

SCHEME OF RESERVATION AND DELEGATION

CONTENTS

Record of Amendments	Section
Decisions Reserved to the Council of Governors	1
Decisions Reserved to the Board	2
Decisions / Duties Delegated by the Board to Committees	3
Delegated Authority	4
Delegated Matters	Table A
Delegated Financial Limits	Table B

Record of Amendments

1	Updated document issued for implementation
2	
3	
4	
5	
6	
7	
8	
9	
10	
11	
12	
13	
14	
15	
16	
17	
18	
19	
20	
21	
22	
23	
24	
25	
26	
27	
28	
29	
30	
31	
32	
33	
34	
35	

SECTION 1 – DECISIONS RESERVED TO THE COUNCIL OF GOVERNORS

REF	RESERVED TO	DECISIONS RESERVED TO THE COUNCIL OF GOVERNORS
N/A	Council of Governors	General enabling provision – no decisions reserved
N/A	Council of Governors	Regulations and Control – no decisions reserved
N/A	Council of Governors	Appointments/Dismissal
	1	Appoint, and, if appropriate, remove the Chair
	2	Appoint, and if appropriate, remove the other Non-Executive Directors
	3	Approve the appointment of the Chief Executive
	4	Appoint, and if appropriate, remove the NHS Foundation Trust's auditor
	5	To appoint the Lead Member of the Council of Governors
	6	To decide the remuneration and allowances and other terms and conditions of office, of the Non-Executive Directors
	7	Contribute to the annual appraisal of the Chairman (led by Senior Independent Director)
	8	Receive the outcomes of the annual appraisals of the Non-Executive Directors
N/A	Council of Governors	Strategy, Business Plans and Budgets
	1	Provides views of membership to inform the formal plan
	2	Comment on annual Board Statements
	3	Provide input into the Trust's processes for identifying and prioritizing the Quality Accounts Indicator

REF	RESERVED TO	DECISIONS RESERVED TO THE COUNCIL OF GOVERNORS
N/A	Council of Governors	Policy Determination
	1	Preparation and review of the Trust's Membership Development Strategy ensuring representation and engagement levels are maintained and increased as appropriate
	2	Conduct a bi-annual survey of members
	3	Evaluate (annually) the effectiveness of the Council of Governors and identify objectives/actions for the year ahead
	4	Comment and support the Trust's Visions for Patient and Family Experience; and staff experience; and strategies for fundraising, volunteering and corporate social responsibility.
	5	Review the Policy on the Composition of Council of Governors (bi-annual)
	6	Review the Policy on the Composition of Non-Executive Directors (bi-annual)
	7	In preparing the NHS Foundation Trust's Forward Plan, the Board of Directors must have regard to the views of the Council of Governors
N/A	Council of Governors	Audit
	1	Appoint, and if appropriate, remove the external auditor
	2	Review the performance of the external auditor, at least annually
N/A	Council of Governors	Annual Report and Accounts
	1	To receive and accept the Annual Report, Accounts and Financial Statements and any report of the External Auditor on them and the Trust's Annual Report.

REF	RESERVED TO	DECISIONS RESERVED TO THE COUNCIL OF GOVERNORS
N/A	Council of Governors	Monitoring
	1	To hold the Board of Directors collectively to account for the performance of the NHS Foundation Trust, ensuring that the Board acts so that the Trust does not breach its terms of authorisation
	2	Feeding back information about the NHS Foundation Trust, its vision and performance to the constituencies and the stakeholder organizations which appointed / elected them
N/A	Council of Governors	Nominations and Remuneration Committee (Non-executives)
		<p>The Committee shall:</p> <ul style="list-style-type: none"> • Recommend and agree with the Council of Members a process for nomination of a new Chair or NED • Recommend to the Council of Members following receipt of confirmation from the Chair and Senior Independent Director that the performance of the individual continues to be effective. • Recommend suitable levels of remuneration and terms of service (including expenses) for the Chair and Non-Executive Directors after taking expert advice from the Chief People Officer or an appropriate external body.

SECTION 2 – DECISIONS RESERVED TO THE BOARD

REF	RESERVED TO	DECISIONS RESERVED TO THE BOARD
N/A	Board	General enabling provision
	1	The Board may determine any matter it wishes, for which it has delegated or statutory authority, in full session within its statutory powers.
N/A	Board	Regulations and Control
	1	Review and amend, a schedule of matters reserved to the Board and Standing Financial Instructions for the regulation of its proceedings and business.
	2	Suspend Standing Orders in accordance with SO 4.13 & 4.10 (Annex 7 & 8 Constitution).

REF	RESERVED TO	DECISIONS RESERVED TO THE BOARD
	3	Vary or amend the Standing Orders in accordance with SO 4.14 & 4.13 (Annex 7 & 8 Constitution).
	4	Ratify any urgent decisions taken by the Chairman and Chief Executive in accordance with SO 5.2 (Annex 8 Constitution).
	5	Approve a scheme of delegation of powers from the Board to committees.
	6	Require and receive the declaration of Board members' interests which may conflict with those of the Trust and determining the extent to which that member may remain involved with the matter under consideration.
	7	Require and receive the declaration of officers' interests, which may conflict, with those of the Trust
	8	Approve arrangements for dealing with complaints.
	9	Adopt the organisation structures, governance arrangements, processes and procedures to facilitate the discharge of business by the Trust and to agree modifications thereto.
	10	Receive reports from committees including those which the Trust is required by regulation to establish and to take appropriate action thereon.
	11	Confirm the recommendations of the Trust's committees where the committees do not have executive powers.
	12	Approve arrangements relating to the discharge of the Trust's responsibilities as a corporate trustee for funds held on trust.
	13	Establish terms of reference and reporting arrangements of all committees and sub committees, which are established by the Board.
	14	Approve arrangements relating to the discharge of the Trust's responsibilities as a bailee for patients' property.
	15	Authorise use of the seal.
	16	Ratify or otherwise instances of failure to comply with Standing Orders (included in Annex 7 & 8 Constitution), brought to the Chief Executive's attention
	17	Discipline members of the Board or employees who are in breach of statutory requirements or SOs (included in Annex 7 & 8 Constitution).
N/A	Board	Appointments/Dismissal
	1	Appoint and dismiss committees (and individual members) which are directly accountable to the Board.
	2	Appoint, appraise, discipline and dismiss executive directors.

REF	RESERVED TO	DECISIONS RESERVED TO THE BOARD
	3	Confirm appointment of members of any committee of the Trust as representatives on outside bodies.
N/A	Board	Strategy, Business Plans and Budgets
	1	Define the strategic aims and objectives of the Trust.
	2	Approve proposals for ensuring quality and developing clinical governance in services provided by the Trust, having regard to any guidance issued by the Secretary of State.
	3	Ratify the Trust's policies and procedures, for the management of risk.
	4	Approve Strategic Outline Cases, Outline Business Cases and Final Business Cases for Capital Investment.
	5	Approve the medium term financial strategy and annual financial plan.
	6	Approve Trust's organisational development plan.
	7	Ratify proposals for acquisition, disposal or change of use of land and/or buildings.
	8	Approve PFI proposals.
	9	Approve the opening of bank accounts.
	10	Approve proposals on individual contracts of a capital or revenue nature amounting to over £500,000
	11	Approve proposals in individual cases where the write-off of losses or making of special payments is above the limits of delegation.
	12	Approve individual compensation payments in excess of £50,000 to staff or £50,000 to other parties.
	13	Approve proposals for action on litigation against or on behalf of the Trust where the likely financial impact is expected to exceed £10,000 or be contentious or novel or likely to lead to extreme adverse publicity, excluding claims covered by the NHS Risk pooling schemes.
	14	Approve any change to the use of the NHS risk pooling schemes or approve arrangements to self-insure.
N/A	Board	Policy Determination
	1	Approve management policies including personnel policies incorporating the arrangements for the appointment, removal and remuneration of staff.

