

Policy Document

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Scheme of Reservation and Delegation of Powers

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Executive Lead:	Chief Finance Officer

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Statement on Trust Policies

The latest version of 'Statement on Trust Policies' applies to this policy and can be accessed [here](#)

CONTENTS

1. INTRODUCTION	7
2. STATEMENT	7
3. SCOPE	7
4. DEFINITIONS	7
5. ROLES AND RESPONSIBILITIES	8
6. EDUCATION/TRAINING AND PLAN OF IMPLEMENTATION	9
7. MONITORING AND REVIEW ARRANGEMENTS	9
8. REFERENCES	9
Appendix A – RESERVATION OF POWERS TO THE TRUST BOARD	10
1.2 General Enabling Provision	10
1.3 Regulation and Control	10
1.4 Appointments and dismissals	11
1.5 Policy determination	11
1.6 Strategy and Business Plans and Budgets	11
1.7 Direct Operational Decisions	12
1.8 Financial and Performance Reporting Arrangements	12
1.9 Audit Arrangements	12
Appendix B – RESERVATION OF POWERS TO THE COMMITTEES OF THE TRUST BOARD	13
1. Delegation to Committees	13
2. Audit Committee	13
3. Nominations and Remuneration Committee	13
4. Quality Governance Committee	14
5. Performance and Finance Committee	14
6. Transformation and People Committee	14
7. Trustee Committee	15
8. Trust Executive Committee	15
Appendix C - SCHEME OF DELEGATION	16
1. General	16
2. Duties delegated as per the Accounting Officer Memorandum	16
2.2 Chief Executive	16
2.3 Chief Executive and Chief Financial Officer	17
2.4 Chief Financial Officer	17
2.5 Chairman and Associate Director of Governance	17
3. Duties delegated from the Code of Conduct and Accountability	17
3.2 Trust Board	17
3.3 All Trust Board Members	18
3.4 Chairman	19
3.5 Chief Executive	19
3.6 Non-Executive Directors	19

3.7 Chairman and Directors	19
4. Duties delegated from the Trust's Standing Orders (SOs)	20
5. Duties delegated from the Trust's Standing Financial Instructions (SFIs)	21
6. Detailed scheme of delegation	29

1. INTRODUCTION

- 1.1 Standing Order (SO) 4 “Arrangements for the exercise of Trust functions by delegation” states that subject to such directions as may be given by the Secretary of State, the Trust Board may make arrangements for the exercise, on behalf of the Trust Board, of any of its functions by a Committee, Sub-Committee appointed by virtue of SO 4, or by an officer of the Trust, or by another body as defined in SO 4.1.2, in each case subject to such restrictions and conditions as the Trust thinks fit.
- 1.2 The purpose of this policy is to set out the powers reserved by the Trust Board, while at the same time delegating to the appropriate level the detailed application of Trust policies and procedures. The Trust Board remains accountable for all of its functions; even those delegated to the Chairman, individual directors or officers and therefore, expect to receive information about the exercise of delegated functions to enable it to maintain a monitoring role.

2. STATEMENT

- 2.1 To provide details of the powers reserved by the Trust Board and the powers delegated to other officers of the Trust.

3. SCOPE

- 3.1 This policy applies to all areas of the Trust and all individuals employed by the Trust including contractors, voluntary workers, students, locum and agency staff and those holding honorary contracts.

4. DEFINITIONS

- 4.1 Detailed below is a list of terms used in this document and a definition of their meaning.

Term	Definition
Budget	Resource, expressed in financial terms, proposed by the Trust for the purpose of carrying out, for a specific period, any or all of the functions of the Trust. The budget should, wherever possible, also be supported by budgets relating to workforce and workload.
Budget Administrator	Employee with delegated authority from a Budget Manager (to a limit of £5,000 inclusive of VAT) to manage finances (income and expenditure) for a specific cost centre or group of cost centres
Budget Manager	Employee with delegated authority from a Budget Holder (to a limit of £25,000 inclusive of VAT) to manage finances (income and expenditure) for a specific cost centre or group of cost centres
Budget Holder	Director or employee with delegated authority to manage finances (Income and expenditure to a limit of £50,000) for a
Departmental Manager	Director or Employee at Band 8a or above responsible for authorisation in line with Human Resources policies
Chairman	The person appointed to lead the Trust Board and to ensure that it successfully discharges its overall responsibility for the Trust as a whole
Chief Executive	Chief officer of the Trust

Chief Financial Officer	Chief Financial Officer of the Trust
Director of Finance	Financial Director for the Trust with powers delegated from the Chief Financial Officer
He/she or his/her	Where this term appears this term is to be taken as referring to the post holder and is interchangeable as the gender of that post holder changes
Scheme of Reservation and Delegation of Powers. Policy number F02	Document which sets out the powers reserved by the Trust Board, while at the same time delegating to the appropriate level the detailed application of Trust policies and procedures. Referred to as 'the Scheme of Delegation' within this document.
Standing Financial Instructions (SFIs). Policy number F01	Document detailing the financial responsibilities, policies and procedures adopted by the Trust. Referred to as 'the SFIs' within this document.
Standing Orders. Policy number G19	Document which sets out the regulation of the Trust proceedings and business. Referred to as the SOs in this document.
Trust	University Hospital of North Midlands NHS Trust
Trust Board	Board of the Trust

Table 1

4.2 Wherever the title Chief Executive, Chief Financial Officer or other nominated officer is used in this Scheme of Reservation and Delegation of Powers, it shall be deemed to include such other Director or employees who have been duly authorised to represent them.

4.3 Wherever the term "employee" and the context permits, it shall be deemed to include employees of third parties contracted to the Trust when acting on behalf of the Trust.

5. ROLES AND RESPONSIBILITIES

5.1 Role of Chief Executive

5.1.1 All powers of the Trust which have not been retained as reserved by the Trust Board or delegated to an Executive Committee or Sub-Committee shall be exercised on behalf of the Trust Board by the Chief Executive. The Chief Executive shall prepare a Scheme of Delegation identifying which functions they shall perform personally and which functions have been delegated to other Directors and Officers.

5.1.2 All powers delegated by the Chief Executive can be reassumed by him/her should the need arise. As Accounting Officer the Chief Executive is accountable for the funds entrusted to the Trust.

5.2 Role of all Directors and Officers

5.2.1 Powers are delegated to Directors and Officers on the understanding that they would not exercise delegated powers in a matter in which their judgment was likely to be cause for public concern.

5.2.2 This policy shows only the "top level" of delegation within the Trust. The Scheme of Delegation is to be used in conjunction with the system of budgetary control and other procedures within the Trust.

5.2.3 In the absence of a Director or Officer to whom powers have been delegated, those powers shall be exercised by that Director or Officers deputy unless alternative arrangements have been requested by the Trust Board.

6. EDUCATION/TRAINING AND PLAN OF IMPLEMENTATION

- 6.1** Training or support on the use of this policy can be obtained from the Assistant Director of Finance – Financial Controller.

7. MONITORING AND REVIEW ARRANGEMENTS

7.1 Monitoring Arrangements

- 7.1.1** In accordance with SOs, the Trust Board shall formally establish a committee of independent members, as an Audit Committee, with formal Terms of Reference, which includes ensuring compliance with the Scheme of Reservation and Delegation of Powers.

As well as ensuring policy compliance through the Trust's own internal systems and controls, this policy is also audited as part of the key financial systems and controls annual audit and any such breaches are reported to audit committee

- 7.1.2** Failure to comply with this policy will be recorded by the Chief Financial Officer. Failure to comply with the policy is a disciplinary matter, which may be reported to the Audit Committee, and could result in dismissal.
- 7.1.3** All members of the Trust Board and employees have a duty to disclose any non-compliance with this policy to the Chief Financial Officer as soon as possible.

7.2 Review

- 7.2.1** This policy will be reviewed two years post ratification, unless changes in national legislation override this or there has been a specific request to review earlier.

8. REFERENCES

Standing Orders – G19
Standing Financial Instructions - F01

Appendix A – RESERVATION OF POWERS TO THE TRUST BOARD

1. GENERAL

1.1 The Code of Accountability which has been adopted by the Trust requires the Trust Board to determine those matters on which decisions are reserved unto itself. These reserved powers are set out in 1.2 – 1.9 below.

1.2 General Enabling Provision

1.2.1 The Trust Board may determine any matter, for which it has delegated or statutory authority, it wishes in full session within its statutory powers.

1.3 Regulation and Control

1.3.1 Approval of Standing Orders (SOs), a schedule of matters reserved to the Trust Board and Standing Financial Instructions (SFIs) for the regulation of its proceedings and business.

