



SCHEME OF DELEGATION

Reviewed at Audit Committee 13 February 2019

EAST OF ENGLAND AMBULANCE SERVICE NHS TRUST: SCHEME OF DELEGATION

Delegated matters in respect of decisions which 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 by the Board of Directors. Delegation to lower levels is only permitted with written approval of the Chief Executive who will, before authorising such delegations, consult with other Senior Officers as appropriate. All items concerning Finance must be carried out in accordance with Standing Financial Instructions and Standing Orders of the Board of Directors.

DELEGATED MATTER		AUTHORITY DELEGATED TO	SFI PARA REF
1.	FORWARD PLANS, BUDGETS, BUDGETARY CONTROL AND MONITORING		3
1.1	<u>Preparation & Approval of Forward Plans & Budgets</u>		3.1
1.1.1	Compilation and submission to Board of Directors a forward plan in respect of each financial year.	Chief Executive in conjunction with Director of Finance & Commissioning	3.1.1/3.1.3
1.1.2	Implementation and performance monitoring of the Forward Plan	Executive Leadership Board	
1.1.3	Preparation and submission of budgets for approval by the Board of Directors prior to start of financial year	Director of Finance & Commissioning	3.1.2
1.1.4	Monitor financial performance against budget and plan, and advise Board of Directors	Director of Finance & Commissioning	3.1.3
1.1.5	Provision of information to enable budgets to be compiled	Budget Holders	3.1.4
1.1.6	Budget holders to sign up to their allocated budgets at commencement of each financial year	Director of Finance & Commissioning	3.1.5
1.1.7	Provision of adequate business planning and budget management training on an on-going basis to budget holders to help them manage successfully	Director of Finance & Commissioning	3.1.6
2.2	<u>Budgetary Delegation</u>		
2.2.1	Responsibility for delegation of the management of revenue budget to permit the performance of a defined range of activities:	Chief Executive	3.2.1 & 10.1.1
	(a) Designation of budget holder	Chief Executive	3.2.2 & 10.1.1
	(b) Responsibility for management of revenue budget at individual budget level	Budget Holder	3.2.2 & 10.1.1
	(c) Responsibility for the totality of activities covered by each Corporate or Operational Directorate	Chief Executive or in their absence relevant Executive Director	
	(d) Responsibility for all other revenue budgetary areas, e.g. reserves, non-recurring budgets	Director of Finance & Commissioning	3.2.4

DELEGATED MATTER		AUTHORITY DELEGATED TO	SFI PARA REF
2.2.2	Responsibility for delegation of the management of capital budget in line with the approved Capital Programme (<i>See also Scheme of Delegation 10</i>)	Chief Executive	3.4 & 12
	(a) Designation of Budget Holder	Chief Executive	3.2.2 & 3.4
	(b) Responsibility for management of the capital budget	Director of Finance & Commissioning	
	(c) Responsibility for management of capital budget at individual level	Capital Budget Holder	
2.2.3	Authorised use of Virement NB Virement is the transfer of resources between pay and non-pay or between Service Delivery and Support Services	Chief Executive	3.2.3
	a) Value up to £500,000	Budget Holder with approval of Director of Finance & Commissioning/Head of Finance	
	b) Value over £500,001	Board of Directors	
3.	ACCOUNTS AND REPORTS		4
3.1	Preparation and submission of financial reports in accordance with the accounting policies, guidance and timetable prescribed and approved by the Department of Health	Director of Finance & Commissioning	4.1
3.2	Preparation and publication of annual report and audited accounts and presentation to Board of Directors and to the Annual Public Meeting of the Trust.	Chief Executive	4.2
4.	BANK AND TREASURY MANAGEMENT POLICY		5
4.1	Compilation and submission of Treasury Management Policy to Board of Directors	Director of Finance & Commissioning	5.1.1
4.2	Monitoring of Treasury Management Policy and provision of advice to Board of Directors	Director of Finance & Commissioning	5.1.1
4.3	Monitoring compliance with Department of Health's guidance on level of cleared funds	Director of Finance & Commissioning	5.1.1
4.4	Responsibility for bank and Government Bank Accounts including preparation of detailed instructions for operation	Director of Finance & Commissioning	5.2 & 5.3
4.5	Review commercial banking arrangements of the Trust to reflect best practice and ensure through market testing (at least every 5-years) value for money.	Director of Finance & Commissioning	5.4
4.6	Approval of banking arrangements	Board of Directors	5.1.2
4.7	Opening of bank accounts	Director of Finance & Commissioning	5.3.2

DELEGATED MATTER		AUTHORITY DELEGATED TO	SFI PARA REF
4.8	Designation of authorised panel officers, by resolution of the Board of Directors for signing of cheques for cash, other cheques and authorisation of Government Banking Services and BACS payment schedules	Director of Finance & Commissioning	5.3.3
4.8.1	Cheques or other orders drawn upon the main exchequer bank account with		
	(a) Value below £5,000	One signature from the First Officer Panel	5.3.4
	(b) Value of £5,000 or more	Two signatures, one from the First Officer Panel and the other from the Second Officer Panel	5.3.5
4.8.2	Cheques or other orders drawn upon the main charitable fund bank account with: <i>(See also Scheme of Delegation 16)</i>		
	(a) Value below £5,000	One signature from the First Officer Panel	5.3.6
	(b) Value over £5,001	Two signatures, one from the First Officer Panel and the other from the Second Officer Panel	5.3.6
5.	INCOME, FEES AND CHARGES AND SECURITY OF CASH, CHEQUES AND OTHER NEGOTIABLE INSTRUMENTS		6
5.1	<i>Income</i>		
5.1.1	Design, maintain and ensure compliance with income and expenditure systems for prompt banking of all monies	Director of Finance & Commissioning	6.1.1 & 6.1.2
5.1.2	Approval and regular review of the level of all fees and charges, other than those determined by the Secretary of State or statute	Director of Finance & Commissioning	6.2
5.1.3	Responsibility for debt recovery and associated procedures	Director of Finance & Commissioning	6.3
5.1.4	Security of cash, cheques and other negotiable instruments	Director of Finance & Commissioning	6.4
5.2	<i>Money Laundering</i>		
5.2.1	Monitoring of money laundering regulations	Director of Finance & Commissioning	6.5
5.2.2	Reporting of any cash payments in excess of €15,000 (approximately £10,000) in respect of any single transaction to the Director of Finance & Commissioning	All Employees	6.5
6.	TENDERING AND CONTRACTING REGULATIONS		
6.1	<i>Legislation and Guidance Covering Public Procurement</i>		
6.1.1	Monitoring compliance with Public Contract Regulations 2015 and relevant EU Directives relating to public procurement	Director of Finance & Commissioning	7.2

