of Corporate Affairs All staff
13.	Disposal and Condemnations		
	- 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: 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/I
f)	Leases (including property, equipment and operating leases) - 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 officer Chief Executive / Chief Financial Officer Chief Financial Officer – subject to agreement by NHSE/I
g)	Finance leases (any value)	Board of Directors	

DELEGATED MATTER		DELEGATED TO	OPERATIONAL RESPONSIBILITY / AUTHORITY
16. Financial Planning / Budgetary Responsibility			
a)	Setting: - 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: - 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 Preparation of: - Annual Accounts - Annual Report	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
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	Deputy Chief Financial Officer
		Chief Executive	Company Secretary
		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: - 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
18. Fire Precautions	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 / Fire Prevention & Security Management Specialist

TABLE A.5

DELEGATED MATTER		DELEGATED TO	OPERATIONAL RESPONSIBILITY / AUTHORITY
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: 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 - Preparation and monitoring of budget - Reporting progress and performance against budget	Charitable Funds Committee Chief Financial Officer Chief Financial Officer	Community Involvement Manager Community Involvement Manager with advice from Head of Financial Services Community Involvement Manager with advice from Head of Financial Services
g)	Operation of Bank Accounts: - Managing banking arrangements and operation of bank accounts - Opening bank accounts	Chief Financial Officer Chief Financial Officer	Head of Financial Services Head of Financial Services
h)	Investments: - Nominating deposit taker - Placing transactions in accordance with the Charitable Funds Investment Policy	Charitable Funds Committee Chief Financial Officer	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 Health Regulations	Chief Executive	Director of People / Health and Safety Manager
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	Medical Director

TABLE A.6

DELEGATED MATTER		DELEGATED TO	OPERATIONAL RESPONSIBILITY / AUTHORITY
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	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
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 <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
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

TABLE A.7

DELEGATED MATTER		DELEGATED TO	OPERATIONAL RESPONSIBILITY / AUTHORITY
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			
	- Clinical Governance arrangements - Medical Leadership - Programmes of medical education - Clinical staffing plans - Matters involving individual professional competence of medical staff - Medical Research	Chief Nurse Executive Medical Director Executive Medical Director Chief Executive Executive Medical Director Executive Medical Director	Head of Governance / Lead Clinician for Clinical Audit / Divisional Clinical Directors / Service Directors / Divisional Matrons Divisional Clinical Directors / Service Directors Director of Medical Education Service Directors Divisional Clinical Directors Research Governance Committee Chairman / Head of Research and Innovation
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 Department
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 Matrons
b)	Matters involving individual professional competence of nursing staff	Chief Nurse	Deputy Director of Nursing / Divisional Matrons
c)	Compliance with professional training and development of nursing staff	Chief Nurse	Deputy Director of Nursing / Divisional Matrons
d)	Quality assurance of nursing processes	Chief Nurse	Deputy Director of Nursing / Divisional Matrons
31. Patient Services Agreements			
a)	Negotiation of Foundation Trust Contract and Non Commercial Contracts	Chief Executive	Chief Financial Officer / Strategic Head of Procurement Deputy Director - Income and Performance
b)	Quantifying and monitoring out of area treatments	Chief Financial Officer	Deputy Director - Income and Performance
c)	Reporting actual and forecast income	Chief Financial Officer	Deputy Director - Income and Performance
d)	Costing Foundation Trust Contract and Non Commercial Contracts	Chief Financial Officer	Deputy Director - Income and Performance
e)	Reference Costing / Payment by Results	Chief Financial Officer	Deputy Chief Financial Officer

TABLE A.8

DELEGATED MATTER		DELEGATED TO	OPERATIONAL RESPONSIBILITY / AUTHORITY
f)	Ad hoc costing relating to changes in activity, developments, business cases and bids for funding	Chief Financial Officer	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 Department / Divisional 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 / 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 Culture and Improvement	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

