

# Schedule 1

## SCHEME OF RESERVATION AND DELEGATION OF POWERS

**This Schedule forms part of, and shall have effect as if incorporated in the  
Local Health Board Standing Orders**

### Introduction

As set out in Standing Order 2, the Board - subject to any directions that may be made by the Welsh Ministers - shall make appropriate arrangements for certain functions to be carried out on its behalf so that the day to day business of the LHB may be carried out effectively, and in a manner that secures the achievement of the organisation's aims and objectives. The Board may delegate functions to:

- i) A Committee, e.g., Quality and Safety Committee;
- ii) A sub-Committee, e.g., a locality based Quality and Safety Committee taking forward matters within a defined area. Any such delegation would, subject to the Board's authority, usually be via a main Committee of the Board;
- iii) A joint-Committee or joint sub-Committee, e.g., with other LHBs established to take forward matters relating to specialist services; and
- iv) Officers of the LHB (who may, subject to the Board's authority, delegate further to other officers and, where appropriate, other third parties, e.g. shared/support services, through a formal scheme of delegation)

and in doing so, must set out clearly the terms and conditions upon which any delegation is being made. These terms and conditions must include a requirement that the Board is notified of any matters that may affect the operation and/or reputation of the LHB.

The Board's determination of those matters that it will retain, and those that will be delegated to others are set out in the following:

- Schedule of matters reserved to the Board;
  - Scheme of delegation to Committees and others; and
  - Scheme of delegation to officers.
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all of which form part of the LHB's SOs.

## **DECIDING WHAT TO RETAIN AND WHAT TO DELEGATE: GUIDING PRINCIPLES**

The Board will take full account of the following principles when determining those matters that it reserves, and those which it will delegate to others to carry out on its behalf:

- ***Everything is retained by the Board unless it is specifically delegated in accordance with the requirements set out in SOs or SFIs***
  - ***The Board must retain that which it is required to retain (whether by statute or as determined by the Welsh Ministers) as well as that which it considers is essential to enable it to fulfil its role in setting the organisation's direction, equipping the organisation to deliver and ensuring achievement of its aims and objectives through effective performance management***
  - ***Any decision made by the Board to delegate functions must be based upon an assessment of the capacity and capability of those to whom it is delegating responsibility***
  - ***The Board must ensure that those to whom it has delegated powers (whether a Committee, partnership or individuals) remain equipped to deliver on those responsibilities through an ongoing programme of personal, professional and organisational development***
  - ***The Board must take appropriate action to assure itself that all matters delegated are effectively carried out***
  - ***The framework of delegation will be kept under active review and, where appropriate, will be revised to take account of organisational developments, review findings or other changes***
  - ***Except where explicitly set out, the Board retains the right to decide upon any matter for which it has statutory responsibility, even if that matter has been delegated to others***
  - ***The Board may delegate authority to act, but retains overall responsibility and accountability***
  - ***When delegating powers, the Board will determine whether (and the extent to which) those to whom it is delegating will, in turn, have powers to further delegate those functions to others.***
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## **HANDLING ARRANGEMENTS FOR THE RESERVATION AND DELEGATION OF POWERS: WHO DOES WHAT**

### **The Board**

The Board will formally agree, review and, where appropriate revise schedules of reservation and delegation of powers in accordance with the guiding principles set out earlier.

### **The Chief Executive**

The Chief Executive will propose a Scheme of Delegation to Officers, setting out the functions they will perform personally and which functions will be delegated to other officers. The Board must formally agree this scheme.

In preparing the scheme of delegation to officers, the Chief Executive will take account of:

- The guiding principles set out earlier (including any specific statutory responsibilities designated to individual roles);
- Their personal responsibility and accountability to the Chief Executive, NHS Wales in relation to their role as designated Accountable Officer; and
- Associated arrangements for the delegation of financial authority to equip officers to deliver on their delegated responsibilities (and set out in SFIs).

The Chief Executive may re-assume any of the powers they have delegated to others at any time.

### **The Board Secretary**

The Board Secretary will support the Board in its handling of reservations and delegations by ensuring that:

- A proposed schedule of matters reserved for decision by the Board is presented to the Board for its formal agreement;
- Effective arrangements are in place for the delegation of LHB functions within the organisation and to others, as appropriate; and
- Arrangements for reservation and delegation are kept under review and presented to the Board for revision, as appropriate.

### **The Audit Committee**

The Audit Committee will provide assurance to the Board of the effectiveness of its arrangements for handling reservations and delegations.

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<sup>1</sup> These functions will continue to be undertaken by the Audit Committee.

## Individuals to who powers have been delegated

Individuals will be personally responsible for:

- Equipping themselves to deliver on any matter delegated to them, through the conduct of appropriate training and development activity; and
- Exercising any powers delegated to them in a manner that accords with the LHB's values and standards of behaviour.

Where an individual does not feel that they are equipped to deliver on a matter delegated to them, they must notify **the Board Secretary** of their concern as soon as possible in so that an appropriate and timely decision may be made on the matter.