DELEGATED MATTER		AUTHORITY DELEGATED TO	SFI PARA REF
6.2	<u>E-Auctions</u>		
6.2.1	Monitoring of future expansion into e-auction activity	Director of Finance & Commissioning	7.3
6.3	<u>Capital Investment</u> (See also Scheme of Delegation 10)		
6.3.1	Monitor compliance with the requirements of guidance published on capital investment and estate and property transactions	Director of Finance & Commissioning	7.4
6.4	<u>Quotations, Tendering, Leasing and Contract Procedures</u> (Applicable to all goods and services including healthcare services)		7.5, 7.6 & 7.7
6.4.1	Quotation and Tendering Limits (all limits quoted include VAT):		
	(a) Obtain one written or two verbal quotations for goods/services up to £4,999 at Procurement Department's discretion	Budget Holder in conjunction with Procurement Department	7.7.2
	(b) Competitive sourcing either through the Trust's electronic tendering systems or by obtaining a minimum of two written quotations for goods/services between £5,000 and £19,999 at Procurement Department's discretion	Budget Holder in conjunction with Procurement Department	7.7.2
	(c) Competitive sourcing either through the Trust's electronic market place system or by obtaining a minimum of three written quotations for goods/services from £20,000 to £50,000	Budget Holder in conjunction with Procurement Department	7.7.2
	(d) Execute formal tender procedures and obtain minimum of three written competitive tenders (if feasible) for goods/services over £50,000 (EU Procurement Rules apply: Thresholds routinely change every two years and the Trust will apply these as published. Applicable thresholds from 1 January 2018 to 31 December 2020 are: Goods and Services £118,133/ ; and Works and Concessions £4,551,413 and Light Touch Regime £615,278)	Appropriate Head of Department or General Manager /Executive Director and Director of Finance & Commissioning in conjunction with Procurement Department	
6.5	<u>List of Approved Firms</u> (See also Scheme of Delegation 8)		
6.5.1	Compilation and maintenance of approved list of firms for tendering	Director of Finance & Commissioning	7.5.5 & 7.6.8
6.5.2	Responsibility for ensuring all suppliers aware of the Trust's Terms and Conditions of Contract	Director of Finance & Commissioning	7.6.8
6.5.3	Responsibility for ensuring financial standing and technical competence of approved contractors	Director of Finance & Commissioning	7.6.8 & 10.1.3
6.5.4	Responsibility for ensuring technical/medical competence of approved contractors for clinical governance purposes	Medical Director	7.6.8 & 10.1.3
6.5.5	Variation to use of approved firms/individuals or if a list does not exist for whatever reason, responsibility for ensuring appropriate checks are carried out for technical	Director of Finance & Commissioning	7.6.9

DELEGATED MATTER		AUTHORITY DELEGATED TO	SFI PARA REF
	and financial capability of those first invited to tender		
6.6	<u>Invitation to Tender</u>		
6.6.1	Issue of all tenders for goods, materials, services, building, engineering works and disposals with appropriate Terms and Conditions regulating the conduct of the tender and appropriate Terms and Conditions on which Contract to be awarded	Director of Finance & Commissioning General Manager	7.6.1
6.7	<u>Receipt and Safe Custody of Tenders</u>		
6.7.1	Receipt and safe custody of all tenders	Director of Finance & Commissioning	7.6.2
6.8	<u>Tender Opening/Evaluation/Acceptance/Recording</u>		
6.8.1	Opening Tenders: £50,000 and over or if conducted using the eProcurement system, view tender submissions via tender portal and grant access to the tender portal as appropriate	Director of Finance & Commissioning and/or Head of Procurement and /or Tender Manager	7.6.3
6.8.2	Preparation and submission of formal written Tender Evaluation Report	Designated Lead for tender process as defined by Head of Department or General Manager /Executive Director together with Finance Manager and other internal specialist advisor(s) (e.g. Procurement Manager, estates, service users, as appropriate)	7.6.6
6.8.3	Review of formal written Tender Evaluation Report required for (in accordance with Scheme of Delegation 10.3)		7.8
	(a) Formal Tenders up to £100,000 (Average annual contract term cost, including VAT) Maximum initial contract term of 3 years only	Head of Department or General Manager countersigned by Executive Director	
	(b) Formal Tenders from £100,001 to £500,000 (Average annual contract term cost, including VAT) Maximum initial contract term of 3 years only	Head of Department or General Manager /Executive Director/ Director (as appropriate/designated) with countersignature by Director of Finance & Commissioning/Chief Executive (or designated deputy in their absence)	
	(c) Formal Tenders from £500,001 to £999,999 (Average annual contract term	Chief Executive/Director of Finance &	