REF	RESERVED TO	DECISIONS RESERVED TO THE COUNCIL OF GOVERNORS	
N/A	Council of Governors	Audit	
		1	Review of the annual management letter received from the external auditor taking account of the advice, where appropriate, of the Audit Committee.
		2	Receive an annual report from the Internal Auditor and agree action on recommendations where appropriate from the Audit Committee.
N/A	Council of Governors	Annual Report and Accounts	
		1	Receipt and approval of the Trust's Annual Report and Annual Accounts as prepared by the Audit Committee.
		2	Receipt and approval of the Annual Report and Accounts for funds held on trust.
N/A	Board	Monitoring	
		1	Receipt of such reports as the Board sees fit from committees in respect of their exercise of powers delegated.
		2	Continuous appraisal of the affairs of the Trust by means of the provision to the Board, as the Board may require from directors, committees and officers of the Trust as set out in management policy statements. All monitoring returns required by the Department of Health, the Independent Regulator and the Charity Commission shall be reported, at least in summary, to the Board.
		3	Receive reports from the Chief Finance Officer on financial performance against budget and the annual plan.
		4	Receive reports from the Finance and Performance Standing Committee on actual and forecast income from Long Term Service Contracts.

SECTION 3 – DECISIONS / DUTIES DELEGATED BY THE BOARD TO COMMITTEES

REF	COMMITTEE / GROUP	DECISIONS/DUTIES DELEGATED BY THE BOARD TO COMMITTEES
Corporate Governance Manual	Quality Committee	<p>The Committee shall:</p> <ul style="list-style-type: none"> • Ensure that appropriate quality standards in relation to clinical outcomes, safety and patient and family experience are set and compliance with them is monitored • Promote safety and quality in patient care and experience and help to identify priorities and risks arising from clinical care and treatment on a continuing basis. • Receive assurances on the content of the Quality Strategy in relation to the targets set and on the quality of data reported to measure these targets • Assess the clinical and quality impact of financial decisions e.g. Cost Improvement programmes • Review and scrutinise in-year quality monitoring reports, ensuring the integrity of data • Seek assurance that the Trust is compliant with external regulations and standards of quality governance • Receive assurance that the patient safety agenda is implemented throughout the Trust • Receive assurance via the quality report that the patient and family experience agenda is implemented throughout the Trust • Receive assurance that the R&D agenda is implemented throughout the Trust. • Receive assurance that the clinical effectiveness agenda is implemented throughout the Trust. • Consider and seek assurances in relation to any risks relating to its remit and will identify and escalate any new or emerging risks arising from its work. • Receive external assurance reports from the CQC and regulatory/statutory bodies in relation to the quality and patient safety agenda and ensure that management responses are robust. • Consider urgent or material matters referred to the Committee by the Operational Board, Audit Committee or Board of Directors.
Corporate Governance Manual	Integrated Performance Committee	<p>The Committee shall:</p> <ul style="list-style-type: none"> • Review and scrutinise assurance that the Trust is operating and will continue to operate within the terms of its licence, regulatory requirements and statutory obligations. • Ensure that appropriate data quality standards are set and compliance with these standards is monitored.
		<ul style="list-style-type: none"> • Focus on the current and forecast performance against all regulatory and statutory targets.

		<ul style="list-style-type: none"> • Review Annual Plan and in-year NHS Improvement Returns prior to submission • Receive assurance in relation to: <ul style="list-style-type: none"> - Current and forecast financial and operational performance against annual plan submitted to NHS Improvement - CIP progress - Contract performance - Financial and operational performance at directorate and service line level - Capital planning - Productivity - Relevant workforce metrics <p>Regulatory and statutory guidance:</p> <ul style="list-style-type: none"> - Receive a report which summarises new and emerging guidance from regulators and external agencies - Receive external assurance reports from regulatory bodies and external agencies on matters falling within the remit of the Committee - Receive assurance on relevant workforce metrics. <ul style="list-style-type: none"> • Consider and seek assurance in relation to any risks relating to its remit and will identify and escalate any new or emerging risks arising from its work, through the BAK key issues reporting process. • Consider urgent or material matters referred to the Committee by the Operational Board, Audit Committee or Board of Directors.
Corporate Governance Manual	People Committee	<p>The Committee shall:</p> <ul style="list-style-type: none"> • Provide the Board of Directors with a means of independent and objective review of Team LHCH at its Best Framework in line with the annual planning process. • Review and scrutinise assurance that the Trust's strategic priorities for attracting, developing and retaining the best staff are identified, implemented and monitored. • Promote best practice in HR and Organisational Learning and Development and help to identify priorities and risk on a continuing basis. • Receive assurance that Team LHCH and its Best Framework is being delivered and monitor its effectiveness in supporting the Trust's Strategic Objectives and is aligned with the NHS Interim People Plan and NHS People plan.

		<ul style="list-style-type: none"> • Receive assurance that staff engagement and satisfaction levels are improving through developed service improvement and engagement methodologies and recognition and reward initiatives. • Receive assurance that the Equality and Inclusion Strategy is being delivered • Receive assurance reports on compliance with the workforce NHS Constitution pledges • Receive external assurance reports from CQC and other regulatory / statutory bodies in relation to the workforce agenda and ensure that management responses / action plans are robust. • Consider urgent or material matters referred to and from other Committees or Board of Directors. • Review Key Workforce Performance Indicators including sickness absence, bank/agency usage and expenditure, education and development, appraisal and staff turnover and ensure agreed targets are being met. • Receive assurance that the Trust is recruiting the right staff first time with the roll out of value based recruitment. • Provide assurance to the Board on compliance with relevant HR legislation and best practice including doctors and nursing revalidation. • Review and monitor implementation of the Trust's annual workforce plans • Monitor performance against relevant HR policies and procedures. • Receive an annual report on all Employee Relations activity, including the Staff Partnership Forum and Local Negotiating Committee, Workforce Development Group and People Delivery Group • Receive reports and action plans on the requirements of new and emerging guidance from regulators and external agencies that relate to workforce • Receive assurance the Trust has a robust Job Planning process in place and that maximum value is being achieved. • Receive summaries of high level contractual agreements and associated risks from external agencies/ bodies including HENW, HEIs and other partnerships. • Receive the 'Doctors in Training' annual survey and the Deanery annual visit results and monitor delivery of any action plans arising. • Receive assurance that all staff are receiving an effective annual appraisal and that robust succession plans and talent management processes are in place. • Receive assurance that the Trust is providing the right education and development opportunities for all our staff to achieve their maximum potential and adhere to their professional standards • Receive assurance that the Trust is developing a well led workforce with the right leadership behaviours and management skills to deliver Team LHCH
--	--	--