1.3.2 Suspend SOs.

1.3.3 Vary or amend the SOs.

1.3.4 Ratify any urgent decisions taken by the Chairman and Chief Executive in public session in accordance with SO 4.2.

1.3.5 Approve a scheme of delegation of powers from the Trust Board to Committees.

1.3.6 Require and receive the declaration of Trust Board members' interests that may conflict with those of the Trust and determining the extent to which that member may remain involved with the matter under consideration.

1.3.7 Require and receive the declaration of officers' interests that may conflict with those of the Trust.

1.3.8 Disciplining Directors who are in breach of statutory requirements or SOs.

1.3.9 Approve arrangements for dealing with complaints.

1.3.10 Adopt the organisation structures, processes and procedures to facilitate the discharge of business by the Trust and to agree modifications thereto.

1.3.11 Receive reports from Committees including those that the Trust is required by the Secretary of State or other regulation to establish and to take appropriate action on.

1.3.12 Confirm the recommendations of the Trust's Committees where the Committees do not have executive powers.

1.3.13 Approve arrangements relating to the discharge of the Trust's responsibilities as a corporate trustee for funds held on trust.

1.3.14 Establish Terms of Reference and reporting arrangements of all Committees and Sub-Committees that are established by the Board.

1.3.15 Approve arrangements relating to the discharge of the Trust's responsibilities as a bailer for patients' property.

1.3.16 Authorise use of the seal.

1.3.17 Ratify or otherwise instances of failure to comply with SOs brought to the Chief Executive's attention in accordance with SO 4.6.

1.3.18 Approval of disciplinary procedure for Directors and Officers of the Trust.

1.4 Appointments and dismissals

1.4.1 Appoint and dismiss Committees (and individual members) that are directly accountable to the Trust Board.

1.4.2 Appoint the Vice Chairman of the Board.

1.4.3 Appoint, appraise, discipline and dismiss Executive Directors.

1.4.4 Confirm appointment of Members of any Committee of the Trust as representatives on outside bodies.

1.4.5 Appoint, appraise, discipline and dismiss the Associate Director of Governance.

1.4.6 Approve proposals from the Remuneration and Nominations Committee regarding directors and senior employees and those of the Chief Executive for staff not covered by the Remuneration and Nominations Committee.

1.5 Policy determination

1.5.1 The approval of management policies including Human Resources policies incorporating the arrangements for the appointment, removal and remuneration of staff.

1.6 Strategy and Business Plans and Budgets

1.6.1 Define the strategic aims and objectives of the Trust.

1.6.2 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.

1.6.3 Approve and monitor the Trust's policies and procedures for the management of risk.

1.6.4 Approve the Capital Programme.

1.6.5 Approve annually plans in respect of health investment & services provision and the application of available financial resources.

1.6.6 Approve annually Trust's proposed organisational development proposals.

1.6.7 Ratify proposals for acquisitions and disposals.

1.6.8 Approve PFI proposals for new PFI schemes.

1.6.9 Approve proposals on individual contracts (other than NHS contracts) of a capital or revenue nature as per scheme of delegation approved limits.

1.6.10 Approve proposals for action on litigation against or on behalf of the Trust.

1.6.11 Review use of NHS Litigation Authority (NHSLA) risk pooling schemes (LPST/CNST/RPST).

1.7 Direct Operational Decisions

- 1.7.1 Acquisition, disposal or change of use of land and/or buildings.
- 1.7.2 The introduction or discontinuance of any significant activity or operation. An activity or operation shall be regarded as significant if it has a gross (i.e. including VAT) annual income or expenditure (that is before any set off) of £500,000.
- 1.7.3 Approval of individual compensation payments over £25,000.
- 1.7.4 Agree action on litigation against or on behalf of the Trust.

1.8 Financial and Performance Reporting Arrangements

- 1.8.1 Continuous appraisal of the affairs of the Trust by means of the receipt of reports as it sees fit from Directors, Committees and officers of the Trust as set out in management policy statements. All monitoring returns required by NHS Improvement and the Charity Commission shall be reported, at least in summary, to the Trust Board.
- 1.8.2 Approve the opening and closing of bank accounts.
- 1.8.3 Receipt and approval of a schedule of NHS contracts signed in accordance with arrangements approved by the Chief Executive.
- 1.8.4 Receipt and approval of the Trust's Annual Report including the annual accounts.

1.9 Audit Arrangements

- 1.9.1 Receipt of the annual management letter received from the external auditor and agreement of action on the recommendations, where appropriate, of the Audit Committee.
- 1.9.2 Receipt of the annual report received from the internal auditor and agreement of action on the recommendations, where appropriate, of the Audit Committee.
- 1.9.3 Ratify the approval of the appointment or dismissal of the external auditor.
- 1.9.4 Approval of external auditor's arrangements for the separate audit of funds held on Trust.

Appendix B – RESERVATION OF POWERS TO THE COMMITTEES OF THE TRUST BOARD

1. Delegation to Committees

1.1 The Trust Board may determine that certain powers shall be exercised by Standing Committees. The composition and Terms of Reference of such committees shall be that determined by the Trust Board from time to time taking into account where necessary the requirements of Department of Health and Social Care, NHS Improvement and/or the Charity Commission. The Trust Board shall determine the reporting requirements in respect of these committees. In accordance with SO 4.3 committees may not delegate executive powers to their sub groups unless expressly authorised by the Trust Board.

2. Audit Committee

2.1 The Audit Committee will support the Trust Board in their responsibilities for issues of risk control and governance by reviewing the comprehensiveness of assurances in meeting the Trust Board and Accounting Officer's assurance needs and review the reliability and integrity of these assurances.

2.2 The Committee will advise the Trust Board and Accounting Officer on:

- (a) The strategic processes for risk, control and governance and the Annual Governance Statement
- (b) The accounting policies, the accounts, and the annual report of the organisation, including the process for review of the accounts prior to submission for audit, levels of error identified, and management's letter of representation to the external auditors
- (c) The planned activity and results of both internal and external audit including Counter Fraud arrangements
- (d) Adequacy of management response to issues identified by audit activity, including external audit's management letter
- (e) Assurances relating to the corporate governance requirements for the organisation
- (f) (Where appropriate) proposals for tendering for either internal or external audit services, or for purchase of non-audit services from contractors who provide audit services
- (g) Anti-fraud policies, whistle-blowing processes, and arrangements for special investigations

3. Nominations and Remuneration Committee

3.1 The Committee will:

- (a) Advise the Trust Board about appropriate remuneration and terms of service for the Executive Directors (i.e. Trust Board voting and no-voting members), the Chief Executive and posts assigned to the Very Senior Manager framework. This will include:
 - (i) All aspects of salary (including any performance-related elements/bonuses)
 - (ii) Provisions for other benefits, including pensions and cars
 - (iii) Arrangements for termination of employment and other contractual terms
- (b) Monitor and evaluate the performance of individual Directors (with the advice of the Chief Executive)

- (c) Advise on and oversee appropriate contractual arrangements for Executive Directors, and when required, consider issues relating to remuneration, terms of service and performance issues for senior management staff

3.2 The Committee Chairman shall make recommendations to the Trust Board regarding the Composition of the Trust Board to ensure there are robust processes in place to review the role and performance of Non-Executive Directors and the Chairman, and to advise the Chairman regarding the filling of Non-Executive Vacancies.

3.3 The Committee is also responsible for reviewing and advising the Trust Board on the appointment process for Non-Executive Directors.

4. Quality Governance Committee

4.1 The Quality Governance Committee will assure the Trust Board of the organisation's performance against quality and research objectives. This assurance is secured through the Assurance Framework, the Corporate Risk Register and the audit plans, which focus on the quality and research objectives of the Trust.

4.2 The primary duties of the Committee are:

- (a) To provide assurance to the Trust Board, of the level, adequacy and maintenance of integrated governance, risk management and internal control across quality and research governance activities
- (b) In respect of this Committee, quality is defined as made up of three elements; patient safety, clinical best practice and patient experience.

5. Performance and Finance Committee

5.1 The Performance and Finance Committee will oversee all aspects of the Trust's financial, workforce and performance management arrangements, and provide robust assurance in these areas to the Trust Board. The Trust Board will continue to have primary responsibility for the financial, organisational development and business performance of the Trust and all Trust Board Directors will continue to be accountable in this respect.