DELEGATED MATTER		AUTHORITY DELEGATED TO	SFI PARA REF
	cost, including VAT) Maximum initial contract term of 3 years only	Commissioning following Chair's approval (or designated deputy in their absence)	
	(d) Formal Tenders of £1M and over (Average annual contract term cost, including VAT) (To be recorded in the Minutes of the Board of Directors) Maximum initial contract term of 3 years only	Board of Directors	7.6.7 & 7.8
	(e) All formal tenders with a contract of greater than 3 years and a total contract value less than £3M.	Executive Leadership Board	
	(f) All formal tenders with a contract of greater than 3 years and a total contract value greater than £3M.	Board of Directors	
	(g) Tenders accepted that are not lowest expenditure or highest income to be reported to the Audit Committee	Director of Finance & Commissioning	
6.8.4	Approval of expenditure over agreed tender/quotation budget:	Director of Finance & Commissioning	7
6.9	<u>Register of Tenders</u>		
6.9.1	Maintenance of Tender Register	Director of Finance & Commissioning	
6.10	<u>Quotation/Tender Waiver or Single Tender Action</u>		7.5.3 & 7.9
	Tender waiver requests for Orders under £25,000	Head of procurement, following Waiver Process	
6.10.2	Orders over £25, 000 up to EU limits: the request will be forwarded to the CEO and DOFC for determining on the recommendation of the Head of Procurement.	CEO and DOFC	
6.10.3	Approval of formal written report for the waiver of tenders or requests for single tender action over £50,000 (report to Audit Committee)	Chief Executive and Director of Finance & Commissioning upon advice of procurement	
6.10.4	EU Procurement Threshold Limits (see Scheme of Delegation 6.4.1 (d)) – No Waiver/Single Tender Action Permitted	No Delegated Authority	
6.11	<u>Private Finance for Capital Procurement</u>		
6.11.1	Approval of PFI capital procurement	Board of Directors	7.10
6.12	<u>Compliance Requirements for All Contracts</u>		
6.12.1	All contracts, being legally binding, shall comply with best costing practice and	See 7.2 below	

DELEGATED MATTER		AUTHORITY DELEGATED TO	SFI PARA REF
	devised to manage contractual risk, whilst optimising the Trust's opportunity to generate income. Approval of all contracts entered into on behalf of the Trust. (See overlap with 7.2 below)		7.11 & 8.4
6.13	<u>Procurement of In-House Services</u>		
6.13.1	Determination of in-house services to be subject to competitive tendering	Board of Directors	7.14.2
6.13.2	Delegation of lead officer(s) to oversee and manage the process and contract on behalf of the Trust	Chief Executive	7.14.5
7.	CONTRACTING FOR PROVISION OF SERVICES (INCOME)		
7.1	Regular review of capacity and capability of the Trust to provide its mandatory goods and services	Board of Directors	8.1
7.2	All contracts, being potentially legally binding, shall comply with best costing practice and devised to manage contractual risk, whilst optimising the Trust's opportunity to generate income. Approval of all contracts entered into on behalf of the Trust.		7.11 & 8.6
	(a) Approval of Existing Business/Contract Rollover/New Business/ Diversification:		
	(i) Average Annual Contract Value up to £500,000. Initial contract term up to a maximum of 3 years.	Director of Finance & Commissioning following recommendation from Senior Leadership Board	
	(ii) Average Annual Contract Value Between £500,001 to £999,999. Initial contract term up to a maximum of 3 years.	Chief Executive and/or Director of Finance & Commissioning following Executive Leadership Board approval	
	(iii) Average Annual Contract Value over £1m. Initial contract term up to a maximum of 3 years. (To be recorded in the Minutes of the Board of Directors)	Board of Directors following recommendation from Executive Leadership Board Contract signature by Chief Executive or nominated deputy in their absence	
	(iv) Contract term over 3 years with a contract value of less than £3M	Executive Leadership Board	
	(v) Contract term over 3 years with a contract value of greater than £3M	Board of Directors	

DELEGATED MATTER		AUTHORITY DELEGATED TO	SFI PARA REF
	(b) Contract Signing following approvals given at 7.2 (a) above:	As per the delegated officers and values defined at 7.2 (a) (i), (ii),(iii) and (iv) above	
7.3	Reporting on actual and forecast service activity income	Director of Finance & Commissioning	8.9
8.	TERMS OF SERVICE AND PAYMENT OF DIRECTORS AND EMPLOYEES		9
8.1	<u>Funded Establishment</u>		
8.1.1	Agree workforce plans within annual budget	Board of Directors	9.2.1
8.1.2	Authority to change establishment within Board of Director's agreed financial budget	Director of People & Culture and Director of Finance & Commissioning	
8.1.3	Authority to authorise temporary variations to pay rates within standard Agenda For Change Terms and Conditions	Chief Executive and Director of Finance & Commissioning with Executive Leadership Board approval	
8.1.4	Authority to fill funded post on the establishment within area of operational/corporate responsibility	Director of People & Culture or nominated deputy in conjunction with Head of Finance	
8.1.5 (a)	Authority to permanently appoint staff to posts above the formal budgeted establishment (i.e. increasing overall revenue cost to the Trust of £500,000 per annum)	Chief Executive and Director of Finance & Commissioning, following recommendation from Executive Leadership Board	9.2.2
8.1.5 (b)	Authority to permanently appoint staff to posts above the formal budgeted establishment (i.e. increasing overall revenue cost to the Trust above £500,001 per annum)	Chief Executive and Director of Finance & Commissioning, after approval with Board of Directors	
8.1.6	The granting of additional increments to newly appointed staff within budget and regulations	Director of People & Culture or Nominated Deputy	9.3.1
8.1.7	Authority to grant additional increments to existing or newly appointed staff above the formal budgeted position (i.e. increasing overall revenue cost to Trust)	Chief Executive and Director of Finance & Commissioning, after recommendation from the Executive Leadership Board	
8.1.8	All requests for upgrading/re-grading shall be dealt with in accordance with Trust procedures	Director of People & Culture	

DELEGATED MATTER		AUTHORITY DELEGATED TO	SFI PARA REF
8.1.9	Additional staff to the agreed establishment with specifically allocated finance	Appropriate Head of Department or Senior Locality Manager/Director with Director of Finance & Commissioning in accordance with Trust Policy	9.3.1
8.2	<u>Engagement of Staff not on the Establishment</u>		
8.2.1	Authority to engage Non-medical consultancy staff – having regard to guidance and approval requirements from NHS Improvement	Executive Director in conjunction with Director of Finance & Commissioning and Director of People & Culture	
8.2.2	Booking of Bank, Locum or Agency Staff (Medical Locums, Nursing & Clerical) Excluding EOC within budget allocation – see 8.2.3 below	Head of Department or General Manager or nominated deputy/Executive Director in conjunction with Medical Director, Directors of Finance & Commissioning & Director of Clinical Quality and Improvement (as appropriate)	
8.2.3	Booking of Bank, Locum or Agency Staff for EOC and Primary Care within budget allocation	Senior EOC Manager (SEM) and Primary Care General Manager in conjunction with Medical Director/Director of Clinical Quality and Improvement for clinical personnel	
8.3	<u>Processing Payroll</u>		
8.3.1	Authority to design and implement standing data forms affecting pay, new starters, variations and leavers	Director of People & Culture or nominated deputy	9.3.2
8.3.2	Authority to complete relevant starter, leaver and variation forms	Line Manager in conjunction with Budget Holder where cost impact and countersigned by Finance/HR Business Manager	
8.3.3	Authority to complete and authorise negative/positive reporting forms	Budget Holders/Managers/ Head of Department or Senior Locality Manager/Directors/ Chair (as appropriate)	
8.3.4	Authority to authorise overtime within Agenda for Change Terms and Conditions	Head of Department or Senior Locality	

