

Scheme of Responsibility, Authority & Decision	Type: Policy Register No: 07030 Status: Public
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Developed in response to:	Governance Requirement, Code of Accountability
Contributes to CQC Core Standard number:	n/a

Consulted With	Post/Committee/Group	Date
James Day	Trust Board Secretary	October 2015
Veronica Watson	Interim Deputy Director of Finance	October 2015
Richard Whiteside	Assistant Director of Procurement	October 2015
Kate Thompson	Head of IT	October 2015
Colleen Hart	Deputy Director of HR	October 2015
Mark Kidd	Local Counter Fraud Specialist	October 2015
Professionally Approved By	Audit Committee	October 2015

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Ratified on:	n/a
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Author/Contact for Information	Belinda Butt
Policy to be followed by (target staff)	All Trust staff
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Related Trust Policies (to be read in conjunction with)	Standing Financial Instructions Standing Orders Scheme of Reservation & Delegation

Document Review History

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1.1	B Butt	April 2007
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8.0	Belinda Butt	29 th February 2016

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. Delegation to lower levels is only permitted with the 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 the Standing Financial Instructions and Standing Orders of the Board of Directors.

Trust Function		Authority Delegated To	SFI /SO Ref / Trust Policy Ref
1.	Business Planning, Budgets, Budgetary Control & Monitoring		
1.1	<u>Preparation & Approval of Business Plans & Budgets</u>		
1.1.1	Preparation and submission of the Annual Business Plan to the Board of Directors	Chief Executive	SFI 3.1.1
1.1.2	Preparation of Departmental Service Plan	Clinical / Executive Director	SFI 3.1.1
1.1.3	Information to enable Annual Budget Setting	Budget Holders & Executive Directors	SFI 3.1.1
1.2	<u>Budgetary Control & Delegation</u>		
1.2.1	Responsibility for designation of revenue budget holder	Chief Executive	SFI 3.2.1
1.2.2	Responsibility for management of revenue budgets	Budget Holders	SFI 3.2.1
1.2.3	Responsibility for the totality of services covered by each clinical directorate /department	Clinical Director / Executive Director responsible for the directorate / department	SFI 3.2.1
1.2.4	Responsibility for all other revenue budgets	Director of Finance	SFI 3.2.4
1.2.5	Responsibility for designation of capital budget holders in line with approved capital programme	Chief Executive	SFI 3.4
1.2.6	Responsibility for management of capital budgets	Budget Holders	SFI 3.4
1.2.7	Responsibility for management of capital programme	Director of Finance	SFI 3.4
1.2.8	Budget virements across directorates / departments (excluding application of central reserves)	Both Budget Holders	SFI 3.3.1
2.	Annual Accounts		
2.1	Preparation and submission of annual financial report	Director of Finance	SFI 4.1
2.2	Preparation and publication of Annual Report and Accounts and presentation	Director of Finance & Director of Communications	SFI 4.2 & 4.3

	to the Board of Directors and to the Annual General Meeting.		
3.	Bank & Treasury Management Policy		
3.1	Compilation & submission of Treasury Management Policy to Board of Directors	Director of Finance	SFI 5.1.1 Treasury Management Policy (09067)
3.2	Monitoring of Treasury Management Policy and provision of advice to the Board of Directors	Director of Finance	SFI 5.1.1
3.3	Approval of Banking Arrangements	Board of Directors	SFI 5.1.2
3.4	Responsibility for bank accounts including detailed instructions for operation	Director of Finance	SFI 5.2
3.5	Opening of Bank Accounts	Director of Finance & Chief Executive	SFI 5.2
3.6	Designation of authorised officers, by resolution of the Board of Directors for signing of cheques, BACS, CHAPS and other payment schedules.	Director of Finance / Board of Directors	SFI 5.3
3.7	Cheques or other payments from main GBS accounts and charitable fund GBS accounts	Two authorised officers	SFI 5.3.1
3.8	Investment of Funds	Director of Finance to nominate persons authorised to invest on behalf of the Trust	SFI 10
4.	Income, Fees and Charges and Security of Cash, Cheques and Other Negotiable Instruments		
4.1	Design, maintain and ensure compliance with income and expenditure systems for prompt banking of all monies	Director of Finance	SFI 6.1
4.2	Responsible for debt recovery	Director of Finance	SFI 6.3
4.3	Responsible for the security of cash, cheques and other negotiable instruments	Director of Finance	SFI 6.4
4.4	Monitoring of money laundering regulations	Director of Finance	SFI 6.5
4.5	Reporting of any cash payments in excess of £15,000 in respect of any single transaction to the Director of Finance	All employees	SFI 6.5
5.	Tendering, Quotations & Contracting Procedures		
5.1	<u>Legislation and guidance covering Public procurement</u>		
5.1.2	Monitoring compliance with Public Contract Regulations and relevant EC directives	Director of Finance	SFI 7.2