		<ul style="list-style-type: none"> • Receive assurance that the Trust is supporting effective organisational change to deliver our priorities and ensuring our services are sustainable. • Receive the results and monitor progress against action plans in relation to the National NHS Staff Survey, Staff Friends and Family Test and other workforce satisfaction measures as agreed. • Receive assurance that the workforce can be its best through offering Health and Wellbeing support, flexible working options and creating a healthy workplace, enabling good attendance. • Receive assurance that staff are rewarded and recognised for their contribution and performance. • Receive assurance against the delivery of key deliverables of the Trust retention plan.
Corporate Governance Manual	Audit Committee	<p>The Committee shall:</p> <ul style="list-style-type: none"> • Review the establishment and maintenance of an effective system of integrated governance risk management and internal control, across the whole of the organisation's activities (both clinical and non-clinical) that support the achievement of the organisation's objectives. • Ensure that there is an effective internal audit function established by management that meets the Public Sector Internal Audit Standards 2013 and provides appropriate independent assurance to the Committee, Accountable Officer and Board of Directors. • Review the work and findings of the External Auditor and consider the implications and management responses to their work. • Satisfy itself that the organisation has adequate arrangements in place for counter fraud and security that meet NHS Protect standards and shall review the outcomes of the work in these areas. • Monitor the integrity of the financial statements of the Trust and any formal announcements made by the Trust in relation to its financial performance • Review on behalf of the Board of Directors the operation of, and proposed changes to the Governance manual including standing financial instructions, the constitution, codes of conduct and standards of business conduct; including maintenance of registers • To examine the circumstances of any significant departure from the requirements of any foregoing at 5.6.1, whether those departures relate to failing, an overruling or suspension • To review the scheme of delegation • To ensure the action plans relating to regulatory requirements are monitored and delivered • Review the effectiveness of arrangements in place for allowing staff to raise (in confidence) concerns about possible improprieties in financial, clinical or safety matters and ensure that any such concerns are investigated proportionally and independently.

		Further information on the full duties and responsibilities of the committee can be found in the terms of reference
Corporate Governance Manual	Charitable Funds Committee	<p>The Committee shall:</p> <ul style="list-style-type: none"> • Develop the strategy and objectives for the Charity for consideration and approval by the Corporate Trustee • Oversee the implementation of an infrastructure appropriate to the efficient and effective running of the Charity • Oversee the development and delivery of the Fundraising Strategy, as aligned to the Trust's annual plan • Oversee the expenditure of the Charity • Oversee the Charity's Investment Plans • Monitor the performance of all aspects of the Charity's activities and ensures that it adheres to the principles of good governance and complies with all relevant legal requirements • Act as the Committee that discharges the Board's responsibilities (as sole Corporate Trustee) as they relate to Charitable Funds under the Trust's custodianship. • Ensure that the charitable funds held by the Trust are managed in a manner consistent with the requirements of the relevant regulatory and statutory frameworks and in accordance with the guidance on NHS Charities set out by the Charity Commission. • When in this role act solely in the best interests of the Charity and in a manner consistent with the Charity Commission's requirements and expectations of the Corporate Trustee. • Oversee the Charity's strategy, governance, major plans and key risks on behalf of the Corporate Trustee. • Establish, prioritise and approve major fundraising projects in accordance with the strategy and approve expenditure items in accordance with delegated authority levels set out in Standing Financial Instructions. • Monitor the performance of fundraising and marketing activity, ensuring that the return on investment is satisfactory and that income targets are met. • Devise and implement an investment strategy for the charity, including the appointment and monitoring of any investment managers • Ensure the approval and submission of statutory returns, annual accounts and Trustee's • Report in accordance with the Charity Commission's Statement of Recommended Practice. • Approve any policies and procedures required for the effective management of the Fund

Corporate Governance Manual	Nominations and Remuneration Committee (Executives)	<p>The Committee shall:</p> <ul style="list-style-type: none"> • Monitor and review the composition of executive and associate directors in terms of size and balance of experience, skills and qualifications. • Appoint or remove the Chief Executive, executive directors and associate directors (NB the appointment of the CEO must be approved by the Council of Governors). • Ensure compliance with the terms of LHCH constitution and best governance practice with regard to the processes for making executive director and associate director appointments to the Board of Directors. • Authorise release dates following resignation/ removal of an executive director from office, where these are earlier than completion of the contractual notice period, having regard to a full risk assessment of the circumstances, including consideration of potential 'Acting Up' arrangements, • Decide and review the terms and conditions of service of the foundation trust's executive directors and associate directors in accordance with all relevant foundation trust policies, including: <ul style="list-style-type: none"> - Salary, including any performance-related pay or bonus - Provisions for other benefits, including pensions and cars; and - Allowances. • Monitor and evaluate the performance of individual executive directors and associate directors. • Adhere to all relevant laws, regulations and NHS policy in all respects, including (but not limited to) determining levels of remuneration that are sufficient to attract, retain and motivate executive and associate directors whilst remaining cost effective. • Advise upon and oversee contractual arrangements for executive directors and associate directors, including but not limited to termination payments. • Keep under review executive and associate director development and succession planning.
Corporate Governance Manual	Operational Board	<p>The Operational Board shall:</p> <ul style="list-style-type: none"> • Ensure the operational implementation and delivery of strategies and objectives as direct by the Board of Directors, including oversight and implementation of the Trust's: <ul style="list-style-type: none"> - annual plan and underpinning operational plans (including financial, capacity and workforce plans) - estates plan and capital programme - strategic objectives • Monitor the operational performance of the Trust (service and financial) and satisfy itself an the Board of Directors that the operational performance of the Trust is adequate;

		<ul style="list-style-type: none"> • Approve the terms of reference and membership of its reporting subcommittees and overs the work of those subcommittees, receiving reports from them for consideration and action necessary and routinely receiving the minutes of their meetings. These sub committees are: <ul style="list-style-type: none"> - Division of Surgery – Governance and Performance - Division of Medicine – Governance and Performance - Division of Clinical Services – Governance and Performance; - Risk Management and Corporate Governance; - Finance & Improvement Steering Group • Review the completeness and accuracy of the Corporate Risk Register and challenge the sufficiency of mitigating action plans. • Monitor the adequacy of progress made in mitigating corporate risks, identifying any area where additional action is required and escalating risks to the Board of Directors where appropriate. • Approve relevant business cases, service changes and investments. • Review and approve Trust-wide policies and procedures developed by sub-committees. • Review the impact of new & emerging guidance from regulators and external agencies and preparing the Trust response to it. <p>The Operational Board is responsible for ensuring that all operational components of the Trust services are on track to meet the business objectives of the organisation. The Operational Board will drive delivery of the annual plan and make informed decisions (within approved delegated limits) relation to business investment / disinvestment and the development of the estate.</p>
--	--	---

Delegated Authority

If the Chief Executive is absent powers delegated to them may be exercised by the nominated officer(s) acting in their absence after taking appropriate financial advice, two directors will be required to ratify any decisions within the Chief Executive's thresholds.

DELEGATED MANNER	DELEGATED TO	OPERATIONAL RESPONSIBILITY
1. Standing Orders (included in Annex 7 & 8 Constitution)/Standing Financial Instructions		
a) Final authority in interpretation of Standing Orders	Chairman	Director of Corporate Affairs
b) Notifying Directors and employees of their responsibilities within the Standing Orders and Standing Financial Instructions and ensuring that they understand the responsibilities	Director of Corporate Affairs	All Directors and Employees
c) Responsibility for security of the Foundation Trust's property, avoiding loss, exercising economy and efficiency in using resources and conforming with Standing Orders, Financial instructions 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 Committee	Audit 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 non-executives
h) Disclosure of non-compliance with Standing Orders to the Chief Executive (report to the Board of Directors).	All Staff	All Staff
i) Disclosure of non-compliance with SFIs to the Chief Finance Officer (report to the Audit Committee)	All Staff	All Staff

j) Advice on interpretation or application of SFIs and this Scheme of Delegation	Chief Finance Officer	Chief Finance Officer/Internal Audit
--	-----------------------	--------------------------------------