DELEGATED MATTER		AUTHORITY DELEGATED TO	SFI PARA REF
		Managers (or nominated deputy) /Executive Directors (as appropriate)	
8.3.5	Authority to authorise travel and subsistence expenses	Budget Holders/Head of Department or Senior Locality Managers (or nominated deputy)/Executive Directors/ Chair (as appropriate)	
8.3.6	Approval of performance related pay assessment:		
	(a) Performance Related Pay for Non-Board Members	Chief Executive and Director of Finance & Commissioning and Director of People & Culture	
	(b) Performance Related Pay for Board Executive Directors	Remuneration Committee	
8.4	<u>Contract of Employment</u> (In accordance with Trust Policy)		9.5
8.4.1	Authority to issue contract of employment in a form approved by the Board of Directors	Director of People & Culture or nominated Deputy	
8.4.2	Authority to vary terms and conditions of employment within budget and regulations	Director of People & Culture or nominated Deputy in accordance with Trust Policy	
8.4.3	Authority to vary terms and conditions of employment not within budget and regulations (i.e. increasing overall revenue cost to Trust)	Chief Executive and Director of Finance & Commissioning, after recommendation from the Executive Leadership Board	
8.4.4	Renewal of fixed term Contract	Head of Department or Senior Locality Manager/Executive Director (as appropriate) in accordance with Trust Policy	
8.4.4a	Redundancy – Authorisation for employees up to Band 7 or a small group of redundancies (under 20 employees)	Panel Comprising of: Chief Executive, Director of Finance & Commissioning and Director of People & Culture	
8.4.4b	Redundancy – Authorisation for employees 8a and above or a large group of redundancies (over 20 employees)	Panel Comprising of: Chief Executive, Director of Finance & Commissioning and Director of People & Culture with approval from Remuneration	

DELEGATED MATTER		AUTHORITY DELEGATED TO	SFI PARA REF
		Committee	
8.4.5	MARS – Authorisation	Director of People & Culture with Executive Leadership Board approval	
8.4.6	Ill-Health Retirement – Decision to pursue retirement on grounds of ill health is an employee decision. Activation of Trust Procedures.	Head of Department or Deputy Director/Executive Director (as appropriate) & Occupational Health	
8.4.7	Dismissal – Authorisation	Director of People & Culture & authorised Directors/Managers (band 8c and above) or Remuneration Committee (as appropriate) in accordance with Trust Policy	
8.5	<u>Leave Authority</u> (In accordance with Trust Policy)		SFI 10.2.6 and SO 6
8.5.1	Study Leave – All study leave external to the UK and Ireland, including CME/professional leave	Chief Executive or nominated Deputy following recommendation from Head of Department or Senior Locality Manager/ Director (as appropriate) and where appropriate in conjunction with the Medical Director or Director of Clinical Quality and Improvement (as appropriate) in accordance with Trust Policy	
8.5.2	Study Leave – All study leave involving hospitality (Directorate required to obtain the necessary approval to study leave and maintain register and forward to the Head of Governance/Chief Executive for authorisation of any hospitality before acceptance).	Head of Department or Senior Locality Manager/ Director (as appropriate) in conjunction with the Medical Director or Director of Clinical Quality and Improvement (as appropriate) Chief Executive/Head of Governance (for advance approval of hospitality)	

DELEGATED MATTER		AUTHORITY DELEGATED TO	SFI PARA REF
8.6	<u>Relocation Expenses</u>		
8.6.1	Authorisation of payment of relocation expenses incurred by officers taking up new appointments (in accordance with local policy);		
	(a) Up to £8,000	Director of People & Culture or Remuneration Committee (as appropriate)	
	(b) Over £8,001	Director of People & Culture and Chief Executive or Remuneration Committee (as appropriate)	
8.7	<u>Authorised Car and Mobile Phone Users</u>		
8.7.1	Requests for new posts to be authorised as car users or re-designation of existing posts	Director of Finance & Commissioning	
8.7.2	Requests for authorised mobile phone status	Budget Manager	
9.	FACILITIES FOR STAFF NOT EMPLOYED BY THE TRUST TO GAIN PRACTICAL EXPERIENCE		
9.1	Professional recognition, honorary contracts and insurance of medical staff	Director of People & Culture or nominated deputy	
9.2	Work experience students	Director of People & Culture or nominated deputy	
9.3	Management of Volunteers		
9.3.1	Volunteer Car Drivers	Chief Operating Officer	
9.3.2	Community First Responders	Chief Operating Officer	
10.	NON-PAY EXPENDITURE (See Scheme of Delegation 17 for Funds Held on Trust)		10
10.1	Approval of level of non-pay expenditure on an annual basis	Board of Directors	10.1
10.2	Determination of the level of delegation to budget managers	Chief Executive	3.2.2 & 10.1.1