In the absence of an officer to whom powers have been delegated, those powers will normally be exercised by the individual to whom that officer reports, unless the Board has set out alternative arrangements.

If the Chief Executive is absent their nominated Deputy may exercise those powers delegated to the Chief Executive on their behalf. However, the guiding principles governing delegations will still apply, and so the Board may determine that it will reassume certain powers delegated to the Chief Executive or reallocate powers, e.g., to a Committee or another officer.

### **SCOPE OF THESE ARRANGEMENTS FOR THE RESERVATION AND DELEGATION OF POWERS**

The Scheme of Delegation to officers referred to here shows only the "top level" of delegation within the LHB. The Scheme is to be used in conjunction with the system of control and other established procedures within the LHB.

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## SCHEDULE OF MATTERS RESERVED TO THE BOARD<sup>2</sup>

THE BOARD		AREA	DECISIONS RESERVED TO THE BOARD
1	FULL	GENERAL	The Board may determine any matter for which it has statutory or delegated authority, in accordance with SOs <sup>3</sup>
2	FULL	GENERAL	The Board must determine any matter that will be reserved to the whole Board. These are: <ul style="list-style-type: none"> <li>• Items as listed on the Board's Cycle of Business</li> </ul>
3	FULL	OPERATING ARRANGEMENTS	Adopt the standards of governance and performance (including the quality and safety of healthcare, and the patient experience) to be met by the LHB, including standards/requirements determined by professional bodies/others, e.g., Royal Colleges
4	FULL	OPERATING ARRANGEMENTS	Approve, vary and amend: <ul style="list-style-type: none"> <li>▪ SOs;</li> <li>▪ SFIs;</li> <li>▪ Schedule of matters reserved to the LHB;</li> <li>▪ Scheme of delegation to Committees and others; and</li> <li>▪ Scheme of delegation to officers.</li> </ul> <p>In accordance with any directions set by the Welsh Ministers.</p>
5	FULL	OPERATING ARRANGEMENTS	Approve the LHB's Values and Standards of Behaviour framework

<sup>2</sup> Any decision to reserve a matter, and the manner in which that retained responsibility is carried out will be in accordance with any regulatory and/or Welsh Government requirements

<sup>3</sup> Except for those decisions delegated to the Welsh Health Specialised Services Committee (WHSSC)

6	FULL	OPERATING ARRANGEMENTS	Approve the LHB's Performance Management Framework
7	FULL	OPERATING ARRANGEMENTS	Approve the introduction or discontinuance of any significant activity or operation. Any activity or operation shall be regarded as significant if the Board determines it so based upon its contribution/impact on the achievement of the LHB's aims, objectives and priorities
8	FULL	OPERATING ARRANGEMENTS	Ratify any urgent decisions taken by the Chair and the Chief Executive in accordance with Standing Order requirements
9	FULL	OPERATING ARRANGEMENTS	Approve proposals for action on litigation on behalf of the LHB
10	FULL	OPERATING ARRANGEMENTS	Authorise use of the LHB's official seal
11	FULL	ORGANISATION STRUCTURE & STAFFING	Approve, [arrange the] review, and revise the LHB's top level organisation structure and corporate policies
12	FULL	ORGANISATION STRUCTURE & STAFFING	Appoint, [arrange the] review, revise and dismiss LHB Committees, including any joint-Committees directly accountable to the Board
13	FULL	ORGANISATION STRUCTURE & STAFFING	Appoint, equip, review and (where appropriate) dismiss the Chair and members of any Committee, joint-Committee or Group set up by the Board
14	FULL	ORGANISATION STRUCTURE & STAFFING	Appoint, equip, review and (where appropriate) dismiss individuals appointed to represent the Board on outside bodies and groups
15	FULL	ORGANISATION STRUCTURE & STAFFING	Approve the terms of reference and reporting arrangements of all Committees, joint-Committees and groups established by the Board
16	FULL	ORGANISATION STRUCTURE & STAFFING	Approve the arrangements relating to the discharge of the LHB's responsibilities as a corporate trustee for funds held on trust
17	FULL	STRATEGY & PLANNING	Determine the LHB's strategic aims, objectives and priorities