Table A – Delegated Matters

DELEGATED MANNER	DELEGATED TO	OPERATIONAL RESPONSIBILITY
1. Audit Arrangements		
a) To make recommendations to the Council of Governors in respect of the appointment, re appointment and removal of the external auditor and to approve the remuneration in respect of the external auditor.	Audit Committee (for recommendation to the Council of Governors for approval).	Chief Finance Officer
b) Monitor and review the effectiveness of the internal audit function.	Audit Committee	Director of Internal Audit / Chief Finance Officer
c) Review, appraise and report in accordance with Internal Audit Standards (IAS) and best practice.	Audit Committee	Director of Internal Audit
d) Provide an independent and objective view on internal control and probity.	Audit Committee	Internal Audit / External Audit
e) Ensure cost-effective audit service	Audit Committee	Chief Finance Officer
f) Implement recommendations	Chief Executive	Relevant Officers
2. Trials & Research Projects		
a) Authorisation of Clinical Trials and Research Projects	Chief Executive	Research & Innovation Group
b) Financial Management of Clinical Trials and Research Projects in accordance with all Trust financial policies and procedures	Chief Finance Officer	Deputy Chief Finance Officer with relevant clinicians and budget managers
c) Authorisation of product trials	Chief Executive	Head of Procurement / Deputy Chief Finance Officer
3) Authorisation of New Drugs	Chief Executive	Medical Director through Drugs and

		Therapeutics Committee
4) Bank/Government Banking Service 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"> - Government Banking Service schedules - BACs schedules - Automated cheque schedules - Manual cheques 	Chief Finance Officer	Head of Financial Services
	Chief Finance Officer	Head of Financial Services
	Chief Finance Officer	In accordance with the bank mandate
	Chief Finance Officer	To be completed in accordance with bank mandate/internal procedures
	Chief Finance Officer	To be completed in accordance with bank mandate/internal procedures
b) Investments: <ul style="list-style-type: none"> - Investment of surplus funds in accordance with the Foundation Trust's investment policy - Development & maintenance of investment procedures 	Chief Finance Officer	Deputy Chief Finance Officer
	Chief Finance Officer	Deputy Chief Finance Officer
c) Petty Cash	Chief Finance Officer	Refer To Table B Delegated Limits
5. 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 / Service development Strategy 	Chief Executive	Chief Finance Officer

<ul style="list-style-type: none"> - Preparation of Capital Investment Programme - Preparation of a business case - Financial monitoring and reporting on all capital scheme expenditure including variations to contract - Contracting: Selection of architects, quantity surveyors, consultant engineers and other professional advisors within EU regulations and Trust tender procedures. - Authorisation of capital requisitions - Assessing the requirements for the operation of the construction industry taxation deduction scheme. - 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 resource to finance all revenue consequences. - Issue procedures to support: <ul style="list-style-type: none"> - Capital Investment - Staged payments - Issue procedures governing financial management, including variation to contract, of capital investment projects and valuation for accounting purposes. - Issuing the capital scheme project manager with specific authority to commit capital, proceed / accept tenders in accordance with the SO's and SFI's 	Chief Executive	Chief Finance Officer or nominated deputy
	Chief Executive	Allocated Lead Director
	Chief Finance Officer	Head of Financial Services
	Chief Executive	Chief Finance Officer with external advice as required
	Chief Executive	Refer to Table B Delegated Limits
	Chief Finance Officer	Head of Financial Services
	Chief Executive	Chief Finance Officer / Deputy Chief Finance Officer
	Chief Executive	Chief Finance Officer
	Chief Executive	Deputy Chief Finance Officer
	Chief Finance Officer	Deputy Chief Finance Officer
	Chief Executive	Chief Finance Officer

b) 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 Finance Officer
c) Leases (property and equipment) <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 Finance Officer Chief Executive / Chief Finance Officer
6. Clinical Audit	Chief Executive	Director of Research and Innovation
7. Commercial Sponsorship		
<ul style="list-style-type: none"> - Agreement to proposal 	Chief Executive	Directors/ Divisional Heads of Operations Heads of Department. Approval and registration in line with Trust Standards of Business Conduct.
8. Complaints (Patients & Relatives)		
a) Overall responsibility for ensuring that all complaints are dealt with effectively	Chief Executive	Customer Services Manager, Divisional Heads of Operations and Assistant Directors of Nursing/Heads of Department
b) Responsibility for ensuring complaints relating to a division / department are investigated thoroughly.	Chief Executive	Customer Services Manager, Divisional Heads of Operations and Assistant Directors of Nursing/ Heads of Department
9. Confidential Information		
Review of the Foundation Trust's compliance with the Caldicott report on protecting patients confidentiality in the NHS	Chief Executive Chief Executive	Director of Nursing & Quality / Medical Director

Freedom of Information Act compliance code	Chief Executive	Chief Information Officer
Data Security Arrangements		Chief Information Officer
10. Data Protection Act		
a) Review of Foundation Trust's compliance	Chief Executive	Chief Information Officer
11. Declaration of Interest		
<ul style="list-style-type: none"> Maintaining register of interest 	Director of Corporate Affairs	Director of Corporate Affairs
<ul style="list-style-type: none"> To ensure Board of Directors / Senior Managers / Senior Clinicians / Department Heads / all senior staff have declare relevant and material interest. 	Director of Corporate Affairs	Board of Directors / Senior Managers / Consultants
12. 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 Finance Officer	Department Head in accordance with agreed policy Refer to Table B Delegated Limits
13. Environmental Regulations		
Review of compliance with environmental regulations, for example those relating to clean air and waste disposal.	Chief Executive	Head of Procurement Heads of Department Estates Manager
14. External Borrowing		
a) Advise Trust Board of the requirements to repay / draw down Public Dividend Capital.	Chief Finance Officer	Deputy Chief Finance Officer
b) Approve a list of employees authorised to make short term borrowings on behalf of the Foundation Trust.	Board	In accordance with relevant mandate
c) Application for draw down of Public Dividend Capital, overdrafts and other forms of external borrowing.	Chief Executive / Chief Finance Officer	In accordance with relevant mandate
d) Preparation of procedural instructions concerning	Chief Finance Officer	Head of Financial Services

<ul style="list-style-type: none"> • Providing financial advice to members of the Board of Directors and staff. • Ensure that appropriate statutory records are maintained. • Designing and maintaining compliance with all financial systems 		
17. 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	Chief Operating Officer
18. Fixed Assets		
a) Maintenance of asset register including asset identification and monitoring	Chief Executive / Chief Finance Officer	Head of Financial Services
b) Ensuring arrangements for financial control and financial audit of building and engineering contracts and property transactions comply with guidance.	Chief Finance Officer	Deputy Chief Finance Officer /Chief Operating Officer
c) Calculate and pay capital charges in accordance with the requirements of the Independent Regulator	Chief Finance Officer	Head of Financial Services
d) Responsibility for security of Foundation Trust's assets including notifying discrepancies to the Chief Finance Officer and reporting losses in accordance with Foundation Trust's procedures	Chief Executive	All staff
19. Fraud (See also 26,35)		
a) Monitor and ensure compliance in accordance with the standard NHS Contract on fraud and corruption including the appointment of the Local Counter Fraud Specialist.	Chief Executive and Chief Finance Officer	Local Counter Fraud Specialist
b) Notify NHS Protect and External Audit of all suspected Frauds	Chief Finance Officer	Local Counter Fraud Specialist
20. Funds Held on Trust (Charitable and Non Charitable Funds)		