DELEGATED MATTER		AUTHORITY DELEGATED TO	SFI PARA REF
10.3	<u>Agree and maintain a list of managers authorised to place requisitions for the ordering and receipt of goods and services and authorisation of invoices</u> (See overlap with Scheme of Delegation 16)	Director of Finance & Commissioning	10.1.2 & 10.2.2
10.3.1	Requisitioning and Ordering of Goods and Services and Authorisation of Invoices:		10.1.3
	(a) All requisitions/invoices up to £10,000	Budget Managers as designated by Budget Holders	
	(b) All requisitions/invoices up to £25,000	Head of Department or General Manager	
	(c) All requisitions/invoices between £25,001 and £100,000 <i>This SFI will be waived to one signature in the event of a Declared Major Incident. The nominated staff member undertaking the role of Gold Commander shall be considered to have authorised delegated single signatory powers to the level of £100,000. This is specifically limited to costs incurred in relation to the management of the declared Major Incident, as where possible, Gold Commanders should, where circumstances allow, follow normal SFI process rather than default to this emergency delegation.</i>	Head of Department or General Manager countersigned by Executive Director as designated	
	(d) All requisitions/invoices between £100,001 and £500,000	Head of Department or Senior Locality Manager/Executive Director/Director (as appropriate and designated) with countersignature by Director of Finance & Commissioning/Chief Executive (or Designated deputy in their absence)	
	(e) All requisitions/invoices over £500,001	Chief Executive/Director of Finance & Commissioning following Chair's approval (or designated deputy in their absence)	
10.3.2	On-Line Requisitioning or Ordering of Goods and Services:		
	(a) Inclusion of Supplies within OLR catalogue	Band 8c Manager or above in conjunction with Head of Supplies	
	(b) All OLR catalogue requisitions up to £25,000	OLR Designated Officer within Directorate	
	(c) All OLR catalogue requisitions over £25,001	OLR Designated Officer with countersignature of Band 8c Manager or above	

DELEGATED MATTER		AUTHORITY DELEGATED TO	SFI PARA REF
10.3.3	Medicines Management (In Accordance with Medicines Management Policy)		
	(a) Controlled Drugs Accountable Officer and Accountable Officer for Medicines Management	Medical Director	
	(b) Determination of the medicines management strategy and the standards to be used for the administration of all medicines used by the Trust, including responsibility for the safe and secure handing of medicines	Medical Director with specialist advice from the Trust's Pharmaceutical Advisor and input from Medicines Management Group	
	(c) Medicine stocks must be obtained from a supplier approved by the Medical Director, and against formal orders signed by an authorised Paramedic. Only those medicines appearing in the Trust's formulary are authorised to be purchased	Medical Director and authorised Paramedic in accordance with Medicines Management Policy	
	(d) Advisor to the Director of People & Culture on medicines management training requirements for all Trust clinicians.	Medical Director	
10.4	Designation of authorised officers to issue of verbal orders in very exceptional circumstances (confirmation order required)	Director of Finance & Commissioning	10.2.6
10.5	<u>Development and maintenance of procedures on the seeking of professional advice regarding the supply of goods and services</u>		10.1.2
10.5.1	Responsibility for ensuring financial standing and technical competence of approved contractors	Director of Finance & Commissioning	7.6.8 & 10.1.3
10.5.2	Responsibility for ensuring technical/medical competence of approved contractors for clinical governance purposes	Medical Director	7.6.8 & 10.1.3
10.5.3	Variation to use of approved firms/individuals or if a list does not exist for whatever reason, responsibility for ensuring appropriate checks are carried out for technical and financial capability of those first invited to tender	Director of Finance & Commissioning	7.6.9 & 10.1.3
10.6	<u>System of Payment and Payment Verification</u>		
10.6.1	Responsibility for prompt payment of accounts, contract invoices and claims and that payments are only made once the goods and services are received and been appropriately certified	Director of Finance & Commissioning	10.2.2 & 10.2.3
10.6.2	Maintenance of register of employees (including specimens of their signatures) authorised to certify invoices	Director of Finance & Commissioning	10.2.3

DELEGATED MATTER		AUTHORITY DELEGATED TO	SFI PARA REF
10.6.3	Pre-payments only permitted where exceptional circumstances apply. Authorisation of written report to permit pre-payment.	Director of Finance & Commissioning	10.2.4
10.7	<u>Petty Cash Disbursements</u>		10.2.6
10.7.1	Authority to define restrictions in value and by type of purchase for petty cash disbursements and maintenance of record system.	Director of Finance & Commissioning	
10.7.2	Petty Cash Disbursement limits: Expenditure up to £30 per transaction	Budget Holder and Petty Cash Holder	
10.8	<u>Credit Cards</u>		
10.8.1	Development and monitoring of Credit Card Procedure	Director of Finance & Commissioning	
10.8.2	Authorisation to issue credit cards	Director of Finance & Commissioning	
10.8.3	Definition of credit limit	Director of Finance & Commissioning	
10.9	<u>Leases, Tenancy Agreements and Licences</u>		
10.9.1	Approval of all new leases, tenancy agreements and licences, including any variation thereto: (N.B. Values relate to total length of lease/tenancy agreement/licence)		
	(a) Below £25,000	Head of Estates	
	(b) Between £25,000 and £99,999	Head of Estates following recommendation from Senior Leadership Board	
	(c) Between £100,000 – £500,000	Executive Leadership Board	
	(e) Between £500,001 - £999,999	Director of Finance & Commissioning and Chair's approval following Executive Leadership Board recommendation	
	(e) Over £1M	Board of Directors following recommendation from Executive Leadership Board	
10.9.2	Approval of all renewals of leases, tenancy agreements and licences, including any variation thereto: (N.B. Values relate to total length of lease/tenancy agreement/licence)		

DELEGATED MATTER		AUTHORITY DELEGATED TO	SFI PARA REF
	(a) Below £25,000	Head of Estates	
	(b) Between £25,000 and £99,999	Head of Estates following recommendation from Executive Leadership Board member	
	(c) Between £100,000 and £500,000	Executive Leadership Board	
	(d) Between £500,001 - £999,999	Director of Finance & Commissioning and Chair's approval following Executive Leadership Board recommendation	
	(e) Over £1M	Board of Directors following recommendation from Executive Leadership Board	
10.9.2	Letting of premises to outside organisations	Head of Estates and Director of Finance & Commissioning	
10.9.3	Approval of rent based on professional assessment	Head of Estates and Director of Finance & Commissioning	
11.	EXTERNAL BORROWING AND INVESTMENTS		11
11.1	<u>External Borrowing</u> (In accordance with Secretary of State Guidance)		11.1
11.1.1	Preparation of detailed procedural instructions concerning applications for loans and overdrafts	Director of Finance & Commissioning	
11.1.2	Approval of Borrowings from Department of Health	Director of Finance & Commissioning/ following recommendation from Board	
12.	CAPITAL INVESTMENT, PRIVATE FINANCIAL, FIXED ASSET REGISTERS AND SECURITY OF ASSETS		12
12.1	<u>Capital Investment & Private Finance</u>		12.1 & 12.2
12.1.1	Approval of capital programme (including reserves list) as part of budget process	Board of Directors following recommendation from the Performance & Finance Committee	
12.1.2	Approval of business cases and PFI Schemes including approval of variations:		
	(a) Below £1m (Report to Executive Leadership Board)	Executive Leadership Board following recommendation by Director of	