5.2 The Committee will:

- (a) Consider financial, operational and workforce strategies, prior to submission to the Trust Board for approval
- (b) Approve business cases in accordance with delegated authority from the Trust Board
- (c) Review progress against the delivery of business plans
- (d) Oversee financial, operational and workforce related strategic risks, and their mitigation plans, through the Board Assurance Framework on a quarterly basis
- (e) Escalation of matters to Trust Board as agreed by the Committee

6. Transformation and People Committee

6.1 The Committee will assure the Trust Board in relation to the strategic impact of the Transformation Programmes and People and Organisational Development Strategy on the delivery of the Trust's strategic objectives.

6.2 The Committee will:

- (a) Ensure that strategic transformation, workforce and organisational development matters are considered and planned into Trust Strategy and service delivery
- (b) Approve new Workforce / Organisational Development projects and practices, paying particular attention to the impact on patient experience, quality, efficiency, equality and diversity and workforce
- (c) Approve the development implementation and evaluation of Leadership and Management Development, Talent Management & Succession Planning, Wellbeing Plans and Apprenticeship and Widening participation activity.
- (d) Approve mandated workforce reporting returns including workforce equality, revalidation and Safe Staffing reports

7. Trustee Committee

7.1 The Committee will:

- (a) Be responsible for all aspects of the management of the investment of funds held in the Trust (i.e. Charitable Funds) and for the effective utilisation of those funds
- (b) Ensure Charities Commission requirements are fulfilled
- (c) Provide assurance to the Trust Board that systems have been established to manage the funds ensuring that the identification, assessment and management of risk is linked to the achievement of the charity's operational objectives.

8. Trust Executive Committee

8.1 The Committee will execute actions delegated from the Trust Board and to support the operational management of the Trust in accordance with the Trust's Standing Orders and the Standing Financial Instructions.

8.2 The Committee:

- (a) Is the executive arm of the Trust through which all officer-led Forum/Steering Groups within the Trust report
- (b) Is the Trust's nominated risk committee
- (c) Will advise the Chief Executive on key issues, which affect the delivery of services within the Trust to reach clear executive decision and action

Appendix C - SCHEME OF DELEGATION

1. General

- 1.1.1 The Scheme of Delegation has been designed to be a comprehensive response to the range of delegated matters identified in nationally promulgated guidance to the NHS and in the Trust's own SFIs and SOs.
- 1.1.2 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 within the written approval of the Chief Executive who will, before authorising such delegation, consult with other Senior Officers as appropriate.
- 1.1.3 Certain matters needing to be covered in the Scheme of Delegation are not covered by SFIs or SOs or they do not specify the responsible officer. These are included in the Detailed Scheme of Delegation (section 5).
- 1.1.4 This Scheme of Delegation covers only matters delegated by the Trust Board to Directors and certain other specific matters referred to in SFIs. Each Director is responsible for the delegation within his/her directorate. He/she must produce a scheme of delegation for matters within his/her directorate, which must receive the written approval of the Chief Executive. In particular the Scheme of Delegation should include how the directorate budget and procedures for approval of expenditure are delegated.

2. Duties delegated as per the Accounting Officer Memorandum

- 2.1 The Accounting Officer Memorandum is strictly applicable to NHS bodies accountable to the Secretary of State.

2.2 Chief Executive

2.2.1 Duties delegated:

- (a) Accountable through NHS Accounting Officer to Parliament for stewardship of Trust resources
- (b) Sign a statement in the accounts outlining responsibilities as the Accountable Officer
- (c) Ensure effective management systems that safeguard public funds and assist the Trust Chairman to implement requirements of corporate governance including ensuring managers:
 - (i) Have a clear view of their objectives and the means to assess achievements in relation to those objectives
 - (ii) Be assigned well defined responsibilities for making best use of resources
 - (iii) Have the information, training and access to the expert advice they need to exercise their responsibilities effectively
- (d) Achieve value for money from the resources available to the Trust and avoid waste and extravagance in the organisation's activities
- (e) Follow through the implementation of any recommendations affecting good practice as set out in reports from such bodies as the External Auditors
- (f) Primary duty to see that Chief Financial Officer discharges this function.

- (g) Ensuring that expenditure by the Trust complies with Parliamentary requirements.
- (h) If the Chief Executive considers the Trust Board or Chairman is doing something that might infringe probity or regularity, he/she should set this out in writing to the Chairman and the Trust Board. If the matter is unresolved, he/she should ask the Audit Committee to inquire and if necessary NHS Improvement (NHSI/E) and Department of Health and Social Care
- (i) If the Board or Chairman is contemplating a course of action that raises an issue not of formal propriety or regularity but affects the Chief Executive's responsibility for value for money, the Chief Executive should draw the relevant factors to the attention of the Trust Board. If the outcome is that the Chief Executive is overruled it is normally sufficient to ensure that the Chief Executive's advice and the overruling of it are clearly apparent from the papers. Exceptionally, the Chief Executive should inform NHS Improvement (NHSI/E) and the Department of Health and Social Care. In such cases, and in those described in paragraph 19 of the Accountable Officer Memorandum, the Chief Executive should, as a Member of the Trust Board, vote against the course of action rather than merely abstain from voting.

2.3 Chief Executive and Chief Financial Officer

2.3.1 Duties delegated:

- (a) Ensure the accounts of the Trust are prepared under principles and in a format directed by the Secretary of State. Accounts must disclose a true and fair view of the Trust's income and expenditure and its state of affairs
- (b) Sign the accounts on behalf of the Trust Board
- (c) Chief Executive, supported by Chief Financial Officer, to ensure appropriate advice is given to the Trust Board on all matters of probity, regularity, prudent and economical administration, efficiency and effectiveness

2.4 Chief Financial Officer

2.4.1 Duties delegated:

- (a) Operational responsibility for effective and sound financial management and information

2.5 Chairman and Associate Director of Governance

2.4.1 Duties delegated:

- (a) Implement requirements of Corporate Governance

3. Duties delegated from the Code of Conduct and Accountability

3.1 The Codes of Conduct and Accountability represent standard good practice within the NHS and are applicable to the behaviour of Directors and officers of the Trust.

3.2 Trust Board

3.2.1 Duties delegated:

- (a) Approve procedure for declaration of hospitality and sponsorship
- (b) Ensure proper and widely publicised procedures for voicing complaints, concerns about

misadministration, breaches of Code of Conduct, and other ethical concerns

- (c) Chair and non-officer members are responsible for monitoring the executive management of the organisation and are responsible to the Secretary of State for the discharge of those responsibilities
- (d) The Board has six key functions for which it is held accountable by the Department of Health and Social Care on behalf of the Secretary of State:
 - (i) To ensure effective financial stewardship through value for money, financial control and financial planning and strategy
 - (ii) To ensure that high standards of corporate governance and personal behaviour are maintained in the conduct of the business of the whole organisation
 - (iii) To appoint, appraise and remunerate senior executives
 - (iv) To ratify the strategic direction of the organisation within the overall policies and priorities of the Government and the NHS, define its annual and longer term objectives and agree plans to achieve them
 - (v) To oversee the delivery of planned results by monitoring performance against objectives and ensuring corrective action is taken when necessary
 - (vi) To ensure effective dialogue between the organisation and the local community on its plans and performance and that these are responsive to the community's needs
- (e) It is the Trust Board's duty to:
 - (i) Act within statutory financial and other constraints
 - (ii) Be clear what decisions and information are appropriate to the Board and draw up, approve, implement and communicate SOs, a schedule of decisions reserved to the Board and SFIs to reflect these
 - (iii) Ensure that management arrangements are in place to enable responsibility to be clearly delegated to senior executives for the main programmes of action and for performance against programmes to be monitored and senior executives held to account
 - (iv) Establish performance and quality measures that maintain the effective use of resources and provide value for money
 - (v) Specify its requirements in organising and presenting financial and other information succinctly and efficiently to ensure the Board can fully undertake its responsibilities
 - (vi) Establish Audit and Remuneration Committees on the basis of formally agreed Terms of Reference that set out the membership of the Sub-Committee, the limit to their powers, and the arrangements for reporting back to the main Board
- (f) NHS Trust Boards must comply with legislation and guidance issued by the Department of Health and Social Care on behalf of the Secretary of State, respect agreements entered into by themselves or in on their behalf and establish terms and conditions of service that are fair to the staff and represent good value for taxpayers' money