5.2	Capital Investment	See section 11	
5.3	<u>Quotations, Tendering, Leasing and Contract Procedures (Applicable to all goods and services including healthcare services)</u>		
5.3.1	Quotation & Tendering Limits (all limits quoted include VAT):		SFI 7.6
	a) For goods / services up to £7,499	Budget Holder / Nominated authorised signatory <i>(subject to VFM criteria and procurement procedure)</i>	SFI 7.6.1
	b) For goods / services greater than £7,500 up to £40,000 three written quotations to be obtained	Budget Holder / Nominated authorised signatory <i>(subject to VFM criteria and procurement procedure)</i>	
	c) For goods / services greater than £40,000 up to EU procurement limits three written tenders	Budget Holder / Nominated authorised signatory <i>(tender that offers the Trust the best value for money to be accepted otherwise to be approved by Chief Executive / Director of Finance)</i>	
	d) For goods / services where EU limits apply three written tenders	Nominated authorised signatory – see SFI 7.7 <i>(tender that offers the Trust the best value for money to be accepted otherwise to be approved by Chief Executive / Director of Finance)</i>	SFI 7.7
	e) Where goods / services are listed on a framework agreement, the framework selection process (mini competition) should be followed, if not prescribed then quotations should be obtained from all capable suppliers.	Budget Holder / Nominated authorised signatory <i>(tender that offers the Trust the best value for money to be accepted otherwise to be approved by Chief Executive / Director of Finance)</i>	
5.3.2	Waivers of Quotations & Tendering		
	a) Waivers of Quotations – between £7,500 and up to £40,000	Assistant Director of Procurement & Chief Executive or Director of Finance & notification to the Audit Committee	
	b) Waivers of Tenders up to EU limit	Assistant Director of Procurement & Chief Executive & Director of Finance & notification to the Audit Committee	
5.4	List of Approved Firms		
5.4.1	Compilation and maintenance of approved list of firms for tendering	Director of Finance	
5.4.2	Responsibility for ensuring all suppliers aware of the Trust's Terms and Conditions of Contract	Director of Finance	
5.4.3	Responsibility for ensuring financial standing and technical competence of	Director of Finance	

	approved contractors.		
5.4.4	Responsibility for ensuring technical / medical competence of approved contractors for clinical governance purposes	Director of Nursing / Chief Medical Officer	
5.4.5	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 and financial capability of those invited to tender.	Director of Finance	
5.5	<u>Invitation to Tender</u>		
5.5.1	Issue of all tenders for goods, services, materials, 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	Assistant Director of Procurement	
5.6	<u>Receipt and Safe Custody of Tenders</u>		
5.6.1	Receipt of tenders via post	Trust Board Secretary	
5.6.2	Receipt of tenders electronically	Assistant Director of Procurement	
5.7	<u>Tender Opening / Evaluation / Acceptance / Recording</u>		
5.7.1	Opening of Postal Tenders		
	a) Up to £250,000	Executive Director & Senior Manager (band 8c & above or equivalent – not from originating department)	
	b) Over £250,000	Executive Director & Non-Executive Director	
5.7.2	Opening of Electronic Tenders		
	a) Up to £999,999	Assistant Director of Procurement	
	b) Over £1,000,000	Assistant Director of Procurement and Senior Manager (band 8c & above or equivalent – not from originating department)	
5.7.3	Preparation and submission of formal written Tender Evaluation Report (in exceptional circumstances in line with SFI's)	Assistant Director of Procurement	SFI 7.5.7
5.7.4	Acceptance of formal written Tender Evaluation Report		
	a) Up to £250,000	Executive Directors	SFI 7.7
	b) Over £250,000 up to £500,000	Chief Executive or Director of Finance	SFI 7.7
	c) Over £500,000 up to £1m	Chief Executive and Director of Finance	SFI 7.7
	d) Over £1m	Board of Directors (to be recorded in the minutes of the meeting)	SFI 7.7
5.7.5	Approval of expenditure over agreed tender / quotation budget:		
	a) Where tender / quotation price	Executive Director	