DELEGATED MATTER		AUTHORITY DELEGATED TO	SFI PARA REF
		Finance & Commissioning & Capital Planning and Management Group	
	(b) Over £1m (Report to Executive Leadership Board)	Board of Directors following recommendation by the Executive Leadership Board	
12.1.3	Selection of architects, quantity surveyors, consultant engineers and other professional advisors within EU Regulations and CONCODE (in accordance with Tendering Procedures)	Director of Finance & Commissioning/Chief Executive following professional advice	
12.1.4	Budgetary delegation for management of capital budget in line with approved capital programme	Scheme of Delegation 2.2.2 refers	3.21
12.1.5	Financial monitoring and reporting on all capital scheme expenditure	Director of Finance & Commissioning	
12.1.6	Monitor compliance with the requirements of guidance published on capital investment and estate and property transactions	Director of Finance & Commissioning	7.4
12.2	<u>Asset Registers</u>		12.3
12.2.1	Maintenance of Asset Register and responsibility for re-valuation of assets in accordance with the Capital Accounting Manual issued by the Department of Health	Director of Finance & Commissioning	12.3.1 & 12.3.7
12.2.2	Approval of asset disposals (all disposals must be reported to Director of Finance & Commissioning to enable the Asset Register to be updated)		12.3.4 & 13.2
	(a) "Protected Assets" as defined within the Trust's Statutory Instrument and in accordance with the Capital Accounting Manual	Board of Directors	
	(b) Land and buildings	Board of Directors	
	(a) Other – where the asset has a residual value less than £9,999	Head of Finance	
	(b) Other – where the asset has a residual value over £10,000	Director of Finance & Commissioning	
12.3	<u>Security of Assets</u>		12.4
12.3.1	Overall control of fixed assets	Chief Executive	12.4.1
12.3.2	Asset control procedures	Director of Finance & Commissioning	12.4.2
13.	STORES AND RECEIPT OF GOODS (See Overlap with Scheme of Delegation 9.3)		13

DELEGATED MATTER		AUTHORITY DELEGATED TO	SFI PARA REF
13.1	Management and control of stores:		13.2.1
	(a) General	Head of Procurement and Band 8b Manager or above	
	(b) Drugs	Head of Procurement and Band 8b Manager or above following advice from the Medical Director (or Deputy)	
	(c) Fuel	Deputy Director of Operational Support and Band 8b Manager or above	
13.2	Procedure and systems to regulate stores, including records for receipt of goods, issues, returns and losses	Head of Procurement and Band 8b Manager or above	
13.3	Stocktaking Arrangements	Director of Finance & Commissioning	
14.	DISPOSALS AND CONDEMNATIONS, LOSSES AND SPECIAL PAYMENTS		
14.1	Disposals and Condemnations of items included on the asset register (see Scheme of Delegation 12.2.2)	See Scheme of Delegation 12.2.2	14.1, 12.3.4 & 13.2
	Disposals and condemnations of items not included on the asset register up to a value of £25,000	Head of Department or General Manager with notification going to Head of Finance	
	Disposals and condemnations of items not included on the asset register up to a value from £25,001 to £100,000.	Head of Department or General Manager countersigned by Executive Director as designated with notification going to Head of Finance	
14.2	<u>Losses and Special Payments Procedure</u>		14.2
14.2.1	Special Payments – compensation payments made under legal obligation (following written legal advice)		
	(a) Under £100,000 + costs	Director of Finance & Commissioning or Chief Executive plus 1 other Board Executive Director	
	(b) Over £100,001 + costs	Director of Finance & Commissioning or Chief Executive plus 1 other Board Executive Director and 1 Audit Committee Member	

DELEGATED MATTER		AUTHORITY DELEGATED TO	SFI PARA REF
14.2.2	Special Payments within limits set by the Department of Health governing: <ul style="list-style-type: none"> • Extra contractual payments to contractors • Ex-gratia payments • Extra statutory and extra regulatory payments 		
	(a) Maximum limit of £50,000	Director of Finance & Commissioning and Chief Executive	
	(b) Over £50,001	Chief Executive with approval of the Executive Leadership Board	
14.2.3	Losses within limits set by the Department of Health governing: <ul style="list-style-type: none"> • Cash • Fruitless Payments (including abandoned capital schemes) • Bad debts and claims abandoned • Damage to buildings, fittings, furniture, equipment, loss of equipment, property and stores 		
	(a) Under £25,000	Director of Finance & Commissioning or Head of Finance	
	(b) £25,001 to £50,000	Director of Finance & Commissioning and Chief Executive or nominated deputy in their absence	
	(c) £50,001 to £249,999	Director of Finance & Commissioning following recommendation by Executive Leadership Board	
	(d) Over £250,000	Chief Executive or Director of Finance & Commissioning and 1 other Executive Board Director and 1 Audit Committee Member	
14.2.4	Novel, contentious or repercussive losses or special payments	Director of Finance & Commissioning to refer to Department of Health for approval	
14.2.5	All write-offs and special payments and losses to be reviewed by the Audit Committee	Director of Finance & Commissioning	
15.	FINANCIAL SYSTEMS (IT)		15
15.1	Responsibility for accuracy and security of computerised financial data of the Trust	Director of Finance & Commissioning	