18	FULL	STRATEGY & PLANNING	Approve the LHB's Corporate and Annual Quality/Delivery Plans
19	FULL	STRATEGY & PLANNING	Approve the LHB's key strategies and programmes related to: <ul style="list-style-type: none"> <li>▪ The development of clinical services</li> <li>▪ Quality and patient safety</li> <li>▪ Workforce and Organisational Development</li> <li>▪ Infrastructure, including IM &amp; T, Estates and Capital (including major capital investment and disposal plans)</li> </ul>
20	FULL	STRATEGY & PLANNING	Approve the LHB's budget and financial framework (including overall distribution of the financial allocation and unbudgeted expenditure)
21	FULL	STRATEGY & PLANNING	Approve new contracts for the LHB to provide, or to secure provision from providers for Personal Medical; Dental; Pharmacy; Optometry services to some or all of the LHB's population Services
22	FULL	STRATEGY & PLANNING	Approve individual contracts (other than NHS contracts) above the limit delegated to the Chief Executive set out in the Standing Financial Instructions. Where contracts/leases are facilitated through the Shared Services Partnership, the appropriate Head of Procurement can sign contracts/leases on behalf of the organisation following formal delegated approval from the Board, Chief Executive or relevant Director.
23	FULL	REPORTING	Approve the Health Board's Integrated Medium Term Plan
24	FULL	PERFORMANCE & ASSURANCE	Receive reports from the LHB's Executive on progress and performance in the delivery of the LHB's strategic aims, objectives and priorities and approve action required, including improvement plans
25	FULL	PERFORMANCE & ASSURANCE	Receive reports from the LHB's Committees, groups and other internal sources on the LHB's performance and approve action required, including improvement plans
26	FULL	PERFORMANCE & ASSURANCE	Receive reports on the LHB's performance produced by external regulators and inspectors (including, e.g., WAO, HIW, etc) that raise issue or concerns impacting on the LHB's ability to achieve its aims and objectives and approve action required, including improvement plans, taking account of the advice of Board Committees (as appropriate)
27	FULL	PERFORMANCE & ASSURANCE	Receive the annual opinion of the LHB's Chief Internal Auditor and approve action required, including improvement plans

28	FULL	PERFORMANCE & ASSURANCE	Receive the annual management report from the Auditor General for Wales and approve action required, including improvement plans
29	FULL	PERFORMANCE & ASSURANCE	Receive the annual opinion on the LHB's performance against <i>Doing Well, Doing Better: Standards for Health Services in Wales</i> (formally the Healthcare Standards) and approve action required, including improvement plans
30	FULL	REPORTING	Approve the LHB's Reporting Arrangements, including reports on activity and performance locally, to citizens, partners and stakeholders and nationally to the Welsh Government
31	FULL	REPORTING	Receive, approve and ensure the publication of LHB reports, including its Annual Report and annual financial accounts
32	FULL	REPORTING	Approve the terms of reference and reporting arrangements of all committees, joint committees and groups established by the Board
33	FULL	STRATEGY & PLANNING	Approve individual contracts (other than NHS contracts) above the limit delegated to the Chief Executive set out in the Standing Financial Instructions.  Where contracts/leases are facilitated through the Shared Services Partnership, the appropriate Head of Procurement can sign contracts/leases on behalf of the organisation following formal delegated approval from the Board, Chief Executive or relevant Director.
34	FULL	PERFORMANCE & ASSURANCE	Approve the LHB's audit and assurance arrangements
35	FULL	PERFORMANCE & ASSURANCE	Receive reports from the LHB's Executive on progress and performance in the delivery of the LHB's strategic aims, objectives and priorities and approve action required, including improvement plans
36	FULL	PERFORMANCE & ASSURANCE	Receive reports from the LHB's Committees, groups and other internal sources on the LHB's performance and approve action required, including improvement plans
37	FULL	PERFORMANCE & ASSURANCE	Receive reports on the LHB's performance produced by external regulators and inspectors (including, e.g., WAO, HIW, etc) that raise issue or concerns impacting on the LHB's ability to achieve its aims and objectives and approve action required,



			including improvement plans, taking account of the advice of Board Committees (as appropriate)
38	FULL	PERFORMANCE & ASSURANCE	Receive the annual opinion of the LHB's Chief Internal Auditor and approve action required, including improvement plans
39	FULL	PERFORMANCE & ASSURANCE	Receive the annual management report from the Auditor General for Wales and approve action required, including improvement plans
40	FULL	PERFORMANCE & ASSURANCE	Receive the annual opinion on the LHB's performance against <i>Doing Well, Doing Better: Standards for Health Services in Wales</i> (formally the Healthcare Standards) and approve action required, including improvement plans
41	FULL	REPORTING	Approve the LHB's Reporting Arrangements, including reports on activity and performance locally, to citizens, partners and stakeholders and nationally to the Welsh Government
42	FULL	REPORTING	Receive, approve and ensure the publication of LHB reports, including its Annual Report and annual financial accounts

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**SECTION 2: SCHEME OF DELEGATION TO EXECUTIVE DIRECTORS,  
OTHER DIRECTORS AND OFFICERS**

The LHB Standing Orders and Standing Financial Instructions specify certain key responsibilities of the Chief Executive, the Executive Director of Finance and other officers. The Chief Executive's Job Description, together with their Accountable Officer Memorandum sets out their specific responsibilities, and the individual job descriptions determined for Executive Director level posts also define in detail the specific responsibilities assigned to those post holders. These documents, together with the schedule of additional delegations below and the associated financial delegations set out in the Standing Financial Instructions form the basis of the LHB's Scheme of Delegation to Officers.