	is greater than up to 10% to a maximum of £25,000		
	b) Where tender / quotation price is greater than the tender price by £25,000 to £50,000	Director of Finance	
	c) Where tender / quotation price is greater than the tender price by £50,000 to £100,000	Chief Executive	
	d) Where tender / quotation price is greater than £100,000	Chief Executive & Director of Finance	
5.8	<u>Private Finance for Capital Procurement</u>		
5.8.1	Approval of PFI capital procurement	Board of Directors	
5.9	<u>Bidding for New Business</u>		
5.9.1	Approval to submit tenders for new business:		
	a) Up to £500,000 (income)	Investment Group	
	b) Over £500,000 up to £1m (income)	Finance & Performance Committee	
	c) Over £1m	Board of Directors	
6.	<u>Contracting</u>		
6.1	Regular review of capacity and capability of the Trust to provide the mandatory goods and services	Board of Directors	
6.2	All contracts, being legally binding, shall comply with best costing practise 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:		
	a) Up to £250,000	Executive Director	
	b) Over £250,000 up to £500,000	Chief Executive or Director of Finance	
	c) Over £500,000 up to £1m	Chief Executive and Director of Finance	
	d) Over £1m	Board of Directors	
6.3	Reporting on actual and forecast service activity income	Director of Finance	
7.	<u>Terms of Service, Allowance and Payment of Members of the Board of Directors and Employees</u>		
7.1	<u>Engagement of Staff not on Establishment</u>		
7.1.1	Authority to engage non-medical Consultancy staff where an annualised commitment is greater than £75,000	Executive Director & HR Director (if over £150,000 to be reported to the Finance & Performance Committee)	SFI 8.3
7.1.2	Authority to engage medical consultancy staff where an annualised commitment is greater than £200,000	Executive Director & HR Director (and to be reported to the Finance & Performance Committee)	
7.1.3	Authority to engage the Trust's solicitors	Trust Board Secretary, Chairman or Chief Executive in line with policy. (Director of Finance in the	

		absence of the Trust Board Secretary)	
7.1.4	Authority to book bank and agency staff		
	a) Medical Locums	Lead Nurse / Clinical Director / Duty Sister / Matron / Service Co-ordinators	SFI 8.3
	b) Nursing	Ward / Lead Nurse / Clinical Director / Duty Sister	SFI 8.3
	c) Clerical	Clinical Director / Executive Director / Department Head	SFI 8.3
	All temporary staff must be booked in accordance with Trust procedures relating to the booking of temporary staff		
7.1.5	Authority to award honorary contracts		
	a) Medical Staff	HR Director / Deputy Director of HR and Medical Director	
	b) All others	HR Director / Deputy Director of HR and Executive Director	
7.2	Funded Establishment		
7.2.1	Agree workforce plans within annual budget	Board of Directors	SFI 8.2
7.2.2	Authority to fill funded post on the establishment	Budget Holder / Head of Nursing / Clinical or Executive Director following consideration by the Pay Control Group	SFI 8.2
7.2.3	Authority to appoint staff to post not on establishment	Director of Finance and Executive Director following consideration by the Pay Control Group	
7.2.4	Authority to vary skill mix within funded establishment	Budget Holder and Clinical / Executive Director	
7.2.5	All requests for upgrading / regrading (to be dealt with in accordance with Trust procedures)	Director of HR	
7.3	Processing Payroll		
7.3.1	Authority to complete and authorise data forms affecting pay, new starters, variations and leavers	Authorised Signatory / Human Resources Service Centre Staff	SFI 8.4
7.3.2	Authority to complete and authorise payroll reporting forms (negative / positive returns)	Executive Directors / Budget Holders per Authorised Signatory Data base	SFI 8.4
7.3.3	Authority to authorise overtime, travel and subsistence	Executive Directors / Budget Holders per Authorised Signatory Data base	SFI 8.4
7.3.4	Authority to agree local pay variations	Executive Director / Chief Executive / Director of Human Resources	SFI 8.4
7.3.5	Authority to agree starting salary outside of normal policy	Director of HR	SFI 8.4