a) Management:	Charitable Funds Committee / Chief Finance Officer	Nominated Fund holder
• Funds held on trust are managed appropriately.		
b) Maintenance of authorised signatory list of nominated fund holders.	Chief Finance Officer	Head of Financial Services
c) Expenditure Limits	Chief Executive / Chief Finance Officer	Refer To Table B Delegated Limits
d) Developing systems for receiving donations	Chief Finance Officer	Head of Financial Services
e) Dealing with legacies	Chief Finance Officer	Head of Financial Services
f) Staff costs charged to Charitable Funds	Chief Executive / Chief Finance Officer	Charitable Funds Committee
g) Fundraising Appeals	Charitable Funds Committee / Chief Finance Officer	Head of Fundraising
• Preparation and monitoring	Chief Finance Officer	Head of Financial Services
• Reporting progress and performance against budget.	Chief Finance Officer	Head of Financial Services
h) Operation of Bank Accounts:		
• Managing banking arrangements and operation of bank accounts	Chief Finance Officer in conjunction with trustees	Head of Financial Services
• Opening bank accounts	Chief Finance Officer	Head of Financial Services
i) Investments:		
• Nominating deposit taker	Charitable Funds Committee	Chief Finance Officer
• Placing transactions	Chief Finance Officer	Head of Financial Services
j) Regulation of funds with Charities Commission	Chief Finance Officer	Head of Financial Services
k) Petty Cash	Chief Finance Officer	Head of Financial Services
21. Health and Safety		

<ul style="list-style-type: none"> • Ensure that contracts for computer services for IT applications define responsibility re security, privacy, accuracy, completeness and timeliness of data during processing and storage. • Ensure that risks to the Trust from use of IT are identified and considered and that disaster recovery plans are in place. 	Chief Finance Officer	Chief Information Officer
25. Legal Proceedings		
a) Engagement of Foundation Trust's Solicitors / Legal Advisors	Chief Executive	Director of Corporate Affairs / Chief Finance Officer / Director of Strategic Partnerships / Chief People Officer
b) Approve and sign all documents which will be necessary in legal proceedings, i.e. executed as a deed.	Chief Executive	Chief Finance Officer
c) Sign on behalf of the Foundation Trust any agreement or document not requested to be executed as a deed.	Chief Executive	Nominated Officer
26. Losses, Write-off & Compensation		
<p>a) Prepare procedures for recording and accounting for losses and special payments including preparation of a Fraud Response Plan and informing NHS Protect of frauds</p> <p><u>Losses</u></p> <p>Losses of cash due to theft, fraud, overpayment & others.</p> <p>Fruitless payments (including abandoned Capital Schemes)</p> <p>Bad debts and claims abandoned.</p> <p>Damage to buildings, fittings, furniture and equipment and loss of equipment and property in stores and in use due to:</p>	Chief Executive	<p>Chief Finance Officer or nominated deputy</p> <p>Refer to Table B Delegated Limits</p>

<p>Culpable causes (e.g. fraud, theft, arson).</p> <p>b) Reviewing appropriate requirement for insurance claims</p> <p>c) A register of all of the payments should be maintained by the Finance Department and made available for inspection</p> <p>d) A report of all of the above payments should be presented to the Audit Committee</p> <p><u>Special Payments</u></p> <p>Compensation payments by Court Order</p> <p>Ex-gratia Payments:-</p> <ul style="list-style-type: none"> To patients/staff for loss of personal effects For clinical negligence after legal advice For personal injury after legal advice Other clinical negligence and personal injury Other ex-gratia payments <p>Write-Offs</p> <ul style="list-style-type: none"> Write off of NHS Debtors Write off of Non NHS Debtors <p>e) Compromise Agreement Payments</p>	<p>Chief Finance Officer</p> <p>Chief Finance Officer</p> <p>Chief Finance Officer</p> <p>Chief Executive</p> <p>Chief Executive</p> <p>Chief Executive</p> <p>Chief Executive</p>	<p>Deputy Chief Finance Officer</p> <p>Head of Financial Services</p> <p>Head of Financial Services</p> <p>Refer to Table B Delegated Limits</p> <p>Refer to Table B Delegated Limits</p> <p>Refer to Table B Delegated Limits</p> <p>Deputy Chief Finance Officer reported to the Audit Committee for approval</p> <p>Deputy Chief Finance Officer reported to the Audit Committee for approval</p> <p>Chief Executive</p>
27. Medical		
<ul style="list-style-type: none"> Clinical Governance Arrangements 	<p>Medical Director / Director of Nursing & Quality</p>	<p>Director of Research and Information</p>
<ul style="list-style-type: none"> Medical Leadership 	<p>Medical Director</p>	<p>Associate Medical Directors</p>

<ul style="list-style-type: none"> • Programmes of medical education 	Medical Director	Associate Medical Directors / Divisional Heads of Operations
<ul style="list-style-type: none"> • Medical staffing plans 	Medical Director	Associate Medical Directors / Divisional Heads of Operations
<ul style="list-style-type: none"> • Medical Research 	Medical Director	Director of Research and Innovation
28. Non Pay Expenditure		
a) Maintenance of a list of managers authorised place requisitions/orders and accept goods in accordance with Table B	Chief Executive	Deputy Chief Finance Officer / Head of Procurement
b) Obtain the best value for money when requisitioning goods / services	Chief Executive	Associate Medical Directors / Divisional Heads of Operations / Department Managers/ Assistant Directors of Nursing / Department Heads / Head of Procurement
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 Finance Officer
d) Develop systems for the payment of accounts	Chief Finance Officer	Deputy Chief Finance Officer
e) Prompt payment of accounts	Chief Finance Officer	Head of Financial Services
f) Financial Limits for ordering / requisitioning goods and services	Chief Finance Officer	Refer To Table B Delegated Limits
g) Approve prepayment arrangements	Chief Finance Officer	Chief Finance Officer
29. Nursing		
<ul style="list-style-type: none"> • Compliance with statutory and regulatory arrangements relating to professional nursing practice. 	Director of Nursing & Quality	Assistant Directors of Nursing / Matrons
<ul style="list-style-type: none"> • Matters involving individual professional competence of nursing staff. 	Director of Nursing & Quality	Assistant Directors of Nursing / Matrons

<ul style="list-style-type: none"> • Compliance with professional training and development of nursing staff. 	Director of Nursing & Quality	Assistant Directors of Nursing / Matrons
<ul style="list-style-type: none"> • Quality assurance of nursing processes. 	Director of Nursing & Quality	Assistant Directors of Nursing / Matrons
30. Patient Services Agreements		
a) Negotiation of Foundation Trust Contract and Non Commercial Contracts	Chief Executive	Chief Finance Officer
b) Quantifying and monitoring out of area treatments	Chief Finance Officer	Deputy Chief Finance Officer / Head of Income and Costing
c) Reporting actual and forecast income	Chief Executive	Deputy Chief Finance Officer / Head of Income and Costing
d) Costing Foundation Trust Contract and Non Commercial Contracts	Chief Finance Officer	Deputy Chief Finance Officer / Head of Income and Costing
e) Reference costing / Payment by Results	Chief Finance Officer	Deputy Chief Finance Officer / Head of Income and Costing
f) Ad hoc costing relating to changes in activity developments, business cases and bids for funding	Chief Finance Officer / Head of Income and Costing	Deputy Chief Finance Officer / Head of Income and Costing
31. Patient's Property (in conjunction with financial advice)		
a) Ensuring patients and guardians are informed about patients' monies and property procedures on admission	Chief Executive	Ward Managers
b) Prepare detailed written instructions for the administration of patients' property	Chief Finance Officer	Head of Financial Services
c) Informing staff of their duties in respect of patients' property	Chief Finance Officer	Divisional Heads of Operations / Department Manager / Clinical Managers / Clinical Risk Manager / Ward Manager
d) Issuing property of deceased patients (See SFI 15.9, 15.10)	Chief Finance Officer	
<ul style="list-style-type: none"> • <£4,999 in accordance with agreed Foundation Trust policies. 		Finance Staff