<b>Delegated Matter</b>	<b>Table Reference No.</b>
STANDING ORDERS/STANDING FINANCIAL INSTRUCTIONS	1
MEETINGS	2
FINANCIAL PLANNING/BUDGETARY RESPONSIBILITY	3
BANK/PGO ACCOUNTS (EXCLUDING CHARITABLE FUND ACCOUNTS)	4
EXTERNAL BORROWING	5
NON PAY EXPENDITURE	6
STORES AND RECEIPT OF GOODS	7
CAPITAL INVESTMENT MANAGEMENT	8
QUOTATIONS, TENDERING & CONTRACT PROCEDURES	9
FIXED ASSETS	10
PERSONNEL & PAY	11
ENGAGEMENT OF STAFF (NOT ON THE ESTABLISHMENT)	12
CHARITABLE FUNDS HELD ON LHB	13
PRIMARY CARE PATIENT SERVICES/HEALTHCARE AGREEMENTS	14
INCOME SYSTEMS, FEES & CHARGES	15
DISPOSAL AND CONDEMNATIONS	16
LOSSES, WRITE-OFFS & COMPENSATION AND EX-GRATIA PAYMENTS	17
REPORTING INCIDENTS TO THE POLICE	18
FINANCIAL PROCEDURES	19
AUDIT ARRANGEMENTS	20
LEGAL PROCEEDINGS	21
INSURANCE POLICIES AND RISK MANAGEMENT	22
CLINICAL AUDIT	23
PATIENTS' PROPERTY	24
PATIENTS & RELATIVES COMPLAINTS	25
SEAL	26
GIFTS & HOSPITALITY	27
DECLARATION OF INTERESTS	28
INFORMATICS AND THE DATA PROTECTION ACT	29
RECORDS	30
AUTHORISATION OF NEW DRUGS	31
AUTHORISATION OF RESEARCH PROJECTS	32
AUTHORISATION OF CLINICAL TRIALS	33
INFECTIOUS DISEASES & NOTIFIABLE OUTBREAKS	34

<b>Delegated Matter</b>	<b>Table Reference No.</b>
REVIEW OF FIRE PRECAUTIONS	35
HEALTH & SAFETY	36
MEDICINES INSPECTORATE REGULATIONS	37
ENVIRONMENTAL REGULATIONS	38
LEGAL & RISK PAYMENTS	39
INVESTIGATION OF FRAUD/CORRUPTION OR FINANCIAL IRREGULARITIES	40
COMMERCIAL SPONSORSHIP	41
COSTS/NOTIONAL RENT/THIRD PARTY DEVELOPER/IMPROVEMENT GRANTS	42
FREEDOM OF INFORMATION	43
CALDICOTT GUARDIAN	44
EMERGENCY PLANNING	45
NHS ACT 2006 (WALES) SECTION 33 AGREEMENTS	46
STATUTORY COMPLIANCE WITH RESPECTIVE LEGISLATION	47
APPOINTMENT OF MEDICAL & DENTAL CONSULTANT POSTS	48
INDIVIDUAL PATIENT FUNDING REQUESTS	49
CARBON REDUCTION COMMITMENT ORDER	50
MENTAL HEALTH ACT 2007	51
MENTAL HEALTH (WALES) MEASURE 2010	52
MENTAL CAPACITY ACT 2005 AND CODE OF PRACTICE	53
DEPRIVATION OF LIBERTY SAFEGUARDS (DoLS)	54

# Schedule 1

## SCHEME OF RESERVATION AND DELEGATION OF POWERS

Table A – Scheme of Delegation to Officers

DELEGATED MATTER	DELEGATED TO	OPERATIONAL RESPONSIBILITY
<b>1. Standing Orders / Standing Financial Instructions</b>		
a) Final authority in interpretation of Standing Orders	Chairman	Chairman
b) Notifying Directors, employees and agents of their responsibilities within the Standing Orders and Standing Financial Instructions and ensuring that they understand the responsibilities	Executive Director of Finance/Board Secretary	Directors
c) Responsibility for the security of the LHB's property, avoiding loss, exercising economy and efficiency in using resources and conforming with Standing Orders, Financial Instructions and financial procedures	Executive Director of Finance/Chief Operating Officer	Directors
d) Ensuring Standing Orders are compatible with Welsh Government requirements re building and engineering contracts	Chief Executive	Chief Operating Officer
<b>2. Meetings</b>		
a) Calling meetings of the LHB	Chairman	Board Secretary
b) Chair all LHB Board meetings and associated responsibilities	Chairman or Vice Chairman in Chairman's absence	Chairman or Vice Chairman in Chairman's absence
<b>3. Financial Planning/Budgetary Responsibility</b>		
a) Setting:  Submit Three Year Plan and Annual Operating Plan to the LHB Board	Chief Executive	Executive Director of Strategy/Chief Operating Officer/Executive Director of Finance