7.4	<u>Employment Contracts</u>		
7.4.1	Authority to issue contract of employment in a form approved by the Board of Directors	Director of HR	SFI 8.5
7.4.2	Authority to vary terms and conditions of employment	Director of HR	SFI 8.5
7.4.3	Authority to approve renewal of fixed term contract	Authorised Signatory per Data base following consideration by the Payroll Control Group	
7.5	<u>Leave Authority</u>		
7.5.1	Authority to approve annual leave	Line manager	
7.5.2	Authority to approve carry forward of annual leave (up to a maximum of 5 days)	Line manager / Departmental manager (in line with policy)	Leave Policy 07037
7.5.3	Authority to approve compassionate leave (up to 5 days)	Line manager / Departmental manager (in line with policy)	Leave Policy 07037
7.5.4	Authority to approve compassionate leave (over 5 days)	Department manager / Executive Director (in line with policy)	Leave Policy 07037
7.5.5	Authority to approve special leave (up to 3 days)	Line manager / Departmental manager (in line with policy)	Leave Policy 07037
7.5.6	Authority to approve special leave (up to 5 days)	Department Manager / Executive Director (in line with policy)	Leave Policy 07037
7.5.7	Authority to approve leave without pay	Department Manager / Executive Director in conjunction with HR	Leave Policy 07037
7.5.8	Authority to approve medical staff leave of absence (paid and unpaid)	Clinical Director / Chief Medical Officer	Leave Policy 07037
7.5.9	Authority to approve time off in lieu	Line manager / Departmental manager	Leave Policy 07037
7.5.10	Authority to approve maternity leave	Automatic Approval in line with HR policy	Leave Policy 07037
7.5.11	Authority to approve paternity leave	Line manager / Departmental manager	Leave Policy 07037
7.5.12	Sick Leave – authority to return to work part-time on full pay to assist in recovery	Clinical / Executive Director (in line with policy)	
7.5.13	Authority to approve redundancy	Executive Director & Chief Executive	
7.5.14	Ill health retirement – decision to pursue retirement on grounds of ill-health	Line manager / Director of HR (in line with policy)	
7.6	<u>Relocation Expenses</u>		
7.6.1	Authority to approve payment of relocation expenses incurred by officers taking up new appointments (proving consideration was promised at interview)		
	a) Up to £3,000	Executive Director / Director	