3.3 All Trust Board Members

3.3.1 All Trust Board Members must subscribe to the Code of Conduct and share corporate

responsibility for all decisions of the Trust Board

3.4 Chairman

3.4.1 It is the Chairman's duty to:

- (a) Provide leadership to the Trust Board
- (b) Enable all Trust Board members to make a full contribution to the Trust Board's affairs and ensure that the Trust Board acts as a team
- (c) Ensure that key and appropriate issues are discussed by the Trust Board in a timely manner
- (d) Ensure the Trust Board has adequate support and is provided efficiently with all the necessary data on which to base informed decisions
- (e) Lead Non-Executive Trust Board members through a formally-appointed Remuneration Committee of the main Trust Board on the appointment, appraisal and remuneration of the Chief Executive and (with the latter) other Executive Board members
- (f) Appoint Non-Executive Trust Board members to an Audit Committee of the main Board
- (g) Advise the Secretary of State on the performance of Non-Executive Trust Board members
- (h) Chair the Membership Council/Shadow Membership council when established

3.5 Chief Executive

3.5.1 The Chief Executive is accountable to the Chairman and Non-Executive members of the Trust Board for ensuring that its decisions are implemented, that the organisation works effectively, in accordance with Government policy and public service values and for the maintenance of proper financial stewardship

3.5.2 The Chief Executive should be allowed full scope, within clearly defined delegated powers, for action in fulfilling the decisions of the Board

3.5.3 The other duties of the Chief Executive as Accountable Officer are laid out in the Accountable Officer Memorandum

3.6 Non-Executive Directors

3.6.1 Non-Executive Directors are appointed by Appointments Commission to bring independent judgment to bear on issues of strategy, performance, key appointments and accountability through the Department of Health and Social Care to Ministers and to the local community

3.7 Chairman and Directors

3.7.1 It is the duty of the Chairman and all Directors to declare any conflicts of interest.

4. Duties delegated from the Trust's Standing Orders (SOs)

4.1 Detailed below is a summary of the items held within the SFIs which are delegated and details are provided as to who these matters are delegated to. The below is not intended to replace the detail included within the SFIs and is to be read alongside the SFIs.

SO Ref.	Authority delegated to	Duties delegated
4.1	Chairman	Final authority in interpretation of SOs
1.4	Trust Board	Appointment of Vice Chairman/Senior Independent Director (If either appointed)
2.1	Chairman	Call meetings
2.9	Chairman	Chair all Trust Board meetings and associated responsibilities
2.10	Chairman	Give final ruling in questions of order, relevancy and regularity of meetings
2.12	Chairman	Having a second or casting vote
2.13	Trust Board	Suspension of SOs
2.13	Audit Committee	Audit Committee to review every decision to suspend SOs (power to suspend SOs is reserved to the Trust Board)
2.14	Trust Board	Variation or amendment of SOs
3.5	Trust Board	Formal delegation of powers to Sub-Committees or joint committees and approval of their constitution and Terms of Reference. (Constitution and Terms of Reference of Sub Committees may be approved by the Chief Executive)
4.2	Chairman & Chief Executive	The powers which the Trust Board has retained to itself within these SOs may in emergency be exercised by the Chairman and Chief Executive after having consulted with at least two Non-Executive members
4.4.2	Chief Executive	The Chief Executive shall prepare a Scheme of Delegation identifying his/her proposals that shall be considered and approved by the Trust Board, subject to any amendment agreed during the discussion
4.6	All Staff	Disclosure of non-compliance with SOs to the Chief Executive as soon as possible
5.1.2	Trust Board	Declare relevant and material interests
5.2	Chief Executive	Maintain Register(s) of Interests.
5.4.1	All Staff	Comply with national guidance contained in NHS England's "Managing Conflicts of Interest in the NHS"
5.4.4	All Staff	Disclose relationship between self and candidate for staff appointment. (Chief Executive to report the disclosure to the Trust Board)
6.1/6.3	Chief Executive	Keep seal in safe place and maintain a register of sealing
6.4	Chief Executive and Executive Director	Approve and sign all documents which will be necessary in legal proceedings

5. Duties delegated from the Trust's Standing Financial Instructions (SFIs)

5.1 Detailed below is a summary of the items held within the SFIs which are delegated and details are provided as to who these matters are delegated to. The below is not intended to replace the detail included within the SFIs and is to be read alongside the SFIs.

SFI Ref.	Authority delegated to	Duties delegated
1.3	Chief Financial Officer	Approval of all financial procedures
1.4	Chief Financial Officer	Advice on interpretation or application of SFIs
1.7	All members of the Trust Board and employees	Have a duty to disclose any non-compliance with these Standing Financial Instructions to the Chief Financial Officer as soon as possible
5.2.2	Chief Executive	Responsible as the Accountable Officer to ensure that the Trust Board meets its obligations to perform its functions within the available financial resources and has overall responsibility for the System of Internal Control
5.2.1 & 5.3.1	Chief Executive & Chief Financial Officer	Accountable for financial control but will, as far as possible, delegate their detailed responsibilities
5.2.3	Chief Executive	To ensure all Board members and officers, present and future, are notified of and understand Standing Financial Instructions.
5.3.2	Chief Financial Officer	Responsible for: a) Implementing the Trust's financial policies and coordinating corrective action. b) Maintaining an effective system of financial control including ensuring detailed financial procedures and systems are prepared, documented and maintained. c) Ensuring that sufficient records are maintained to explain Trust's transactions and financial position. d) Providing financial advice to members of Trust Board and staff. e) Maintaining such accounts, certificates etc. as are required for the Trust to carry out its statutory duties.
5.5.1	All Trust Board members and employees	Responsible for security of the Trust's property, avoiding loss, exercising economy and efficiency in using resources and conforming to Standing Orders, Financial Instructions and financial procedures.
5.6.1	Chief Executive	Ensure that any contractor or employees of a contractor who is empowered by the Trust to commit the Trust to expenditure or who is authorised to obtain income are made aware of the SFIs and their requirement to comply.
Appx A – 1.1	Audit Committee	Provide independent and objective view on internal control and probity.
Appx A – 1.1.6	Chairman of Audit Committee	Raise the matter at the Trust Board meeting where Audit Committee considers there is evidence of ultra vires transactions or improper acts
Appx A – 1.2.1	Chief Financial Officer	Ensure an adequate Internal Audit service, for which he/she is accountable, is provided (and involve the Audit Committee in the selection process when/if an Internal Audit service provider is changed.)
Appx A – 1.2.2 (c)	Chief Financial Officer	Decide at what stage to involve police in cases of misappropriation and other irregularities not involving fraud or corruption

University Hospitals of North Midlands NHS Trust
F02 Scheme of Reservation and Delegation of Powers

SFI Ref.	Authority delegated to	Duties delegated
Appx 1.2.4 A –	Head of Internal Audit	Review, appraise and report in accordance with recognised professional best practice
Appx 1.3.1 A –	Audit Committee	Ensure cost-effective External Audit service
Appx 2.6 A –	Chief Executive & Chief Financial Officer	Monitor and ensure compliance with Directions issued by the Secretary of State on Fraud and Corruption
Appx 2.7 A –	Trust Board	Nominate a suitable person to carry out the duties of the Local Counter Fraud Specialist
Appx A – 3.1 & 3.2	Chief Executive	Monitor and ensure compliance with Directions issued by the Secretary of State for Health on NHS security management including appointment of the Local Security Management Specialist
Appx 4.1.1 A –	Chief Executive	Compile and submit to the Trust Board an Integrated Business Plan (IBP) which takes into account financial targets and forecast limits of available resources. The Business Plan will contain a statement of the significant assumptions on which the plan is based and details of major changes in workload, delivery of services or resources required to achieve the plan
Appx 4.1.2 A –	Chief Financial Officer	Submit budgets to the Trust Board for approval
Appx 4.1.3 A –	Chief Financial Officer	Monitor performance against budget
Appx 4.1.6 A –	Chief Financial Officer	Ensure adequate training is delivered on an on-going basis to budget holders
Appx 4.2.1 A –	Chief Executive	Delegate budget to budget holders.
Appx 4.3.1 A –	Chief Financial Officer	Devise and maintain systems of budgetary control
Appx 4.3.2 A –	Budget Holders	Ensure that: (a) .Expenditure is appropriately managed within budget escalating any issues and overspends through management structures, (b) Approved budget is not used for any other than specified purpose subject to rules of virement (c) No permanent employees are appointed without the approval of the Chief Executive other than those provided for within available resources and workforce establishment (d) No spend is incurred against a budget outside of the Budget Holders remit (e) Systems of budgetary control are complied with fully
Appx 4.3.3 A –	Chief Executive	Identify and implement cost improvements and income generation activities in line with the IBP
Appx 4.4.8 A –	Chief Executive & Budget Holders	Must not exceed the budgetary total or virement limits set by the Trust Board
Appx 4.7.1 A –	Chief Executive	Submit monitoring returns
Appx 5.1 A –	Chief Financial Officer	Prepare annual reports and accounts
Appx A – 6.1 – 6.3	Chief Financial Officer	Manage banking arrangements, including provision of banking services, operation of accounts, preparation of instructions and list of cheque signatories