<b>DELEGATED MATTER</b>	<b>DELEGATED TO</b>	<b>OPERATIONAL RESPONSIBILITY</b>
Submit budgets to the LHB Board	Chief Executive	Executive Director of Finance
Submit to Board financial estimates and forecasts	Chief Executive	Executive Director of Finance
b) Implementing financial policies, plans and procedures, providing advice and co-ordinating any corrective action necessary	Executive Director of Finance	Finance Director (Operational)
c) Issuing Budgets	Executive Director of Finance	Finance Director (Operational)
d) Monitoring:  Monitor performance against budget	Executive Director of Finance	Directors
Submit monitoring returns	Chief Executive	Executive Director of Finance
Effective budgetary control and a balanced budget	Executive Director of Finance	Directors
Preparation of annual accounts and returns	Executive Director of Finance	Executive Director of Finance
Identifying and implementing cost improvements and income generation initiatives	Chief Operating Officer/Executive Director of Finance	Directors
e) Authorisation of Virement  It is not possible for any officer other than the Executive Director of Finance to vire from non-recurring headings to recurring budgets <u>or</u> from capital to revenue/revenue to capital. Virement <u>between</u> different budget holders (Directors) requires the agreement of <u>both</u> parties <u>and</u> the Executive Director of Finance	Please refer to Table B – Delegated Limits	
f) Maintaining an effective system of internal financial control	Chief Executive	Executive Director of Finance
g) Delivery of financial training to budget holders (Directors)	Executive Director of Finance	Finance Director (Operational)
<b>4. Bank/PGO Accounts (Excluding Charitable Fund Accounts)</b>		
a) Operation:  Managing banking arrangements and operation of bank accounts	Executive Director of Finance	Finance Director (Operational)
Opening bank accounts	Executive Director of Finance	Finance Director (Operational)

<b>DELEGATED MATTER</b>	<b>DELEGATED TO</b>	<b>OPERATIONAL RESPONSIBILITY</b>
Authorisation of transfers between LHB bank accounts	Executive Director of Finance	Finance Director (Operational)
Authorisation of: -PGO/GBS Schedules -BACS Schedules -Automated cheque schedules -Manual cheques	Executive Director of Finance	Finance Director (Operational)
b) Investments:  Investment of surplus funds in accordance with the LHB's investment policy	Executive Director of Finance	Finance Director (Operational)
<b>5. External Borrowing</b>		
a) Advise LHB Board of the requirements to meet payment of interest and originating capital debt	Executive Director of Finance	Finance Director (Operational)
b) Application for loan(s) and overdrafts	Executive Director of Finance	Finance Director (Operational)
c) Preparation of procedural instructions	Executive Director of Finance	Finance Director (Operational)
<b>6. Non Pay Expenditure</b>		
For details of Delegated Limits please refer to Table B		
a) Completion of an Operational Scheme of Delegation and Authorisation by each Budget Holder ensuring maintenance of a list of officers authorised to place requisitions/orders (including emergency verbal orders) and record receipts within the E-Financials Business Suite.	Executive Director of Finance	Directors
b) Obtain the best value for money when requisitioning goods/services	Executive Director of Finance	Executive Director of Finance
c) Ensuring expenditure is within budget	Chief Executive	Directors
d) Non-Pay Expenditure for which no specific budget has been set up and which is not subject to funding under delegated powers of virement	Chief Executive	Executive Director of Finance
e) Orders exceeding 12 month period	Executive Director of Finance	Executive Director of Finance
f) Prompt payment of accounts	Executive Director of Finance	Executive Director of Finance

<b>DELEGATED MATTER</b>	<b>DELEGATED TO</b>	<b>OPERATIONAL RESPONSIBILITY</b>
g) Financial Limits	Please refer to Table B – Delegated Limits	
h) Maintenance of sufficient records to explain the LHB's transactions and report on the LHB's financial position	Executive Director of Finance	Executive Director of Finance
i) Approval of visits at a supplier's expense	Executive Director of Finance	Executive Director of Finance
j) Provision of electronic signatures within the E-Financials Business Suite in accordance with each Budget Holder's Operational Scheme of Delegation and Authorisation	Executive Director of Finance	Finance Director (Operational)
<b>7. Stores and Receipt of Goods</b>		
a) Responsibility for the systems of financial control over all stores including receipt of goods and returns	Executive Director of Finance	Directors
b) Responsibility for the control of stores and receipt of goods, issues and returns: All stores (excluding pharmaceutical, fuel, oil and coal – see following)	Executive Director of Finance	Directors
Pharmaceutical Stores	Executive Medical Director	Chief Pharmacist
Fuel, oil and coal stocks	Chief Operating Officer	Director of Estates & Facilities
c) Stocktaking arrangements	Executive Director of Finance	Executive Director of Finance
<b>8. Capital Investment Management</b>		
For details of Delegated Limits for Delegated Matter 8d, please refer to Table B – Leases. In accordance with Welsh Government guidance:		
a) Programme:		
Preparation of Capital Investment Programme	Chief Executive	Executive Director of Strategy
Completion and signing off of a business case for approval	Chief Executive/Executive Director of Finance	Executive Director of Strategy
Appointment of Project Directors	Chief Executive	Executive Director of Strategy with support from relevant Directors