		of HR	
	b) Over £3,000	Executive Director / Chief Executive	
7.7	<u>Authorised Car and Mobile Phone users</u>		
7.7.1	Requests for new posts to be authorised as car users or re-designation of existing posts	Executive Director / Chief Executive	
7.7.2	Requests for new posts to be lease car user	Executive Director	
7.7.3	Requests for new mobile phone	Head of Department / Clinical Director / Executive Director	
7.8	<u>Grievance Procedures / Employment Disputes & Compromise agreements</u>		
7.8.1	All grievance cases must be dealt with in accordance with the Trusts grievance procedure and on advice of HR		04032
7.8.2	Authority to dismiss	Chief Executive in line with HR policy	
7.8.3	Authority to approve compromise agreements.		
	a) Up to £50,000	Chief Executive / Director of HR & Director of Finance, in line with Trust Development Authority guidance on making severance payments	
	b) Over £50,000	Board of Directors following advice from HR, in line with Trust Development Authority guidance on making severance payments	
8.	Facilities for staff not employed by the Trust to gain practical experience		
8.1	Professional recognition, honorary contracts and insurance of medical staff whilst engaged on Trust activities	Director of HR or nominated deputy	
8.2	Work experience students	Director of HR or nominated deputy	
8.3	Co-ordination & training of Volunteers	Director of HR or nominated deputy	
9.	Non Pay Expenditure (Charitable Funds see section 16)		
9.1	Approval of level of non-pay expenditure on an annual basis	Board of Directors	SFI 9
9.2	Determination of the level of delegation to budget managers	Chief Executive	SFI 9.1.2
9.3	Agree and maintain a list of managers authorised to place requisitions for ordering and receipt of goods and services	Director of Finance	SFI 9.1.2

9.4	<u>Requisitioning and Ordering of Goods & Services:</u>		
	a) All requisitions up to £250,000	As per authorised signatory mandate	SFI 9.2
	b) All requisitions up to £999,999	Executive Director & Chief Executive / Director of Finance	SFI 9.2
	c) All requisition over £1,000,000	Chief Executive & Director of Finance following approval of chair	SFI 9.2
9.5	<u>Online requisitioning and ordering of goods and services:</u>		
	a) Inclusion of suppliers within On-line catalogue	Assistant Director of Procurement	
	b) All on line catalogue requisitions	As per authorised signatory mandate	
9.6	<u>Pharmacy requisitioning and ordering of drugs</u>		
	a) Pharmacy orders	As per authorised signatory mandate	
9.7	Designation of authorised officers to issue verbal orders in very exceptional circumstances (confirmation order required)	Director of Finance	SFI 9.2.6
9.8	<u>Development and maintenance of procedures on the seeking of professional advice regarding the supply of goods and services</u>		SFI 9.1.3
9.8.1	Responsibility for ensuring financial standing and technical competence of approved contractors	Director of Finance	SFI 9.1.3
9.8.2	Responsibility for ensuring technical / medical competence of approved contractors for clinical governance purposes	Director of Nursing	SFI 9.1.3
9.8.3	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	SFI 9.1.3
9.9	<u>System of Payment and Payment Verification</u>		
9.9.1	Responsibility for prompt payment of accounts, contact invoices and claims and that payments are only made once goods and services are received and have been appropriately verified	Director of Finance	SFI 9.2.3
9.9.2	Maintenance of a register of employees authorised to certify invoices (including specimen signatures)	Director of Finance	SFI 9.2.3
9.9.3	Responsibility to ensure pre-payments are only used in exceptional circumstances	Director of Finance	SFI 9.2.4
9.10	<u>Petty Cash Disbursements</u>		
9.10.1	Authority to define restrictions in value and by type of purchase for petty cash disbursements and maintenance of	Director of Finance	SFI 9.2.6