University Hospitals of North Midlands NHS Trust
F02 Scheme of Reservation and Delegation of Powers

SFI Ref.	Authority delegated to	Duties delegated
Appx A – 7	Chief Financial Officer	Income systems, including system design, prompt banking, review and approval of fees and charges, debt recovery arrangements, design and control of receipts, provision of adequate facilities and systems for employees whose duties include collecting or holding cash
Appx A – 7.2.4	All employees	Duty to follow Trust's financial procedures with regards to accurately and promptly recording money due from transactions which they initiate/deal with
Appx A – 8.5.4 (a)	Chief Executive	Can waive formal tendering procedures if Chief Executive decides such procedures would not be practicable or estimated expenditure/income would not warrant formal tendering procedures
Appx A – 8.5.7	Chief Financial Officer	Authorise waivers of tendering procedures
Appx A – 8.5.14	Chief Executive	Shall ensure that appropriate checks are carried out as to the technical and financial capability of those firms that are invited to tender or quote
Appx A – 8.9.2	Chief Executive and Director of Finance	Where one tender is received will assess for value for money and fair price
Appx A – 8.11.5	Chief Executive	No tender shall be accepted which will commit expenditure in excess of that which has been allocated by the Trust and which is not in accordance with these Instructions except with the authorisation of the Chief Executive
Appx A – 8.13.4	Chief Executive or Chief Financial Officer	No quotation shall be accepted which will commit expenditure in excess of that which has been allocated by the Trust and which is not in accordance with these Instructions except with the authorisation of the Chief Executive
Appx A – 8.17.1 (a)	Chief Executive	The Chief Executive shall demonstrate that the use of private finance represents value for money and genuinely transfers risk to the private sector
Appx A – 8.18.2	Chief Executive	The Chief Executive shall nominate an officer who shall oversee and manage all contracts on behalf of the Trust
Appx A – 8.19.1	Chief Executive	Nominate officers, with delegated authority, to enter into contracts of employment, regarding staff, agency staff, temporary staff service contracts
Appx A – 8.22.1	Chief Executive	Ensure that best value for money can be demonstrated for all services provided on an in-house basis
Appx A – 8.22.5	Chief Executive	If in-house services are outsourced, the Chief Executive shall nominate an officer to oversee and manage the contract on behalf of the Trust
Appx A – 9.1.1	Chief Executive	Responsible for negotiating contracts with commissioners for the provision of services to patients
Appx A – 9.2.1	Chief Executive	Ensure that regular reports are provided to the Trust Board detailing actual and forecast income from Service Level Agreements.
Appx A – 10.1.1	Trust Board	Establish a Nominations and Remuneration Committee

University Hospitals of North Midlands NHS Trust
F02 Scheme of Reservation and Delegation of Powers

SFI Ref.	Authority delegated to	Duties delegated
Appx A – 10.1.2 (a)	Nominations and Remuneration Committee	Advise the Trust Board and make recommendations on the remuneration and terms of service for the Chief Executive, other officer members and senior employees, ensure they are fairly rewarded having proper regard to the Trust's circumstances and any national agreements
Appx A – 10.1.2 (b)	Nominations and Remuneration Committee	Monitor and evaluate the performance of individual Directors
Appx A – 10.1.2 (c)	Nominations and Remuneration Committee	Advise and oversee appropriate contractual arrangements for senior employees when required.
Appx A – 10.1.4	Trust Board	Approve proposals presented by the Chief Executive for setting of remuneration and conditions of service for those employees and officers not covered by the Nominations and Remuneration Committee
Appx A – 10.3.1	Chief Executive	Give authorisation to Trust Board members and employees to engage, re-engage or re-grade employees, either permanently or temporarily, and hire agency staff
Appx A – 10.4.1	Chief Financial Officer	Responsible for processing of payroll including performance managing the outsourced provision of services to ensure it is in line with the contract, where necessary report any variations to the contract to Trust Board, specify timetables for submission of properly authorised time records and other notifications, final determination of pay and allowances, making payments on agreed dates, agreeing method of payment and issuing instructions regarding payroll
Appx A - 10.4.3	Nominated Managers	Submit time records in line with timetable, complete time records and other notifications in required form and submit termination forms in prescribed form and on time.
Appx A – 10.4.4	Chief Financial Officer	Ensure that the chosen method for payroll processing is supported by appropriate (contracted) terms and conditions, adequate internal controls and audit review procedures and that suitable arrangements are made for the collection of payroll deductions and payment of these to appropriate bodies.
Appx A – 10.5.1	Human Resources Director	Ensure that all employees are issued with a Contract of Employment which complies with employment legislation and deal with variations to, or termination of, contracts of employment.
Appx A – 11.1.1	Chief Executive	Determine the level of delegation of non-pay expenditure to Budget Holders, including a list of employees authorised to place requisitions, the maximum level of each requisition and the system for authorisation above that level
Appx A – 11.1.3	Chief Executive	Set out procedures on the seeking of professional advice regarding the supply of goods and services
Appx A – 11.2.1	Requisitioner	In choosing the item to be supplied (or the service to be performed) shall always obtain the best value for money for the Trust. In so doing, the advice of the Trust's Supplies and Procurement Department shall be sought

SFI Ref.	Authority delegated to	Duties delegated
Appx A – 11.2.4	Chief Financial Officer	Advise the Trust Board regarding setting of thresholds above which quotations (competitive or otherwise) or formal tenders must be obtained, prepare procedural instructions on the obtaining of goods/services incorporating the thresholds, responsible for the prompt payment of all properly authorised accounts and claims, responsible for designing and maintaining a system of verification, recording and payment of all amounts payable and be responsible for ensuring that payment is only made when goods/services have been received
Appx A – 11.3.1 (a) – (c)	Chief Financial Officer	Approve proposed prepayment arrangements for goods/services excluding training courses/subscriptions/membership fees up to £5,000
Appx A – 11.3.1 (d)	Budget Holder	Ensure that all items due under a prepayment contract are received
Appx A – 11.4.1	Chief Executive	Authorise who may use and be issued with official purchase orders
Appx A – 11.5.1	Managers and officers	Ensure that they comply fully with the guidance and limits specified by the Chief Financial Officer in relation to non-pay expenditure
Appx A – 11.5.2	Chief Executive and Chief Financial Officer	Ensure that the arrangements for financial control and financial audit of building and engineering contracts and property transactions comply with the guidance contained within EU regulations, PFI and P22 (including NEC contracts) and Health Building Note 00-08. The technical audit of these contracts shall be the responsibility of the relevant Director.
Appx A – 11.6.1	Chief Financial Officer	Lay down procedures for payments to local authorities and voluntary organisations made under the powers of section 28A of the NHS Act.
Appx A – 11.7.1	Chief Financial Officer	Ensure that any lease entered into on behalf of the Trust represents value for money
Appx A – 12.1.1	Chief Financial Officer	Advise the Trust Board on the Trust's ability to pay dividend on Public Dividend Capital (PDC) and report, periodically, concerning the PDC debt and all loans.
Appx A – 12.1.2	Trust Board	Approve a list of employees authorised to make short term borrowings on behalf of the Trust (this must include the Chief Executive and Chief Financial Officer)
Appx A – 12.1.3	Chief Financial Officer	Prepare detailed procedural instructions concerning applications for loans.
Appx A – 12.1.5	Chief Executive or Chief Financial Officer	Be on an authorising panel, comprising one other member, for short term borrowing approval
Appx A – 13.1.1	Chief Executive	Ensure that there is adequate appraisal and approval process for determining capital expenditure priorities, responsible for the management of capital schemes and for ensuring that they are delivered on time and within cost, ensuring that capital investment is not undertaken without availability of resources to finance all revenue consequences and that a Capital Investment Programme is produced on an annual basis which is submitted and approved by Trust Board

University Hospitals of North Midlands NHS Trust
F02 Scheme of Reservation and Delegation of Powers