<b>DELEGATED MATTER</b>	<b>DELEGATED TO</b>	<b>OPERATIONAL RESPONSIBILITY</b>
Financial monitoring and reporting on all capital scheme expenditure including variations to contract	Executive Director of Strategy	Executive Director of Finance/Executive Director of Strategy with support from relevant Directors.
Issuing of guidance on management of capital schemes	Executive Director of Strategy	Executive Director of Finance/Executive Director of Strategy
b) Contracting – Selection of 3 <sup>rd</sup> party developers, architects, quantity surveyors, consultant engineers and other professional advisors within EC regulations and LHB tender procedures	Chief Executive	Executive Director or Strategy
c) Private Finance – Demonstrate that the use of private finance represents best value for money and transfers risk to the private sector	Chief Executive	Executive Director of Finance
d) Leases – Granting and termination of leases	Chief Executive	Chief Operating Officer/Executive Director of Finance
e) Financial control and audit- Arrangements are in place to review building and engineering contracts and property transactions comply with Welsh Government guidance.	Chief Executive	Executive Director of Finance with Executive Director of Strategy and Chief Operating Officer responsible for the technical audit of the contracts.
<b>9. Quotations, Tendering &amp; Contract Procedures</b>		
For details of Delegated Limits, please refer to Table B – Quotations/Tenders.		
a) Services:		
Best value for money is demonstrated for all services provided under contract or in-house	Chief Executive	Directors
Nominate officers to oversee and manage the contract on behalf of the LHB	Chief Executive	Directors
b) Quotations – Total value of the contract over its entire period:		
Seeking quotations up to £5,000 in value	Executive Director of Finance (per SFI 11.7.1)	For details of delegated limits, please refer to Table B
Obtaining minimum of 3 written quotations for goods/services of value between £5,000 and £25,000	Chief Executive (per SFI 11.1.2)	For details of delegated limits. Please refer to Table B



DELEGATED MATTER	DELEGATED TO	OPERATIONAL RESPONSIBILITY
c) Competitive Tenders – Total value of the contract over its entire period:		
Obtaining a minimum of 4 written competitive tenders for goods/services of value between £25,000 and the OJEU threshold (in compliance with EC Directives as appropriate)	Chief Executive	For details of delegated limits, please refer to Table B
Obtaining a minimum of 5 written competitive tenders for goods/services of a value in excess of the OJEU threshold (in compliance with EC Directives as appropriate)	Chief Executive	For details of delegated limits, please refer to Table B
Receipt and custody of tenders prior to opening	Chief Executive	Executive Director of Finance
Opening Tenders and Quotations	Chief Executive	Executive Director of Finance
Decide if late tenders should be considered	Chief Executive	Executive Director of Finance
d) Waiving the requirement to request quotes or tenders – subject to SFI Schedule 1 Para. 4.2 & 4.3 – Formally reported to the Audit Committee	Chief Executive	Chief Executive/nominated deputy (Board Secretary or Executive Director of Finance). Where the budget holder requesting the waiver is the Chief Executive/Board Secretary/Executive Director of Finance, they cannot approve their own waiver and must seek approval from one of the other two delegated officers.
<b>10. Fixed Assets</b>		
a) Maintenance of asset register	Chief Executive	Executive Director of Finance supported by relevant Director
b) Calculate and pay capital charges in accordance with Welsh Government requirements	Executive Director of Finance	Executive Director of Finance
c) Responsibility for fixed assets – Land & Buildings	Chief Executive	Chief Operating Officer
d) Responsibility for all other fixed assets (Plant, Machinery, Transport, IT assets including software, Furniture & Fittings)	Chief Executive	Directors

DELEGATED MATTER	DELEGATED TO	OPERATIONAL RESPONSIBILITY
e) Responsibility for security of LHB assets including notifying discrepancies to the Director of Finance and reporting losses in accordance with LHB procedures	Chief Executive	Directors
<b>11. Personnel &amp; Pay</b>		
a) Nominate officers to enter into contracts of employment regarding staff, agency staff or consultancy service contracts in accordance with the "Policy for the Safe Recruitment and Selection Practices" together with accompanying guidance, particularly the need for pre-employment checks.	Chief Executive	Executive Director of Workforce & OD
b) Approve the commencement of employment prior to all pre-employment checks being completed.	Executive Director of Workforce & OD	Executive Director of Workforce & OD
c) Authority to fill funded post on the establishment with permanent staff.	Executive Director of Workforce & OD	Directors
d) Authority to extend Locum appointments	Chief Executive	Secondary Care Director and Hospital Directors, Mental Health Director and Area Directors for appointments over 12 months to 24 months. Chief Operating Officer and Executive Director of Workforce & OD/Director of MHLD for appointments over 24 months to 36 months only.
e) The granting of additional increments to staff within budget in accordance with Terms & Conditions of Service	Executive Director of Workforce & OD	Directors with advice from Executive Director of Workforce & OD
f) All requests for upgrading/ regrading/ major skill mix changes shall be dealt with in accordance with LHB Procedure	Executive Director of Workforce & OD	Directors with advice from Executive Director of Workforce & OD
g) Authority to agree acting up salaries for staff other than Executive Directors (Approval of acting up salaries for interim Executive Directors to be retained by Remuneration & Terms of Service Committee)	Chief Executive to agree acting up arrangements of Band 9 and above (Excluding Executive Directors)	Directors lead for acting up salaries up to Band 8d or equivalent.
h) Establishments:		
Additional staff to the agreed establishment with specifically allocated finance	Chief Executive	Directors with approval from Executive Director of Finance