<ul style="list-style-type: none"> • >£5,000 only on production of a probate letter of administration 		Head of Financial Services
32. Personnel & Pay		
a) Nomination of officers to enter into contracts of employment regarding staff, agency staff or consultancy service contracts.	Chief Executive	Chief People Officer
b) Develop Human resource policies and strategies for approval by the board including training industrial relations.	Chief People Officer	Head of HR
c) Authority to fill funded post on the establishment with permanent staff.	Chief People Officer	Budget Managers and Business Partners
d) The granting of additional increments to staff within budget	Chief Executive	Budget Managers and Business Partners with Executive Team approval
e) All requests for re-grading shall be dealt with in accordance with Foundation Trust Procedure	Chief People Officer	Head of HR
f) Establishments		
<ul style="list-style-type: none"> • Additional staff to the agreed establishment with specifically allocated finance. 	Executive Team	Budget Managers and Business Partner with Executive Team approval of Directorate Teams (Divisional Heads of Operations / Associate Medical Directors / Assistant Directors of Nursing)
<ul style="list-style-type: none"> • Additional staff to the agreed establishment without specifically allocated finance. 	Chief Executive	Budget Managers and Business Partners with Executive Team approval of Directorate Teams (Divisional Head of Operations / Associate Medical Directors / Assistant Directors of Nursing)
<ul style="list-style-type: none"> • Self-financing changes to an establishment 	Chief Finance Officer	Budget Managers and Business Partners with Executive Team approval of Directorate Teams (Divisional Heads of Operations /

<p>g) Pay</p> <ul style="list-style-type: none"> • Presentation of proposals to the Foundation Trust Board for the setting of remuneration and conditions of service for those staff no covered by the Remuneration Committee. • Authority to complete standing data form effecting pay, new starters, variations an leavers • Authority to complete and authorise payroll reporting forms (SVLS) • Authority to authorise overtime • Authority to authorise travel & subsistence expenses <p>h) Leave (<i>Note entitlement may be taken in hours</i>)</p> <p><u>Annual Leave</u></p> <ul style="list-style-type: none"> • Approval of annual leave • Annual leave – approval of carry forward (up to maximum of 5 days) • Annual leave – approval of carry forward over 5 days (to occur in exceptional circumstances only) <p><u>Special Leave</u></p> <ul style="list-style-type: none"> • Compassionate leave as per policy 	<p>Chief Executive</p> <p>Chief People Officer</p> <p>Chief Finance Officer</p> <p>Chief People Officer / Chief Finance Officer</p> <p>Chief Finance Officer</p> <p>Chief People Officer</p> <p>Chief People Officer</p> <p>Chief People Officer</p> <p>Chief People Officer</p>	<p>Associate Medical Directors / Assistant Directors of Nursing)</p> <p>Chief People Officer</p> <p>Budget Managers and Finance Business Partners</p> <p>General Manager / Ward and departmental managers</p> <p>Budget Managers</p> <p>Budget Managers</p> <p><i>Refer to Annual Leave Policy</i> Division Manager / Head of Department</p> <p>Line / Departmental Manager (as per departmental procedure)</p> <p>Line/Department Manager</p> <p>Divisional Head of Operations / Associate Medical Directors / Assistant Directors or Nursing / Departmental Managers</p> <p>Divisional Heads of Operations / Associate Medical Directors / Assistant</p>
--	--	--

<ul style="list-style-type: none"> Special leave arrangements for domestic/personal/family reasons <ul style="list-style-type: none"> Paternity leave Carers leave Adoption leave (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 managers Foundation Trust Policy) Leave without pay Medical Staff Leave of Absence – paid and unpaid Time off in lieu Maternity Leave - paid and unpaid <p>I. Extension of sick leave on pay</p> <p>II. Return to work part-time on pay to assist recovery</p>	Chief People Officer	Directors of Nursing / Departmental Managers
	Chief People Officer	Divisional Heads of Operations / Associate Medical Directors / Assistant Directors of Nursing / Departmental Managers
	Chief People Officer	Divisional Heads of Operations / Associate Medical Directors / Assistant Directors of Nursing / Departmental Managers
	Chief People Officer	Divisional Heads of Operations / Associate Medical Directors / Assistant Directors of Nursing / Departmental Managers
	Chief People Officer	Medical Director / Associate Medical Directors
	Chief People Officer	Divisional Heads of Operations / Associate Medical Directors / Assistant Directors of Nursing / Departmental Managers
	Chief People Officer	Automatic approval with guidance
	Chief People Officer	Divisional Heads of Operations / Associate Medical Directors / Assistant Directors of Nursing / departmental managers – in conjunction with Head of HR
	Chief People Officer	Divisional Heads of Operations / Associate

<p><u>Study Leave</u></p> <ul style="list-style-type: none"> • Study leave outside the UK • Medical staff study leave (UK) <ul style="list-style-type: none"> - Consultant / Non Career Grade - Career Grade • All other study leave (UK) <p>i) Removal Expenses, Excess Rent and House Purchases</p> <p>j) Grievance Procedure</p> <p>All grievances cases must be dealt with strictly in accordance with the Grievance Procedure and the advice of the Director of Strategic Partnership and Chief Operating Officer must be sought when the grievance reaches the level of Divisional Heads of Operations Heads of Department</p> <p>k) Authorised - Car Users</p> <ul style="list-style-type: none"> • Regular user allowance <p>l) Mobile Phone Users / Blackberries/ iPad's</p> <p>m) Renewal of Fixed Term Contract</p>	<p>Chief Executive</p> <p>Medical Director</p> <p>Chief People Officer</p> <p>Chief Finance Officer</p> <p>Chief People Officer</p> <p>Chief Executive</p> <p>Chief Finance Officer</p> <p>Chief People Officer</p>	<p>Medical Directors / Assistant Directors of Nursing / departmental managers – in conjunction with Head of HR</p> <p>Relevant Executive Director</p> <p>Medical Director / Associate Medical Directors</p> <p>Post Graduate Tutor</p> <p>Budget Manager (in budget) and Training and Development Manager</p> <p>Chief People Officer in conjunction with Deputy Chief Finance Officer</p> <p>Refer to Table B Delegated Limits</p> <p>Divisional Heads of Operations / Associate Medical Directors / Assistant Directors of Nursing / departmental managers</p> <p>To be applied as per Trust Policy</p> <p>To be applied as per Trust Policy</p> <p>Budget Holder / Finance Approval plus</p>
---	---	---

<p>n) Staff Retirement Policy</p> <ul style="list-style-type: none"> • Authorisation of extensions of contract beyond normal retirement age in exceptional circumstances • Authorisation of return to work in part time capacity under the flexible retirement scheme <p>o) Redundancy</p> <p>p) Ill Health Retirement</p> <p>Decision to pursue retirement on the grounds of ill-health following advice from the Occupational Health Department</p> <p>q) Early retirement</p> <p>r) Disciplinary Procedure (excluding Executive Directors)</p> <p>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.</p> <p>t) Engagement of staff not on the establishment</p> <p>a) Management Consultants</p> <ul style="list-style-type: none"> • Authorisation of bank staff <p>a) Nursing</p> <p>b) other</p>	Chief Executive	relevant Executive Director
	Chief Executive	Director of Strategic Partnership and Chief Operating Officer
	Chief Executive	Director of Strategic Partnership and Chief Operating Officer
	Chief Executive	Chief People Officer / Chief Finance Officer
	Chief Executive	Chief People Officer / Chief Finance Officer
	Chief Executive	Chief People Officer / Chief Finance Officer
	Chief Executive	To be applied in accordance with the Foundation Trust's Disciplinary Procedure
	Chief People Officer	Head of HR
	Director of Nursing & Quality	Refer to Table B
	Budget Manager	Refer to Table B Delegated Limits
		In Hours – Budget Manager Out of Hours – On Call Manager