SFI Ref.	Authority delegated to	Duties delegated
Appx A – 13.1.4	Chief Executive	Issue managers responsible for any capital scheme with authority to commit expenditure, authority to proceed to tender and approval to accept a successful tender
Appx A – 13.1.5	Chief Executive	Issue a scheme of delegation for capital investment management
Appx A – 13.1.6	Chief Financial Officer	Issue procedures governing financial management, including variation to contract, of capital investment projects and valuation for accounting purposes
Appx A – 13.2.8	Chief Executive	For capital schemes that stipulate stage payments will issue procedures for their management
Appx A – 13.2.9	Chief Financial Officer	Assess the requirement for the operation of the construction industry taxation deduction scheme
Appx A – 13.2.10	Chief Financial Officer	Issue procedures for the regular reporting of expenditure and commitment against authorised capital expenditure
Appx A – 13.6.1 (a)	Chief Financial Officer	Demonstrate that the use of Private Finance Initiatives (PFI) represents value for money and genuinely transfers significant risk to the private sector
Appx A – 13.6.1 (c)	Trust Board	Proposal to use PFI must be specifically agreed by the Trust Board (except for additional capital spending to existing PFI contracts which will follow the Trust's authorisation thresholds that are in place non PFI capital)
Appx A – 13.7.1	Chief Executive	Responsible for maintenance of asset registers (on advice from Chief Financial Officer)
Appx A – 13.7.5	Chief Financial Officer	Approve procedures for reconciling balances on fixed assets accounts in ledgers against balances on fixed asset registers
Appx A – 13.8.1	Chief Executive	Overall control of security of fixed assets
Appx A – 13.8.2	Chief Financial Officer	Approval of asset control procedures
Appx A – 13.8.4 & 13.8.5	Trust Board members and all senior staff	Responsibility for security of Trust assets including notifying discrepancies to Chief Financial Officer, and reporting losses in accordance with Trust procedure
Appx A – 14.2.1	Chief Executive	Delegate overall responsibility for control of stores
Appx A – 14.2.1	Chief Financial Officer	Responsible for systems of control over stores
Appx A – 14.2.1	Designated Pharmaceutical Officer	Responsible for control of pharmaceutical stocks
Appx A 14.2.1	Designated theatres manager	Responsible for control of theatres stocks
Appx A – 14.2.3	Chief Financial Officer	Set out procedures and systems to regulate the stores including receipt of goods, issues and returns to stores and losses
Appx A – 14.2.4	Chief Financial Officer	Agree stocktaking arrangements
Appx A – 14.2.5	Chief Financial Officer	Approve alternative arrangements where a complete system of stores control is not justified
Appx A – 14.2.6	Chief Financial Officer	Approve system for review of slow moving and obsolete stock items and for condemnation, disposal and replacement of all unserviceable items

University Hospitals of North Midlands NHS Trust
F02 Scheme of Reservation and Delegation of Powers

SFI Ref.	Authority delegated to	Duties delegated
Appx A – 14.3.1	Chief Executive	For goods supplied via the Supply chain central warehouses identify persons authorised to requisition and accept goods from stores
Appx A – 15.1.1	Chief Financial Officer	Prepare detailed procedures for disposal of assets including condemnations and ensure that these are notified to managers
Appx A – 15.2.1 & 15.2.3	Chief Financial Officer	Prepare procedures for recording and accounting for losses and special payments and informing Police and Security Management Director in cases of suspected theft or criminal damage
Appx A – 15.2.2	All staff	Discovery or suspicion of loss of any kind must be reported immediately to either head of department or nominated officer. The head of department / nominated officer should then inform the Chief Executive and Chief Financial Officer
Appx A – 15.2.4	Chief Financial Officer	Immediately notify Trust Board and External Auditor for losses caused or apparently caused by theft, fraud, criminal damage, neglect of duty or gross carelessness (unless trivial/immaterial)
Appx A – 15.2.5	Chief Financial Officer	In cases of fraud and corruption inform NHS Counter Fraud Authority
Appx A – 15.2.6	Trust Board	Approve write off of losses and special payments (within limits delegated by Department of Health and Social Care)
Appx A – 15.2.8	Chief Financial Officer	For any loss, consider whether any insurance claim can be made against insurers
Appx A – 15.2.9	Chief Financial Officer	Maintain losses and special payments register
Appx A – 16.1.2	Chief Financial Officer	Satisfy themselves that new financial systems and amendments to current financial systems are developed in a controlled manner and thoroughly tested prior to implementation
Appx A – 16.3.2	Chief Financial Officer	Where another health organisation or any other agency provides a computer service for financial applications periodically seek assurances that adequate controls are in operation
Appx A – 16.4.1	Director of IT	Ensure that risks to the Trust from use of IT are identified and considered and that disaster recovery plans are in place
Appx A – 16.5.1	Chief Financial Officer	Where computer systems have an impact on corporate financial systems satisfy themselves that systems acquisition, development and maintenance are in line with corporate policies, data produced for use with financial systems is adequate, accurate, complete and timely, and that a management trail exists, Director of Finance staff have access to such data and such computer audit reviews are being carried out as are considered necessary.
Appx A – 17.1.2	Chief Executive	Responsible for ensuring patients and guardians are informed about patients' money and property procedures on admission

University Hospitals of North Midlands NHS Trust
F02 Scheme of Reservation and Delegation of Powers

SFI Ref.	Authority delegated to	Duties delegated
Appx A – 17.1.4	Chief Financial Officer	Provide detailed written instructions on the collection, custody, investment, recording, safekeeping, and disposal of patients' property (including instructions on the disposal of the property of deceased patients and of patients transferred to other premises) for all staff whose duty is to administer, in any way, the property of patients
Appx A – 17.1.8	Departmental managers	Inform staff of their responsibilities and duties for the administration of the property of patients
Appx A – 18.2.3	Chief Financial Officer	Shall ensure that each trust fund which the Trust is responsible for managing is managed appropriately
Appx A – 19.1.1	Chief Financial Officer	Ensure all staff are made aware of the Trust policy on the acceptance of gifts and other benefits in kind by staff
Appx A – 20.1.3	Chief Executive	Maintaining archives for all records required to be retained in accordance with Department of Health and Social Care guidance.
Appx A – 21.1.1	Chief Executive	Ensure that the Trust has a risk management programme
Appx A – 21.1.1	Trust Board	Approve and monitor risk management programme
Appx A – 21.2.1	Trust Board	Decide whether the Trust will use the risk pooling schemes administered by the NHS Litigation Authority provider or to self-insure for some or all of the risks covered by the risk pooling schemes
Appx A – 21.4.1	Chief Financial Officer	Where the Trust Board decides to use the risk pooling schemes administered by the NHS Litigation Authority, shall ensure that the arrangements entered into are appropriate and complementary to the risk management programme and ensure that documented procedures cover these arrangements.
Appx A – 21.4.2	Chief Financial Officer	Where the Trust Board decides not to use the risk pooling schemes administered by the NHS Litigation Authority for one or other of the risks covered by the schemes, shall ensure that the Trust Board is informed of the nature and extent of the risks that are self-insured as a result of this decision
Appx A – 21.4.2	Chief Financial Officer	Draw up formal documented procedures for the management of any claims arising from third parties and payments in respect of losses which will not be reimbursed
Appx A – 21.4.3	Chief Financial Officer	Ensure documented procedures cover management of claims and payments below the deductible limit.

6. Detailed scheme of delegation

6.1 Detailed below is a summary of the delegated limits as per the Standing Financial Instructions (SFIs). The below is not intended to replace the detail included within the SFIs and is to be read alongside the SFIs.

SFI Ref./ Other Ref.	Authority delegated to	Duties delegated
Appx A - 4.2	<p>Chief Executive</p> <p>Budget Holder (Executive Director, Clinical Director or Head of Service)</p> <p>Budget Manager</p> <p>Budget Administrator</p>	<p>Budgetary Delegation</p> <p>Responsibility for management of:</p> <p>Total of operational and corporate budgets</p> <p>Total of budgets at other specified level (e.g. for the totality of services covered by the Division)</p> <p>At individual budget level (e.g. department/function or collective specialty group)</p> <p>At individual cost centre/s level</p>
Appx A - 4.4	<p>Budget Holder and Deputy Director of Finance</p> <p>Budget Holder and Deputy Director of Finance</p> <p>Chief Financial Officer</p>	<p>Virements</p> <p>Types of virement:</p> <p>Budget moves between income, pay or non- pay</p> <p>Budget moves between pay to pay and non-pay to non-pay</p> <p>Re-phasing of budgets</p>
Appx A - 4.6	<p>Chief Financial Officer</p> <p>Clinical Director and Associate Directors</p> <p>Formal Executive Team</p> <p>Performance and Finance Committee</p>	<p>Revenue business cases</p> <p>If source of funds deemed readily available and investment < £25,000</p> <p>Replacement consultant posts</p> <p>Revenue business cases with investment of: 25,001 to £250,000</p> <p>£250,001 to 1,000,000</p>