DELEGATED MATTER		AUTHORITY DELEGATED TO	SFI PARA REF
15.2	Risk assessment and approval of all requirements for general applications impacting on corporate financial systems	Director of Finance & Commissioning	
16.	PATIENTS' PROPERTY		16
16.1	Provision of written instructions for the collection, safe custody, investment, recording and disposal of money and other personal property handed in by patients, or found in the possession of patients dying in hospital or dead on arrival	Director of Finance & Commissioning	16.3
16.2	Operational management of patients' property in accordance with patients' property procedures	Head of Department or General Managers	
17.	FUNDS HELD ON TRUST		17
17.1	Corporate Trustee for the management of funds held in Trust	Board of Directors	
17.2	Nomination of Executive and Non-Executive Directors to discharge the Trust's corporate trustee responsibilities	Board of Directors through appointment to the Audit Committee	
17.3	Management of trust funds:		
	(a) Executive Fundraising Lead	Director of Finance & Commissioning	
	(b) Accounts Management	Director of Finance & Commissioning	
17.4	Reporting on income and expenditure on funds held in Trust to Audit Committee	Director of Finance & Commissioning	
17.5	Approval to Fundraising/Appeal Launch:		
	(a) Projected Fundraising up to £5,000	Head of Department or General Manager and Director of Finance & Commissioning	
	(b) Projected Fundraising between £5,001 - £300,000	Audit Committee following Head of Department or Senior Locality Manager/ Director of Finance & Commissioning support	
	(c) Over £300,000	Board of Directors following Audit Committee recommendation	
17.6	Funds held in Trust - Expenditure		
	(a) Under £1,500 per request	Head of Financial Services or Deputy Head of Financial Services	
	(b) £1,501 to £5,000 per request	Head of Finance	
	(c) £5,001 to £25,000 per request	Director of Finance & Commissioning	

DELEGATED MATTER		AUTHORITY DELEGATED TO	SFI PARA REF
	Requests over £25,001	Chief Executive, Director of Finance & Commissioning and Audit Committee Chair/Member	
18.	ANTI-BRIBERY		
18.1	Nomination of Compliance Officer	Board of Directors	
18.2	Development and maintenance of policy	Compliance Officer (Director of Finance & Commissioning) in conjunction with Head of Governance	
19.	ACCEPTANCE OF GIFTS BY STAFF/STANDARDS OF BUSINESS CONDUCT (In Accordance with Standards of Business Conduct Policy in Respect of Interests, Gifts, Hospitality, Sponsorship, Advertising and Partnership Arrangements)		18
19.1	Development and maintenance of policy on standards of business conduct and acceptance of gifts and other benefits in kind by staff.	Head of Governance	
19.2	Maintenance of Gifts and Hospitality Register	Head of Governance	
19.3	Approval of Acceptance of Gifts/Hospitality which exceeds the limit of £25	Chief Executive/Director of Finance & Commissioning in support of Head of Department or General Managers/Executive Director (as appropriate)	
19.4	Annual Audit of Hospitality Register	Director of Finance & Commissioning/Audit Committee	
19.5	Maintenance of Declaration of Interest Registers:		
	(a) Board of Directors	Head of Governance	
	(b) Trust Employees	Head of Governance	
20.	AUTHORISATION OF COMMERCIAL SPONSORSHIP, ADVERTISING OR PARTNERSHIP ARRANGEMENTS		
20.1	General Sponsorship, Advertising or Partnership Arrangements (including Charitable Fund Sponsorship)	Chief Executive with Medical Director & Director of Finance & Commissioning	
20.2	Research & Development Sponsorship, Advertising or Partnership Arrangements	Clinical Development & Effectiveness	

DELEGATED MATTER		AUTHORITY DELEGATED TO	SFI PARA REF
		Group after approval by the Medical Director/Chief Executive	
21.	RETENTION OF DOCUMENTS/DATA PROTECTION		19
21.1	Compliance with Records Management – NHS Code of Practice	Chief Executive in conjunction with Director of Strategy and Sustainability (as SIRO)	
21.2	Compliance with Access to Health Records	Medical Director (as Caldicott Guardian) in conjunction with Director of Strategy and Sustainability (as SIRO)	
21.3	Compliance with the Data Protection and Freedom of Information Acts	Director of People & Culture and Director of Clinical Quality and Improvement in conjunction with Director of Strategy and Sustainability (as SIRO)	
21.4	Caldicott Guardian	Medical Director	
22.	RISK MANAGEMENT AND INSURANCE		20
22.1	<u>Risk Management</u>		
22.1.1	Administers programme of risk management, approved and monitored by the Board of Directors	Chief Executive in conjunction with Director of Clinical Quality and Improvement	20.1
22.1.2	Integration and evaluation of the programme of risk management to provide a basis to make a statement on the effectiveness of internal control (Annual Governance Statement) within the Annual Report and Accounts as required by current Department of Health guidance	Chief Executive	20.1
22.1.3	Review of Fire Precautions	Director of People & Culture	
22.1.4	Review of all statutory compliance legislation pertaining to Health & Safety	Director of People & Culture	
22.1.5	Review of compliance with environmental regulations, e.g. clean air and waste disposal	Deputy Director of Operations Support and Band 8b Manager or above	
22.1.6	Infection, Prevention & Control Responsibility	Director of Clinical Quality and Improvement	
22.1.7	Incident and Serious Incident Reporting	Medical Director (in conjunction with	