<ul style="list-style-type: none"> • Authorisation of agency staff <ul style="list-style-type: none"> a) Nursing b) other 	<p>Director of Nursing & Quality</p> <p>Chief People Officer</p>	<p>Budget Manager</p> <p>Refer to Table B Delegated Limits In Hours – Budget Manager Out of Hours – On Call Manager</p> <p>Head of Resourcing and Budget Manager</p>
33. Quotation, Tendering & Contract Procedures		
<p>a) Services:</p> <ul style="list-style-type: none"> • Best value for money is demonstrated for a services provided under contract or in house • Nominate officers to oversee and manage the contract on behalf of the Foundation Trust. <p>b) Competitive Tenders:</p> <ul style="list-style-type: none"> • Authorisation Limits • Maintain a register to show each set of competitive tender invitations despatched • Receipt and custody of tenders prior to opening • Opening Tenders • Decide if late tenders should be considered • Ensure that appropriate checks are carried out as to the technical and financial capability of the firms invited to tender or quote <p>c) Quotations / Authorisation Limits</p>	<p>Chief Executive</p> <p>Chief Executive</p> <p>Chief Executive</p> <p>Chief Executive</p> <p>Chief Executive</p> <p>Chief Executive</p> <p>Chief Executive</p> <p>Chief Executive</p>	<p>Chief Finance Officer/ Deputy Chief Finance Officer / Head of Procurement</p> <p>Chief Finance Officer/ Deputy Chief Finance Officer / Head of Procurement / Divisional Manager / Head of Department</p> <p>Refer To Table B Delegated Limits</p> <p>Head of Procurement</p> <p>Deputy Chief Finance Officer</p> <p>Two officers from the approved list as authorised by the Audit Committee</p> <p>Deputy Chief Finance Officer</p> <p>Head of Procurement</p> <p>Refer To Table B Delegated Limits</p>

d) Waiving the requirement to request <ul style="list-style-type: none"> tenders - subject to SFIs – Tender Procedure (reporting to the Board) quotes - subject to SFI's 	Chief Executive Chief Executive	Chief Executive / Chief Finance Officer Refer To Table B Delegated Limits Chief Finance Officer / Deputy Chief Finance Officer
34. Records		
a) Review Foundation Trust's compliance with the Records Management Code of Practice b) Ensuring the form and adequacy of the financial records of all departments	Chief Executive Chief Finance Officer	Executive Directors Deputy Chief Finance Officer
35. 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 b) Where a fraud is suspected (reporting to the Directorate of NHS Protect) c) Deciding at what stage to involve the police in cases of misappropriation and other irregularities not involving fraud or corruption	Chief Executive Chief Finance Officer Chief Finance Officer	Senior Manager On-call/ Directorate Manager/ Department Heads/Security Local Counter Fraud Specialist Executive Director / Senior Manager On Call
36. 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 	Chief Executive Director of Nursing & Quality Director of Nursing & Quality Director of Nursing & Quality	Director of Nursing & Quality Risk Manager Risk Manager All staff

37. Seal		
a) The keeping of a register of seal and safekeeping of the seal	Trust Secretary	Trust Secretary
b) Attestation of seal in accordance with Constitution	In advance by Board	Trust Secretary
c) Property transactions and any other legal requirement for the use of the seal.	In advance by Board	Trust Secretary
38. Security Management		
a) Monitor and ensure compliance with Direction issued by the Secretary of State for Health of NHS security management including appointment of the Local Security Management Specialist.	Chief Executive	General Manager for Support Services
39. Setting of Fees and Charges (Income)		
a) Private Patient, Overseas Visitors, Income Generation and other patient related services	Chief Finance Officer	Deputy Chief Finance Officer
b) Non patient care income	Chief Finance Officer	Deputy Chief Finance Officer
c) Informing the Chief Finance Officer of monies due to the Foundation Trust	Chief Finance Officer	All Staff
d) Recovery of debt	Chief Finance Officer	Head of Financial Services/Deputy Chief Finance Officer
e) Security of cash and other negotiable instruments	Chief Finance Officer	Head of Financial Services/Deputy Chief Finance Officer
40. Stores and Receipts of Goods		
a) Responsibility for systems of control over stores and receipt of goods, issues and returns	Chief Finance Officer	Heads of Procurement
b) Stocktaking arrangements	Chief Finance Officer	Heads of Department and Finance Staff
c) Responsibility for controls of pharmaceutical stock	Chief Pharmacist	Designated Pharmaceutical officer
41. Medicines, Inspectorate Regulations		
Review Regulations	Chief Executive	Medical Director / Divisional Heads of Operations / Chief Pharmacist

Table B – Delegated Financial Limits

All thresholds are inclusive of VAT irrespective of recovery arrangements. Details of procurement thresholds from 31 January 2008 are provided (net of VAT)

If the Chief Executive is absent powers delegated to them may be exercised by the nominated officer(s) acting in their absence after taking appropriate financial advice, two directors will be required to ratify any decisions within the Chief Executive's thresholds

PROPOSED FINANCIAL LIMITS (SUBJECT TO FUNDING AVAILABLE IN THE BUDGET)					
	DELEGATED MATTER	DELEGATED LIMIT (inclusive of VAT)	DELEGATED TO		
			COMMITTEE	EXECS	OTHER
1	Quotations and Tenders				
	Minimum of 3 written competitive tenders for goods and services	Over £50,000			Head of Procurement
	Minimum of 3 written quotations for goods and services	£10,000 to £50,000			Two independent officers plus one board member or senior manager
		Innovation Agency only, £25,000-£50,000			
	No quotation or tender required	Up to £10,000			
		Innovation Agency only, up to £25,0000			
2	Expenditure Contract Authorisation				
		Over £5,000,000	Board of Directors		

	Approval/Signing of contracts for goods and services within budget. Full Value of the Contract	Up to £5,000,000		Chief Executive / Chief Finance Officer	
		Up to £1,000,000			Deputy Chief Finance Officer
		Up to £100,000			Divisional Heads of operations
3	Pay Expenditure (including invoice authorisation without purchase orders) – all agency requisitions require dual approval from the Human Resource Department				
	Bank Staff, Agency Staff and medical locums	Over £100,000	Board of Directors		
		Up to £100,000 and any agency shift over £100 per hour		Chief Executive	
		Up to £25,000 and any agency shift 50% above the price cap		Executive Directors	
		Up to £10,000			Divisional Heads of operations / Senior Manager on call / Deputy Directors
	Agency Staff – Direct Engagement invoice approval	Up to £50,000		Chief Executive / Chief Finance Officer / Chief People Officer	Deputy Chief Finance Officer
	Non Agenda for Change rates and Non-Consultant Contract rates (e.g. additional session rates)	All		Chief Finance Officer / Chief People Officer and relevant staff side representatives	