SFI Ref./ Other Ref.	Authority delegated to	Duties delegated
	Trust Board NHS Improvement (NHSI/E)	£1,000,001 to £15,000,000 £15,000,001 and above
Appx A - 7	Chief Financial Officer Chief Executive and Chief Financial Officer	<p>Income, fees and charges</p> <p>For setting income, fees and charges relating to:</p> <p>Private patients, overseas visitors, income generating activities and all other patient and non patient related services</p> <p>For prices of all NHS contracts</p>
Appx A - 7.2.3	Chief Executive or Chief Financial Officer Charitable Funds Committee	<p>Authorisation of sponsorship deals:</p> <p>For the Trust</p> <p>For the Charitable fund</p>
Appx A - 8	Budget Holder/Manager or Director of Procurement	<p>Tendering, contracting and purchasing procedures</p> <p>Values stated below are inclusive of VAT and apply to both capital and revenue expenditure</p> <p>£0 to £4,999 -"verbal" informal quotes should be obtained wherever practicable.</p> <p>£5,000 - £19,999 – "formal quotes" should be obtained from a minimum of three (3) suppliers where practicable.</p> <p>£20,000 to £49,999 – "formal quotes" should be obtained from a minimum of three (3) suppliers and the opportunity advertised through "contracts finder"</p> <p>£50,000 to £122,976 – "formal tenders" should be obtained and the opportunity advertised through "contracts finder"</p> <p>above £122,976 – "formal tenders" should be obtained and there is a legal requirement to advertise the contract through the Official Journal of Europe (OJEU)</p>

SFI Ref./ Other Ref.	Authority delegated to	Duties delegated
	<p>Chief Financial Officer Chief Executive or Chief Financial Officer</p> <p>Band 5 level or above within originating department</p>	<p>Waivering of Quotations subject to SFIs</p> <p>Waivering of Tenders subject to SFIs Opening tenders and opening quotations</p>
Appx A - 10	<p>Chief Financial Officer and Director of Human Resources</p> <p>Chief Executive and Director of Human Resources</p> <p>Budget Manager or Budget Holder</p>	<p>Human Resources and pay</p> <p>Granting additional increments to staff within budgets</p> <p>Authorisation of upgrading or re-grading staff in accordance with Trust procedure</p> <p>Regarding pay documentation, authorise standing data forms effecting pay, new starters, variations and leavers, time and attendance submissions, travel and subsistence expenses and authorise with- holding of annual increments in line with appraisal policy</p>
Appx A - 10	Budget Holder	<p>Authorised mobile phone users</p> <p>Requests for new posts to be authorised as requiring a Trust mobile phone</p>
Appx A - 10	Departmental Manager	<p>Staff Retirement Policy</p> <p>Authorisation for flexible retirement including retire and return</p>
Appx A - 10	<p>Director of Human Resources or Chief Executive and Chief Financial Officer</p> <p>Nominations and Remuneration Committee</p> <p>NHSI/E</p>	<p>Redundancy</p> <p>Approval of redundancy payments:</p> <p>£0 to £10,000</p> <p>£10,000 and above</p> <p>Redundancy Payment to a Director or redundancy payment over £100,000</p>
Appx A - 10	Budget Manager	<p>Ill health retirements</p> <p>Decision to pursue retirement on the grounds of ill-health</p>

SFI Ref./ Other Ref.	Authority delegated to	Duties delegated
Appx A - 10	<p>Nominations and Remuneration Committee</p> <p>Medical Director and Chief Executive</p> <p>Departmental Manager</p>	<p>Dismissals</p> <p>Dismissal of:</p> <p>a) Executive Director</p> <p>b) Senior medical staff</p> <p>c) All other staff</p>
Appx A - 10.2	<p>Chief Executive on recommendation from Director of Human Resources and Chief Financial Officer</p>	<p>Engagement of staff not in the establishment</p> <p>Approval of engagement of staff that are not in the permanent establishment (regardless of value)</p>
Appx A - 10.3	<p>Budget Manager, Budget Holder, HR Manager and Divisional Business Advisor</p> <p>Executive Director following approval by Budget Holder</p> <p>Chief Executive and Chief Financial Officer following approval by appropriate Executive Director and appropriate Budget Holder</p>	<p>Engagement of permanent staff in the establishment</p> <p>Approval to appoint to agreed establishment (other than senior medical staff) if the post is or will be vacant and the post is funded recurrently and budget is available</p> <p>Approval to appoint where, exceptionally, the post is not on the agreed establishment, providing that the appointment is vital for the service and a source of recurrent funding has been identified and is available. The post must be established in the budget in accordance with the virement rules set out in SFIs at 4.4.6</p> <p>Approval to satisfactorily appoint senior medical staff (Consultant Staff Grade, Associate Specialist, Hospital Practitioner and Trust Doctor) to agreed establishment providing that the post is or will be vacant and the post is funded and supporting costs are funded recurrently and budget is available</p>
Appx A - 10.3.1		<p>Engagement of temporary staff and renewal of fixed term contracts</p>

SFI Ref./ Other Ref.	Authority delegated to	Duties delegated
	<p>Budget Holder</p> <p>Budget Holder and relevant Executive Director</p> <p>Budget Holder and relevant Executive Director</p>	<p>Engagement of temporary staff (excluding senior medical staff and NHSP/nurse agency) where the cover is vital for the service, is for a vacant post (which is funded recurrently and budget is available and can accommodate these costs)</p> <p>Engagement of temporary staff where the cover is vital for service and the cover is for a vacant post which is funded recurrently and budget is not available or cannot accommodate these costs</p> <p>Where in exceptional circumstances it is necessary to engage temporary staff in an emergency situation, the above approvals must be sought retrospectively. This must include securing the alternative sources of funding where appropriate (for example on- call Managers).</p>
Appx A - 11	<p>Budget Administrators</p> <p>Budget Manager</p> <p>Budget Holders</p> <p>Director of Finance</p> <p>Chief Financial Officer</p> <p>Chief Executive</p> <p>Performance and Finance Committee</p> <p>Trust Board</p>	<p>Non-Pay Expenditure This includes committing the Trust to expenditure by raising purchase orders and the payment of goods or services</p> <p>The values detailed below are gross values (i.e. the total cost inclusive of VAT)</p> <p>The values detailed below are relevant to all non-pay costs (excluding pharmacy drugs):</p> <p>£0 to £5,000</p> <p>£0 to £20,000</p> <p>£0 - £20,000</p> <p>£20,001 to £100,000</p> <p>£100,001 to £250,000</p> <p>£250,001 to £500,000</p> <p>£500,001 to £1,000,000</p> <p>£1,000,001 and above</p> <p>NB – Requisitions require authorisation of all of the above up to the financial limit</p>

SFI Ref./ Other Ref.	Authority delegated to	Duties delegated
	<p>Senior Assistant Technical Officer (ATO) Procurement and Senior Pharmacy Technician</p> <p>Lead Procurement Technician (Band 6) or Chief Clinical Information Technician (Band 7) or Pharmacy Supply Chain Manager (Band 7) or High Cost and Homecare Pharmacist (Band 8a) or Clinical Commissioning and Medicines Value Lead (Band 8b).</p> <p>Clinical Director of Pharmacy or Deputy / Principal Pharmacist (8c).</p> <p>Chief Financial Officer</p> <p>Chief Executive</p> <p>Performance and Finance Committee</p> <p>Trust Board</p>	<p>The values detailed below are relevant to all pharmacy drug costs and consumables and values are inclusive of VAT:</p> <p>£0 to £35,000</p> <p>£ 35,001 to £120,000</p> <p>£120,001 to £170,000</p> <p>£170,001 to £250,000</p> <p>£250,001 to £500,000</p> <p>£500,001 to £1,000,000</p> <p>£1,000,001 and above</p> <p>NB – Requisitions require authorisation of all of the above up to the financial limit</p>
Appx A - 11.5.1	<p>Director of Estates, Facilities & PFI, and Chief Financial Officer</p> <p>Director of Estates, Facilities & PFI, Chief Financial Officer or Chief Executive</p>	<p>Agreements and licenses relating to accommodation at the Trust</p> <p>Preparation and signature of all tenancy agreements/licenses for all staff subject to Trust Policy on accommodation for staff and extensions to lease agreements</p> <p>Letting of premises to outside organisations</p>
Appx A - 11.5.1	Petty cash holder Chief Financial Officer	<p>Petty cash disbursements</p> <p>Expenditure up to £50 per item Expenditure over £50 per item</p>