DELEGATED MATTER		AUTHORITY DELEGATED TO	SFI PARA REF
		the appropriate external bodies and Trust's Communications Team)	
22.1.8	Infectious Diseases and Notifiable Outbreaks	Medical Director	
22.1.9	Safeguarding	Director of Clinical Quality and Improvement	
22.1.10	Senior Information Risk Officer/Senior Responsible Owner	Director of Strategy and Sustainability	
22.1.11	Executive Responsibility for Maternity Services	Director of Clinical Quality and Improvement	
22.1.12	Security Management Director	Chief Executive in conjunction with Director of Clinical Quality and Improvement	
22.1.13	Sustainability Development	Director of Strategy and Sustainability	
22.1.14	Health and Safety Lead	Director of People & Culture	
22.1.15	Emergency Planning (EPRR) Lead	Chief Operating Officer	
22.1.16	Child Protection and Vulnerable Persons Lead	Director of Clinical Quality and Improvement	
22.1.17	Resuscitation Officer	Medical Director	
22.1.18	NHS Constitution Executive Lead	Chief Executive	
23.2	<u>Insurance</u>		
23.2.1	Approval of insurance policies and engagement of additional insurance over and above the NHS Resolution Scheme.	Director of Finance & Commissioning	
24.	CONSULTATION		
24.1	<u>Formal Consultation</u>		
24.1.1	Compliance with Section 242 of the NHS Act 2006 and Regulation 4A of the Local Authority (Overview & Scrutiny Committee's health scrutiny functions) Regulations 2002	Chief Executive in conjunction with the Head of Department or General Manager or Service Delivery Directorate	
24.2	<u>Media Liaison</u>		
24.2.1	All enquiries:		
	(a) within hours (Monday – Friday 9 am – 5 pm)	Director of Communications and Communications Team in conjunction with Directors/ Managers (as	

DELEGATED MATTER		AUTHORITY DELEGATED TO	SFI PARA REF
		appropriate)	
	(b) outside hours	On-call Communications Team in conjunction with Designated Duty Manager or Executive Director (as appropriate)	
24.	ENGAGEMENT OF TRUST SOLICITORS		
24.1	Award of Contract in accordance with tender procedures	Board of Directors	
24.2	Referral of Trust Issues for Legal Opinion:		
	All requests for external legal advice will be routed through the Head of Governance or an Executive Director. The leads for each are detailed below		
	(a) Corporate Law	Head of Governance or Chief Executive	
	(b) Property, major transactions, commercial and associated contractual law	Director of Finance & Commissioning or Director of Strategy and Sustainability or Deputy Director for Operations Support or Head of Estates	
	(c) Clinical and Risk Management Law	Director of Clinical Quality and Improvement	
	(d) Contract or Commercial Law	Director of Finance & Commissioning or Director of Strategy and Sustainability	
	(e) Employment Law	Director of People & Culture or Nominated Deputy	
	(f) R&D, Intellectual Property Law	Medical Director/or nominated deputy in conjunction with Research Manager	
25.	PATIENT SERVICES		
25.1	Patients' and Relatives' complaints management, including clinical negligence complaints	Director of Clinical Quality and Improvement	
25.2	Variation of operating and clinical sessions within existing resources	Chief Operating Officer in conjunction with appropriate Head of Department or General Manager (or nominated	

DELEGATED MATTER		AUTHORITY DELEGATED TO	SFI PARA REF
		deputy) & Director of Clinical Quality and Improvement and Medical Director	
25.3	Variation to changes in operational fleet allocation:		
	(a) Temporary Variation	Chief Operating Officer in conjunction with appropriate Head of Department or General Manager or their nominated deputy	
	(b) Permanent Change	Chief Operating Officer in conjunction with Director of Strategy and Sustainability	
26.	EXTENDED ROLE ACTIVITIES		
26.1	Approval of staff to undertake extended professional clinical roles	Chief Executive in conjunction with Medical Director or Director of Clinical Quality and Improvement (as appropriate)	
27.	POLICIES AND PROCEDURES		
27.1	Approval of all non-clinical organisational/operational policies and procedures for and on behalf of the Board of Directors <i>The Chief Executive will have discretion to declare matters for specific consideration directly to the Board of Directors for approval.</i>	Executive Leadership Board following recommendation from the Senior Leadership Board and consultation with relevant stakeholders	
28.	ATTESTATION OF SEALINGS AND REGISTER		
28.1	Attestation of Sealings in accordance with Standing Orders of the Board of Directors	Chair and Chief Executive or nominated deputies	
28.2	Maintenance of Register of Sealings	Head of Governance	
29.	RESEARCH & DEVELOPMENT (See also overlap with Scheme of Delegation 20 – Authorisation of Sponsorship Deals as well as Scheme of Delegation 6.12 - Compliance Requirements for All Contracts and 7 - Contracting for the Provision of Services)		
29.1	Authorisation of Research and Development (subject to contract approvals) Delegation)	Chief Executive following recommendation from Clinical	

DELEGATED MATTER		AUTHORITY DELEGATED TO	SFI PARA REF
		Development and Effectiveness Group	
29.2	Authorisation of Clinical Trials (subject to contract approvals)	Chair of Clinical Development and Effectiveness Group with Chief Executive and Medical Director	
30.	CLINICAL PRODUCTS		
30.1	Assessment and recommendation of clinical products	Operational Procedure Group and Deputy Medical Director prior to recommendation to Senior Leadership Board	
31.	MEDICINES INSPECTORATE (In Accordance with the Medicines Management Policy)		
31.1	Review and implementation of Medicines and Healthcare products Regulatory Agency (MHRA) Regulations	Medical Director	
32.	REGULATION OF MEDICAL PRACTITIONERS		
32.1	Responsible Officer	Medical Director	
33.	EXTERNAL AUDITOR SERVICES		tbc
33.1	Advise the organisation's board on the selection and appointment of the external auditor	Director of Finance & Commissioning Auditor Panel	
33.2	Advise the organisation's board on the maintenance of an independent relationship with the appointed external auditor	Auditor Panel	
33.3	Under the Audit Code, the External Auditor may provide the Trust with services which are outside the scope of the audit. Application of the Trust's "Provision of Additional Services by the External Auditor" should be applied to ensure no conflict of interest and ethical standards are applied.	Auditor Panel approval required before engagement. If timing precludes this, the Auditor Panel Chair and Director of Finance & Commissioning may take action and report to next Auditor Panel meeting.	
34	Emergency Preparedness, Resilience and Response compliance (In accordance with the Civil Contingencies Act 2004, the Health and Social Care Act 2012 particularly the subsection NHS England EPRR Framework):		

DELEGATED MATTER		AUTHORITY DELEGATED TO	SFI PARA REF
34.1	Responsible Officer for discharging the duties and responsibilities of the Trust as a category 1 responder	Chief Operating Officer	
34.2	Responsible Manager for attendance at Local Health Resilience Partnerships	Sector Head of STP areas	

Approved by Trust Board: 27 March 2019