	record system.		
9.10.2	Petty Cash Disbursements limits:		
	a) Expenditure up to £50	Authorised Signatory per Data base	SFI 9.2.6
9.11	<u>Leases, Tenancy Agreements & Licences</u>		
9.11.1	Approval of all leases, tenancy agreements, including any variation thereto.	Executive Director	SFI 9.2.6
9.11.2	Letting of premises to outside organisations	Chief Executive	SFI 9.2.6
9.11.3	Approval of rent based on professional assessment	Director of Finance	SFI 9.2.6
9.12	Invoiced tolerance levels		
9.12.1	Invoiced amount is 5% or £50 higher than order value	Budget Holder to approve	
9.12.2	Invoiced amount is lower than order value	No further approval required	
10.	External Borrowing and Investments		
10.1	Approval of loans:		
	a) To be taken out with repayment period over one year	Board of Directors	SFI 10.1
	b) To be taken out with repayment period within one year	Director of Finance	SFI 10.1
	c) Applications for working capital facilities	Director of Finance (Report to be provided to Finance & Performance Committee)	SFI 10.1
10.2	Responsibility for investment policy	Director of Finance	SFI 10.2
11.	Capital Investment & Private Finance		
11.1	<u>Capital Investment & Private Finance</u>		
11.1.1	Approval of capital programme	Board of Directors	SFI 12.1.1
11.1.2	Approval of business cases and PFI Schemes including approval of variations:		
	a) Up to £500,000	Investment Group	
	b) Up to £1,000,000	Chief Executive following recommendation from Finance & Performance Committee	SFI 12.2
	c) Over £1,000,000 (excluding VAT)	Board of Directors following recommendation by Director of Finance & Chief Executive and Finance & Performance Committee	SFI 12.2
11.1.3	Financial monitoring and reporting on all capital scheme expenditure	Director of Finance	SFI 12.1
11.2	<u>Asset Registers</u>		
11.2.1	Maintenance of Asset Register and responsibility for re-valuation of assets in accordance with the NHS Finance Manual	Director of Finance	SFI 12.3
11.2.2	Approval of asset disposals:		SFI 12.3.4
	a) Land & Buildings	Board of Directors	
	b) With current / estimated	Budget Manager (subject to	

	purchase price up to £500	approval per 13.1 below)	
	c) With current purchase price up to £5,000	Clinical / Executive Director (subject to approval per 13.1 below)	
	d) With Current purchase price over £5,000	Director of Finance (subject to approval per 13.1 below)	
11.3	<u>Security of Assets</u>		
11.3.1	Overall control of fixed assets	Chief Executive	SFI 12.4
11.3.2	Asset control procedures	Director of Finance	SFI 12.4
12.	<u>Stores and receipt of Goods and Services</u>		
12.1	Management and control of stores:		SFI 13.2
	a) General	Director of Finance	
	b) Pharmacy	Chief Pharmacist	
	c) Fuel	Director of Estates	
12.2	Procedure and systems to regulate stores, including records for the receipt of goods, issues, returns and losses	Director of Finance	SFI 13.2
12.3	Stocktaking arrangements	Director of Finance	SFI 13.2
13.	<u>Disposals and condemnations, losses and special payments</u>		
13.1	<u>Disposals and condemnations:</u>		SFI 14 1
	a) Disposal of x-ray film	Information Governance Manager	
	b) Disposal of mechanical and engineering plant	Executive Director	
	c) Disposal of electrical devices	Executive Director	
	d) Disposal of medical products	Executive Director	
	e) Disposal of IT equipment	Executive Lead for IT	
	f) Disposal of records / confidential waste	Senior Information Risk Owner / Information Governance Manager	
	g) Disposal of mobile phones and communication devices	Head of IT	
13.2	<u>Losses and special payments (must follow DH guidance FDL(98)02 and Counter Fraud Policy and Procedure)</u>		
13.2.1	Losses and cash due to theft, fraud, overpayment & others:		SFI 14.2
	a) Up to £5,000	Chief Executive & Director of Finance	
	b) Over £5,000	Audit Committee	
13.2.2	Fruitless Payments (including abandoned Capital Schemes):		SFI 14.2
	a) Up to £200,000	Chief Executive & Director of Finance	
	b) Above £200,000	Audit Committee	
13.2.3	Write off of Debtors, Bad Debts and claims abandoned:		SFI 14.2
	a) Up to £2,500	Director of Finance	
	b) Up to £10,000	Chief Executive & Director of Finance	
	c) Over £10,000	Audit Committee	
13.2.4	Damage to buildings, fittings, furniture and equipment and loss of property and		SFI 14.2