SFI Ref./ Other Ref.	Authority delegated to	Duties delegated
Appx A – 11.7	<p>Chief Executive or any Executive Director</p> <p>Any two Executive Directors</p>	<p>Leases</p> <p>Granting and terminating of leases: where a legal document</p> <p>where the document requires sealing</p>
Appx A- 13	<p>Capital Investment Group (CIG)</p> <p>Performance and Finance Committee (PFC)</p> <p>Trust Board</p> <p>NHS Improvement (NHSI/E) and DH</p>	<p>Capital Investment</p> <p>This includes committing the Trust to capital spend, raising purchase requisitions and the payments for capital spend</p> <p>All capital spend must be approved as part of the Trust's annual capital programme</p> <p>For all capital expenditure proposals a capital bid must be prepared</p> <p>A capital business case is required for all new capital investment if it is not relating to the replacement of an existing asset</p> <p>The approval limits for capital only business cases are detailed below (these values are Gross values i.e. the total cost inclusive of VAT and are for all capital business cases regardless of funding source (i.e. are for both non PFI and PFI funded capital):</p> <p>£0 to £1,000,000</p> <p>£1,000,001 to £3,000,000</p> <p>£3,000,001 to £15,000,000</p> <p>£15,000,001 and above</p>

SFI Ref./ Other Ref.	Authority delegated to	Duties delegated
Appx A - 15.1	<p>Director of Estates, Facilities & PFI</p> <p>Associate Director</p> <p>Medical Director</p> <p>Associate Director and Director of Procurement</p> <p>Director of Procurement and Director of Finance</p> <p>Director of Procurement and Chief Financial Officer and Trust Board</p> <p>Chief Financial Officer and Chief Executive and Trust Board and NHS(NHSI/E) where appropriate</p>	<p>Disposals and condemnations</p> <p>The person responsible for condemning items at the Trust is dependent on the item as detailed below:</p> <p>For electrical items</p> <p>For furniture items</p> <p>For medical items</p> <p>Authorisation for method of disposal (excluding land and buildings):</p> <p>£0 to £10,000</p> <p>£10,001 to £500,000</p> <p>£500,000 and above</p> <p>Disposal of land or buildings</p>
Appx A - 15.2	<p>Chief Financial Officer</p> <p>Chief Executive and Chief Financial Officer</p> <p>Chief Executive and Chief Financial Officer and Trust Board</p>	<p>Losses and special payments</p> <p>Limits and authorisation levels are dependent on the type of loss and special payment.</p> <p>All losses and special payments must be reported to the Audit Committee at every meeting and Audit Committee will prospectively approve all such payments valued at £25,000 and above</p> <p>Losses and special payments of:</p> <p>(a) Losses of cash:</p> <p>£0 to £50,000</p> <p>£50,001 to £250,000</p> <p>£250,001 and above</p>

SFI Ref./ Other Ref.	Authority delegated to	Duties delegated
Appx A - 15.2.3 & 15.2.4	<p>Chief Financial Officer</p> <p>Chief Financial Officer</p>	<p>Reporting of losses and special payments</p> <p>Where the theft/fraud relating to a loss/special payment is suspected inform the police and Security Management Director</p> <p>For losses/special payments caused or apparently caused by theft, fraud, criminal damage (including arson), neglect of duty or gross carelessness (except if trivial /immaterial) immediately notify the Trust Board and the External Auditor</p>
Appx A - 18	<p>Fund Manager and Directorate or Departmental Manager and Charity Manager</p> <p>Fund Manager and Directorate or Departmental Manager and Charity Manager and Chief Financial Officer</p> <p>Fund Manager and Directorate or Departmental Manager and Charity Manager and Chief Financial Officer and Chairman of Charitable Funds Committee</p>	<p>Funds held on trust (donated / charitable funds)</p> <p>This relates to any expenditure relating to Charitable Funds.</p> <p>The values detailed below are gross values (i.e. the total cost including VAT where applicable for the Charity).</p> <p>£0 to £5,000</p> <p>£5,001 to £25,000</p> <p>£25,001 and above</p>
Appx A - 19.4.4 Policy G16 Standards of Business Conduct		<p>Receiving hospitality</p> <p>This applies to both individual and collective hospitality receipt items</p>

SFI Ref./ Other Ref.	Authority delegated to	Duties delegated
	Associate Director of Governance	Any employee of the Trust receiving hospitality of in excess of £25 per item received is to declare this in the Hospitality Register maintained by the Associate Director of Governance
Appx A - 20.1.3	Chief Executive	Responsibility for retention of records
Annual leave and Public Holiday Leave Policy (Except Medical Staff) HR52	Departmental Manager	<p>Annual, Public Holiday Leave</p> <p>Approval of annual leave and approval of carry forward up to a maximum of 5 days or up to statutory entitlement in the case of individuals unable to take leave due to sickness</p> <p>Annual, Public Holiday Leave (Medical Staff)</p>
HR15 Career Grade Doctors Annual Leave Policy	Clinical Director or Clinical Lead	Approval of medical staff leave of absence (paid)
HR55 Junior Doctors Annual Leave Policy	Rota Co-coordinator/Directorate Manager/ Consultant (for Specialist Registrars only)	Approval of medical staff leave of absence (unpaid)
HR61 Special Leave Policy	Departmental Manager	<p>Approval of bereavement leave up to one working week or, in exceptional circumstances, up to two working weeks</p> <p>Approval of emergency leave (in line with the categories as set out in HR52) arrangements (up to 3 days). Any additional leave required above the 3 working days may be taken at manager's discretion</p> <p>Approval of short term carer/domestic need up to 3 days (on a time owing basis, subject to payback)</p> <p>Study leave</p>
HR40 Study leave/professional leave for career grade doctors	Clinical Director (or delegated individual)/Departmental Manager/Budget Holder Clinical director (or Medical Director in absence) and Budget Holder	<p>Approval of study leave:</p> <p>N.B. Any study leave which is to take place outside the UK is to be approved by those individuals noted below and the Chief Financial Officer. (see policy for guidance on approval levels)</p>

SFI Ref./ Other Ref.	Authority delegated to	Duties delegated
	<p>Director of Communications and Executive Director/Executive Director On-Call</p> <p>Director of Communications or Chief Executive or Executive Director/ Executive Director On-Call</p>	<p>Relationship with the press</p> <p>Non-emergency general enquiries within or outside hours</p> <p>Emergency within or outside hours</p>
<p>Nurse/Midwives/ Health Visitors Act Midwives Rules/ Code of Practice UKCC Code of Professional Conduct</p>	<p>Chief Executive and Chief Nurse</p>	<p>Extended Role Activities</p> <p>Approval of Nurses to undertake duties/procedures which can properly be described as beyond the normal scope of Nursing Practice.</p>
	<p>Chief Operating Officer</p> <p>Chief Operating Officer and Chief Executive</p> <p>On Call Manager or Chief Executive</p>	<p>Patient services</p> <p>Variation of operating and clinic sessions within existing numbers:</p> <p>d) Temporary variations</p> <p>e) Permanent variations</p> <p>All proposed changes in bed allocation and use for both temporary and permanent changes</p>
	<p>Director of Human Resources</p>	<p>Facilities for staff not employed by the Trust to gain practical experience - Professional Recognition, Honorary Contracts, and Insurance of Medical Staff</p>
	<p>Director of Estates, Facilities & PFI</p>	<p>Review of fire precautions</p>
	<p>Chief Nurse</p>	<p>Review of all statutory compliance legislation and Health and Safety requirements including control of Substances Hazardous to Health Regulations</p>
	<p>Medical Director</p>	<p>Review of Medicines Inspectorate Regulations</p>

University Hospitals of North Midlands NHS Trust
F02 Scheme of Reservation and Delegation of Powers

SFI Ref./ Other Ref.	Authority delegated to	Duties delegated
	Director of Estates, Facilities & PFI	Review of compliance with environmental regulations, for example those relating to clean air and waste disposal
	Director of IT	Review of Trust's compliance with the Data Protection Act
	Chief Financial Officer	Monitor proposals for contractual arrangements between the Trust and outside bodies
	Director of IM&T	Review the Trust's compliance with the Freedom of Information Act
	Chief Financial Officer	Review of the Trust's compliance code of Practice for handling confidential information in the contracting environment and the compliance with "safe haven" as per Caldicott, the IG Toolkit and future guidance from the General Data Protection Regulation.
SO 5.2 and Policy G16 Standards of Business Conduct	Associate Director of Governance	The keeping of a Declaration of Interests Register
SO 6.2	Chairman and Chief Executive	Attestation of sealing's in accordance with Standing Orders
SO 6.3	Associate Director of Governance	The keeping of a register of sealing