<b>DELEGATED MATTER</b>	<b>DELEGATED TO</b>	<b>OPERATIONAL RESPONSIBILITY</b>
Additional staff to the agreed establishment without specifically allocated finance.	Chief Executive	Executive Director of Finance
Variation to the funded establishment	Chief Executive	Directors with approval from Executive Director of Finance
i) Pay		
Authority to complete standing data forms effecting pay, new starters, changes and leavers	Executive Director of Workforce & OD	Directors
Authority to complete and authorise timesheets and payroll returns	Executive Director of Workforce & OD	Directors
Authority to authorise overtime	Executive Director of Workforce & OD	Directors
Authority to authorise travel & subsistence expenses	Executive Director of Workforce & OD	Directors
Maintenance of a list of managers authorised to sign payroll and travel expense documentation.	Executive Director of Workforce & OD	Directors
j) Leave		
Approval of annual leave in accordance with LHB policy	Executive Director of Workforce & OD	Executive Director of Finance
Carry over of annual leave in exceptional circumstances up to a maximum of 5 days	Executive Director of Workforce & OD	Directors
Compassionate leave	Executive Director of Workforce & OD	Directors
Special leave arrangements (to be applied in accordance with LHB Policy)	Executive Director of Workforce & OD	Directors
Leave without pay	Executive Director of Workforce & OD	Directors
Medical Staff Leave of Absence – paid and unpaid	Executive Director of Workforce & OD	Directors
Consultants Special Leave	Executive Medical Director	Directors
Time off in lieu	Executive Director of Workforce and OD	Directors
Maternity Leave – paid and unpaid	Executive Director of Workforce & OD	Directors

DELEGATED MATTER	DELEGATED TO	OPERATIONAL RESPONSIBILITY
k) Annualised hours/flexible working hours system- maintenance of adequate records	Executive Director of Workforce & OD	Directors
l) Sick Leave		
Extension of sick leave on half pay up to three months	Executive Director of Workforce & OD	Directors in conjunction with Executive Director of Workforce & OD
Return to work part-time on full pay to assist recovery	Executive Director of Workforce & OD	Directors in conjunction with Executive Director of Workforce & OD
Extension of sick leave on full pay	Executive Director of Workforce & OD	Directors in conjunction with Executive Director of Workforce & OD
m) Study Leave		
Study leave outside the UK (non-medical staff excluding clinical staff)	Executive Director of Workforce & OD	Directors
Medical staff study leave (UK)	Executive Medical Director/Executive Director of Workforce & OD	Directors
Consultant Medical Staff Leave (UK)	Executive Medical Director	Directors
All Medical and non-Medical Clinical Staff study leave outside the UK	Executive Medical Director/Executive Director of Nursing & Midwifery/Executive Director of Therapies & Health Science	Directors
All other study leave (UK)	Executive Director of Workforce & OD	Directors
n) Removal Expenses		
Authorisation of payment of removal expenses incurred by officers taking up new appointments (providing consideration was promised at interview)	Executive Director of Workforce & OD	Directors in accordance with BCU HB policy/approval from the Executive Director of Workforce & OD
o) Grievance Procedure	Executive Director of Workforce & OD	Directors
p) Professional Misconduct/Competence- Medical and Dental Staff	Executive Medical Director/Executive Director of Workforce & OD	Assistant Medical Directors supported by Workforce & OD