	equipment in stores and in use due to: Culpable causes (e.g. fraud, theft, arson) or other:		
	a) Up to £50,000	Chief Executive	
	b) Above £50,000	Audit Committee	
13.2.5	Compensation payments made under legal obligation	Chief Executive and Director of Finance	SFI 14.2
13.2.6	Extra contractual payments to contractors:		
	a) Up to £50,000	Chief Executive and Director of Finance	
	b) Above £50,000	Trust Board in line with NHS guidelines	
13.2.7	Ex Gratia Payments to patients and staff for loss of personal effects:		
	a) Less than £100	Budget Holder / Head of Department	
	b) Between £100 and £500	Clinical or Executive Director	
	c) Above £500	Chief Executive and Director of Finance	
13.2.8	Excess payments for NHSLA claims	Chief Executive and Director of Finance	SFI 14.2
13.2.9	Structures Ex Gratia settlement payments	Chief Executive and Director of Finance	SFI 14.2
13.2.10	All write – offs, special payments and losses to be reviewed by the Audit Committee	Director of Finance	SFI 14.2
13.2.11	Novel, contentious or repercussive losses or special payments	Director of Finance to report to Department of Health	SFI 14.2
13.2.12	Severance / Termination settlement payments in relation to employees	Per Trust Development Authority guidelines on making severance payments	
14.	Financial Systems (IT)		
14.1	Responsibility for accuracy and security of computerised financial data of the Trust	Director of Finance	SFI 15.1
14.2	Risk assessment and approval of all requirements for general applications impacting on corporate financial systems	Director of Finance	SFI 15.4
15.	Patients Property		
15.1	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 Nursing	SFI 16 (Managing Patients Valuables Policy 07003)
15.2	Operational management of patients property in accordance with patients property procedures	Director of Nursing	SFI 16 (Managing Patients Valuables Policy 07003)
15.3	Petty cash disbursements for patients monies	Budget Holder and Director of Finance	SFI 16

16.	Funds held on Trust		
16.1	Corporate Trustee for the management of funds held on Trust	Board of Directors	SFI 17.1 (Charitable Funds Policy 05007)
16.2	Nomination of Executive and Non-Executive Directors to discharge the Trust's corporate trustee responsibilities	Board of Directors through appointment to the Charitable Funds Committee	SFI 17.1
16.3	Management of funds held on Trust:		SFI 17.1
	a) Executive Fundraising lead	Director of Communications	
	b) Accounts management	Director of Finance	
	c) Investment of Funds	Director of Finance	
16.4	Reporting on income and expenditure on funds held in Trust to Charitable Funds Committee	Director of Finance	
16.5	Approval of Fundraising / Appeal Launch:		
	a) Projected fundraising up to £5,000	Director of Communications	
	b) Projected fundraising between £5,001 - £300,000	Charitable Funds Committee following review & approval of Investment Committee	
	c) Over £300,000	Board of Directors following approval of Investment Committee and Charitable Funds Committee	
16.6	Approval to spend Funds held in Trust		
	a) Up to £500 per request	Fund Manager	
	b) £501 to £2,500 per request	Fund Manager & Head of Department / Directorate	
	c) £2,500 to £5,000 per request	Fund Manager & Executive Director	
	d) £5,000 to £100,000 per request	Fund Manager & Charitable Funds Committee	
	e) Over £100,000	Board of Directors	
17.	Acceptance of Gifts by Staff / Standards of Business Conduct		
17.1	Development and maintenance of policy on standards of business conduct and acceptance of gifts and other benefits in kind by staff.	Director of Finance	SFI 18
17.2	Maintenance of Gifts and Hospitality Register	Trust Board Secretary	
17.3	Approval of Acceptance of Gifts / Hospitality >£25 per item	Executive Directors	
17.4	Approval of provision of hospitality		
	a) Up to £25 where budget exists and within Trust Policy	Clinical Director / Budget Holder	
	b) Above £25 where budget exists and within Trust Policy but less than £100	Executive Director	
	c) Above £100	Chief Executive	