4	Non Pay Expenditure requisitions for goods and services not including Capital and Estates (including invoice authorisation without purchase orders)				
	Management Consultants (including professional services) in accordance with current NHSI guidance	Over £100,000	Chief Executive on behalf of the Board of Directors		
		Up to £100,000		Chief Executive	
		Up to £10,000		Chief Finance Officer	
	Approval of all other requisitions/invoices including call off orders, within approved budgets	Over £1,000,000	Chief Executive on behalf of the Board of Directors		
		Up to £1,000,000		Chief Executive	
		Up to £500,000		Chief Finance Officer	
		Up to £250,000			Deputy Chief Finance Officer
		Up to £100,000		Executive Director	Divisional Head of Operations
		Up to £50,000			Band 8c if relevant to the role/ Head of Financial Accounts
		Up to £25,000			Band 8b and Band 8a if relevant to the role
		Up to £10,000			Band 7 if relevant to the role
		Up to £10,000 – via drug ordering system			Pharmacy Technicians only - Band 6
		Up to £2,500			Band 6 if relevant to the role

		Up to £300			Band 5 if relevant to the role
5	Non Pay Expenditure requisitions for Estates goods and services including utilities but not including Capital				
	Approval of requisitions / invoices without purchase orders	Over £100,000		Chief Executive / Chief Finance Officer	
		Up to £100,000		Executive Directors	
		Up to £50,000			Deputy Chief Finance Officer
		Up to £25,000			Senior Estates Manager
		Up to £10,000			Senior Estates Officers
6	Capital – the Trust’s capital policy should be read and complied with in conjunction with the limits identified below				
	Replacement assets for existing/continuing services. Consent to proceed with procurement for all asset categories.	Over £11,000,000	Full Business Case approved by Board of Directors and as set out in the NHSI guidance		
		Up to £11,000,000	Board of Directors		
		Up to £500,000	Executive Committee/Operational Board		
		Up to £250,000	Capital Management Group	Chief Finance Officer to necessitate urgent purchases outside of CMG dates	
	New assets or capital schemes for new or enhanced services. Approval of business case for all asset categories.	Over £11,000,000	Full Business Case approved by Board of Directors and as set out in the NHSI guidance		
		Up to £11,000,000	Full Business Case approved by Board of Directors		

		Up to £500,000	Outline Business Case approved by Executive team/Operational Board		
		Up to £250,000	Outline Business Case approved by Capital Management Group		
		Up to £100,000	Short Form Business Case approved by Capital Management Group	Short Form business case approved by Chief Finance Officer to necessitate urgent purchases outside of CMG dates	
	Asset Disposal	Up to £10,000			Deputy Chief Finance Officer and Head of Medical Engineering
		Over £10,000		Chief Finance Officer and Head of Medical Engineering	
7	Income Contract Authorisation				
	Approval & signing of income contracts and credit notes	Over £500,000		Chief Finance Officer	
		Up to £500,000			Deputy Chief Finance Officer
	Private Patient price list	All			Deputy Chief Finance Officer and DHoO in charge of Private Patient service
8	Virements and Journal approval				
	Budget virements	Over £50,000		Chief Executive	

	within overall trust financial target; limits are annual budgets	Up to £50,000		Chief Finance Officer	
		Up to £25,000			Budget holder and Deputy Chief Finance Officer
9	Charitable Funds (including petty cash disbursements)				
	Application for charitable funds	Over £5,000	Charitable Funds Committee		
		Up to £5,000		Chief Finance Officer / Chief Executive	
	Approval of Invoices	For items not supported by an approved charitable funds application		Chief Finance Officer	
		For items supported by an approved charitable funds application		Chief Finance Officer	Head of Financial Accounts
	Approval of expenditure incurred by the fundraising office	Up to £5,000		Director of Corporate Affairs	
		Up to £1,000			Head of Fundraising
	Approval of petty cash disbursements	Over £100		Chief Finance Officer/Director of Corporate Affairs	
		Up to £100			Head of Fundraising / Head of Financial Accounts
10	Losses				
	Fruitless payments (including abandoned capital schemes)	Over £10,000	Audit committee	Chief Executive and Chief Finance officer	
		Up to £10,000		Chief Executive	

		Up to £5,000		Chief Finance Officer	
	Other losses including:- Losses of cash due to theft, fraud, overpayment and others; Damage to property and stores due to culpable causes	Over £10,000	Board of Directors	Chief Executive	
		Up to £10,000		Chief Executive	
		Up to £5,000		Chief Finance Officer	
	Write off of bad debts and claims abandoned	Over £1,000	Audit committee		
		Up to £1,000			Deputy Chief Finance Officer
11	Special Payments				
	Litigation claims	Over £50,000	Board of Directors		
		Up to £50,000		Chief Finance Officer	
	Special severance payments including payment of compromise agreements	Over £50,000	Board of Directors		
		Up to £50,000		Chief Executive	
	Compensation payments to patients or staff for loss of personal effects or other	Over £10,000	Board of Directors		
		Up to £10,000		Chief Executive	
		Up to £5,000		Chief Finance Officer	
	Ex gratia payments - in accordance with HM Treasury Managing Public Money policy	Over £10,000	Board of Directors		
		Up to £10,000		Chief Executive	
		Up to £5,000		Chief Finance Officer	

12	Petty Cash Disbursements				
	Approval of petty cash claims	Over £100		Chief Finance Officer / Chief Executive	
		Up to £100			Head of Financial Accounts / Deputy Chief Finance Officer
		Up to £50			Budget Holder

NB. 1) Gifts and hospitality removed as not a delegated limit

Table C – Delegated approval limits for Innovation Agency and Liverpool Health Partners

The Trust commenced hosting Liverpool Health Partners from 1st February 2020 and the Innovation Agency from 1st April 2020. Their staff structures do not naturally follow Agenda for Change, and require additional detail setting out expenditure approval limits as follows:

Innovation Agency

Title	Limit
Exec PA / Corporate Business Manager	£5,000
Corporate Business Manager	£5,000
Associate Director - Transformation	£10,000
Associate Director - Commercial	£10,000
Associate Director - Patient Safety	£10,000
Associate Director Improvement and Education	£10,000
Associate Director of Transformation	£10,000
Associate Director - Patient Safety	£10,000
Associate Director of Partnerships	£10,000
Interim Director of Operations, Digital and Analytics	£30,000
Director of Enterprise and Growth	£30,000
Deputy Chief Executive / Medical Director	£30,000
Director of Communication and Engagement	£30,000
Director of Transformation	£30,000
Chief Executive	£100,000

Liverpool Health Partners

Category	Conditions	Authorised Signatory
A		Chief Executive Officer (CEO)
A, B, C, D, F, G	£1 - £2,000	Head of Delivery & Performance
A, B, C, D, F, G	£1,000 - £20,000	Head of LHP SPARK
A, B, C, D, F, G	£20,000 - £100,000	CEO, Deputy Chief Executive and LHP Executive Directors
A, B, C, D, F, G	> £100,000	CEO and Deputy Chief Executive
E		CEO and Deputy Chief Executive only after approval by FP& R Committee and LHP Board.
H	£1 - £2,000	CEO, LHP Executive Team

Category	Conditions
A	Letters of support for applications to funding organisations, including but not limited to, Research Councils UK, ERDF, charities etc including agreement to terms and conditions of any grant award.
B	Applications to NHSE/NIHR where LHP is lead applicant (e.g. for joint strategic bids where a non-NHS organisation can be named applicant), including agreement to terms and conditions of any grant award.

C	Agreements, including sub-contracts, with external organisations for R&D and educational programmes.
D	Procurement agreements for services, consultancy, equipment etc.
E	Non-Disclosure Agreements with third parties including collaborators, funders, sponsors and suppliers.
F	Intellectual Property-related agreements, e.g. licence agreements and assignment agreements.
G	Applications to other organisations, including but not limited to government departments and agencies, and industrial I commercial organisations.