TABLE A.9

DELEGATED MATTER	DELEGATED TO	OPERATIONAL RESPONSIBILITY / AUTHORITY
Authority to commit pay expenditure	Director of Human Resources and Organisational Development / Chief Financial Officer	Budget Holders
Approval of completed variable pay claims forms	Chief Financial Officer	Budget Holders
Approval of travel and subsistence expenses	Chief Financial Officer	Authorised Signatories
h) Leave		
<u>Annual Leave</u>		
Approval of annual leave	Chief Executive	Line/Departmental Manager
Approval of carry forward up to a maximum 5 days (to occur in exceptional circumstances only)	Chief Executive	Chief Executive / Executive Directors / Chief Operating Officer
Approval to pay outstanding annual leave (except for leavers)	Chief Executive	Chief Executive / Executive Directors / Chief Operating Officer
<u>Special Leave</u>	Director of People	
Compassionate leave		Divisional General Managers / Heads of Department
- Special leave arrangements for domestic/personal/family reasons - Paternity leave - Carers leave - Adoption leave		Divisional General Managers / Heads of Department
(to be applied in accordance with Foundation Trust Policy)		
Special Leave – this includes Jury Service, Armed Services, School Governor (to be applied in accordance with Foundation Trust Policy)		Divisional General Managers / Heads of Department
Leave without pay		Divisional General Managers / Heads of Department
Medical Staff Leave of Absence – paid and unpaid		Executive Medical Director
Time off in lieu		Line/Departmental Manager
Maternity Leave - paid and unpaid	Director of People	Automatic approval with guidance
<u>Sick Leave</u>		
Extension of sick leave on pay		Executive Director / Chief Operating Officer
Return to work part-time on full pay to assist recovery		Divisional General Managers / relevant Director / Deputy Chief Financial Officer
<u>Study Leave</u>		
Non-medical leave	Director of People	Relevant Executive Director / Divisional General Managers
- Medical staff study leave - 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	Director of People	Director of Human Resources and Organisational Development / Divisional General Managers
Authorisation of payment of removal expenses incurred by officers taking up new appointments (providing consideration was promised at interview)		
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 Department

TABLE A.10

DELEGATED MATTER		DELEGATED TO	OPERATIONAL RESPONSIBILITY / AUTHORITY
k)	Authorised - Car Users - 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 - 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 - Chief Executive - Others	Chairman Chief Executive	To be applied in accordance with the Foundation Trust's Disciplinary Procedure
r)	Waiting List Payments Approval of Rates of Pay	Chief Executive	Chief Financial Officer / Director of 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 - Management Consultants - Management of use and booking of bank staff a. Nursing b. Other - Management of use and booking of agency staff 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: - Best value for money is demonstrated for all services provided under contract or in-house - Nominate officers to oversee and manage contracts on behalf of the Foundation Trust	Chief Financial Officer Chief Financial Officer	Strategic Head of Procurement Divisional General Managers / Heads of Department
b)	Competitive Tenders: - 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 Company Secretary 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 - 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

TABLE A.11

DELEGATED MATTER		DELEGATED TO	OPERATIONAL RESPONSIBILITY / AUTHORITY
35. Records			
a)	Review Foundation Trust's compliance with the Records Management Code of Practice for Health and Social Care	Senior Information Risk Owner	Executive Directors / Divisional General Managers / Heads of Department
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 * Criminal offence of a violent nature * Arson or theft * Other	Chief Executive	Executive/Senior Manager On-call / Divisional General Managers / Heads of 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			
	Ensuring the Foundation Trust has a Risk Management Strategy and a programme of risk management	Chief Executive	Director of Corporate Affairs
	Developing systems for the management of risk	Director of Corporate Affairs	Risk and Assurance Manager
	Developing incident and accident reporting systems	Chief Nurse / Executive Medical Director / Director of Corporate Affairs	Divisional Clinical Directors / Risk and Assurance Manager / Deputy Head of Nursing for Quality Governance / Health & Safety Manager / Patient Safety Manager
	Compliance with the reporting of incidents and accidents	Chief Nurse / Executive Medical Director / Director of Corporate Affairs	All staff
	Compliance with statutory safeguarding children and young people requirements	Chief Nurse	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
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			

TABLE A.12

DELEGATED MATTER		DELEGATED TO	OPERATIONAL RESPONSIBILITY / AUTHORITY
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 Up to £25,000 - reported to the Audit and Assurance Committee	
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 Up to £10,000 - reported to the Audit and Assurance Committee	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 Up to £25,000 - reported to the Audit and Assurance Committee	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
	Executive Board Members	Up to £100,000	Voting and non-voting members
	Prime Budget Holders	Up to £50,000	Divisional General Managers / Deputy Divisional General Managers / Clinical Directors / Chief Pharmacist / Divisional Nurse Matrons / Deputy Directors reporting directly to Executive Board Members
	Discretionary Spend, Consultancy, and Professional fees and training.	Up to £50,000	Divisional General Managers
	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 per cost centre Ward Leaders / Heads of Department
	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

	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	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
	Finance Committee	Up to £1,000,000	
	Executive Team	Up to £250,000	
	Capital Oversight Group	Up to £100,000	
9	ASSET DISPOSALS		
9.1	Asset Register items (Net Book Value) – including accelerated depreciation		
	Board of Directors	Any value	Land and Buildings
	Chief Financial Officer - reported to the Audit and Assurance Committee	Over £25,000	All other assets
	Head of Financial Services	Up to £25,000	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		Conditions:
	Executive Directors / Chief Operating Officer / Deputy Chief Financial Officer	Over £5,000	Total Division/Department budget remains in balance
	Budget Holders	Up to £5,000	Total Division/Department budget remains in balance