18.	Authorisation of Sponsorship Deals		
18.1	Authorisation of General Sponsorship (including Charitable Fund Sponsorship)	Chief Executive / Medical Director & Ethics Group	
18.2	Authorisation of Research & Development Projects	Chief Executive / Medical Director & Chairman of Research & Development Group & Ethics Group	Trust R&D Policy 04052
18.3	Authorisation of Clinical Trials	Chief Executive / Medical Director & Chairman of Research & Development Group & Ethics Group	
19.	Retention of Documents / Data Protection		
19.1	Compliance with records management – NHS Code of Practice	Chief Executive	SFI 19
19.2	Compliance with the Data Protection and Freedom of Information Acts	Medical Director / Caldicott Guardian / Senior Information Risk Owner	
20.	Risk Management and Insurance		
20.1	Risk Management		
20.1.1	Management and review of risk management strategy	Chief Executive & Director of Nursing	SFI 20.1
20.1.2	Review of Fire Precautions	Chief Executive / Director of Estates & Facilities Management	
20.1.3	Review of compliance with environmental regulations e.g. Those in respect of clean air and waste disposal	Director of Estates & Facilities Management	
20.1.4	Review of statutory compliance legislation and Health & Safety requirements including control of substances Hazardous to Health regulations	Chief Executive / Director of Estates & Facilities Management	
20.1.5	Infectious diseases and notifiable outbreaks	Medical Director	
20.1.6	Reporting of Incidents – Clinical & Non Clinical	Staff should report an adverse incident to the Ward / Department Manager who will report to Executive Director is (SUI) Serious Untoward Incidents will be reported to Director of Patient Safety / Medical Director / Chief Executive & Director of Nursing Information Governance Serious Incidents to be reported to the Caldicott Guardian and the SIRO (Other reporting will be in line with DOH reporting guidance for serious incidents)	Incident Policy 09100
20.1.7	Reporting of Criminal Incidents	Staff should report a criminal incident to the	Incident Policy

		Police and notify their line manager	09100
20.1.8	Reporting suspected fraud & bribery	Staff should report to LCFS and LCFS following investigation will, in agreement with the Director of Finance, report to the Police if appropriate	Counter Fraud Policy 07025
20.1.9	Director responsible for Local Security Management	Director of Estates & Facilities Management	
20.1.10	Maintenance of Declaration of Interests Register	Chief Executive / Trust Board Secretary	
20.2	<u>Insurance</u>		SFI 20.2
20.2.1	Approval of insurance policies and engagement of additional insurance over and above the NHSLA scheme	Chief Executive / Director of Finance	
20.2.2	Management of Insurance policies	Chief Executive / Executive Director / Head of Governance	Insurance Claims Policy 04081
21.	Patient services		
21.1	<u>Patients and Relatives complaints management, including clinical negligence complaints</u>		
21.1.1	Overall responsibility for ensuring that all complaints are dealt with effectively	Chief executive	
21.1.2	Responsibility for ensuring complaints relating to a directorate / department are investigated thoroughly	Clinical Director / Head of Department	Complaints Handling Policy 04082
21.1.3	Co-ordination of all complaints management	Director of Communications	
22.	Policies and Procedures		
22.1	Ratification of Trust Policies and Clinical Guidelines	Document Ratification Group and final sign off by Executive Management Group	Document Ratification Policy 08042
23.	Attestation of Sealing and Register		
23.1	Attestation of sealing in accordance with Standing Orders of the Board of Directors.	Chief Executive / Trust Board Secretary	
23.2	Maintenance of the register of sealing	Trust Board Secretary	
24.	Research & Development (See also with Scheme of responsibility, Authority & Decision 18 – Authorisation of Sponsorship deals)		
24.1	Authorisation of Research & Development Projects	Chief Executive / Medical Director / Chairman of Research & Development Group & Ethics Group	
24.2	Authorisation of Clinical Trials	Chief Executive / Medical Director / Chairman of Research & Development Group & Ethics Group	
25.	Medicines Inspectorate		
25.1	Review of Medicines Inspectorate Regulations	Head of Pharmacy / Medical Director	

26.	Clinical Audit		
26.1	Review of Clinical Audit Processes	Audit Committee	
27.	Information Governance		
27.1	Review and approval of information governance toolkit returns	Information Governance Group (reporting to Patient Safety & Quality Group)	