<b>DELEGATED MATTER</b>	<b>DELEGATED TO</b>	<b>OPERATIONAL RESPONSIBILITY</b>
q) Suspension of Doctors employed directly by the LHB	Chief Executive	Executive Medical Director supported by Executive Director of Workforce & OD
r) Removal of Practitioner from the Performers List	Chief Executive	Executive Medical Director supported by Executive Director of Workforce & OD and Chief Operating Officer
s) Requests for new posts to be authorised as car users	Executive Director of Finance	Directors
t) Renewal of Fixed Term Contract	Executive Director of Workforce & OD	Directors
u) Voluntary Early Release Scheme	Executive Director of Workforce & OD	Executive Director of Workforce & OD, with Executive Director of Finance for sign off of financial viability
v) Settlement on termination of employment	Executive Director of Workforce & OD	Executive Director of Workforce & OD with approval from Welsh Government where the payment is Ex-gratia and exceeds the delegated limit of £50,000
w) Ill Health Retirement Decision to pursue retirement on the grounds of ill-health following advice from Workforce & OD Department	Executive Director of Workforce & OD	Executive Director of Workforce & OD
x) Disciplinary Procedure(excluding Executive Directors)	Executive Director of Workforce & OD	Directors
<b>12. Engagement of Staff Not On the Establishment</b>		
For details of Delegated Limits, please refer to Table B		
a) Non clinical Consultancy Staff	Chief Operating Office/ Director of Mental Health & Learning Disabilities	Director accountable for relevant service
b) Medical Locum staff	Executive Medical Director in liaison with Chief Operating Officer	Director accountable for relevant service.
c) Booking of Agency Nursing Staff	Chief Operating Officer	Director accountable for relevant service
d) Booking of Bank Staff:		

<b>DELEGATED MATTER</b>	<b>DELEGATED TO</b>	<b>OPERATIONAL RESPONSIBILITY</b>
Nursing	Chief Operating Officer	Director accountable for relevant service
Other	Chief Operating Officer	Director accountable for relevant service
<b>13. Charitable Funds Held on Trust</b>		
For details of Delegated Limits, Please refer to Table B		
a) Management: Funds held on Trust are managed appropriately	Executive Director of Finance	Directors
b) Maintenance of authorised signatory list of Authorised Fund Holders	Executive Director of Finance	Executive Director of Finance
c) Expenditure	Refer to Table B - Delegated Limits	
d) Fundraising Appeals – Preparation/Monitoring/Reporting progress and performance	Executive Director of Finance	Executive Director of Finance
e) Operation of Bank Accounts:		
Managing banking arrangements and operation of bank accounts	Executive Director of Finance in conjunction with Corporate Trustees	Executive Director of Finance
Opening bank accounts	Board	Executive Director of Finance
f) Investments – Policy and Arrangements	Executive Director of Finance in conjunction with Corporate Trustees	Executive Director of Finance
g) Authority to accept the discharge of a donor's estate	Executive Director of Finance	Executive Director of Finance
<b>14. Primary Care Patient Services/ Healthcare Agreements</b>		
For details of Delegated Limits, please refer to Table B – Healthcare Agreements		
a) Contract negotiation and provision of service agreements	Chief Operating Officer	Executive Director of Finance/Chief Operating Officer
b) Reporting actual and forecast contract income	Executive Director of Finance	Executive Director of Finance

<b>DELEGATED MATTER</b>	<b>DELEGATED TO</b>	<b>OPERATIONAL RESPONSIBILITY</b>
c) Pricing of all contracts and SLAs	Executive Director of Finance	Executive Director of Finance with relevant Director
d) Signing agreements	Chief Executive	Chief Executive or Executive Director of Finance in Chief Executive's absence/Chief Operating Officer for all primary care related agreements
<b>15. Income Systems, Fees and Charges</b>		
a) Private Patients, Overseas Visitors, Income Generation and other patient related services	Executive Director of Finance	Executive Director of Finance
b) Pricing of NHS agreements	Executive Director of Finance	Assistant Directors of Finance
c) Informing the Director of Finance of monies due to the LHB	Executive Director of Finance	Directors
d) Recovery of debt	Executive Director of Finance	Executive Director of Finance
e) Security of cash and other negotiable instruments	Executive Director of Finance	Executive Director of Finance and all Directors
f) Designing, maintaining and ensuring compliance with systems for the proper recording, invoicing, collection and coding of all monies due	Executive Director of Finance	Director of Finance (Operational)
g) Non patient care income	Executive Director of Finance	Executive Director of Finance
<b>16. Disposal and Condemnations</b>		
Disposal of all property and land require formal approval by the Cabinet Secretary for Health, Well-Being & Sport		
a) Issuing procedure for the disposal of assets obsolete, obsolescent, redundant, irreparable or cannot be repaired cost effectively	Executive Director of Finance	Executive Director of Finance/Chief Operating Officer
b) Notification to Director of Finance prior to disposal	Executive Director of Finance	Directors

DELEGATED MATTER	DELEGATED TO	OPERATIONAL RESPONSIBILITY
<b>17. Losses, Write-offs &amp; Compensation</b>		
a) Prepare procedures for recording and accounting for losses and special payments including preparation of a fraud response plan and informing Counter Fraud Operational Services of frauds.	Chief Executive	Executive Director of Finance
b) Losses of cash due to theft, fraud, overpayment of salaries, fees, allowances & other causes up to £50,000	Chief Executive	Executive Director of Finance
c) Fruitless payments (including abandoned Capital Schemes) up to £250,000	Chief Executive	Executive Director of Finance
d) Bad debts and claims abandoned: Private patients; overseas visitors & other cases up to £50,000	Chief Executive	Executive Director of Finance
e) Damage to buildings, their fittings, furniture and equipment and loss of equipment and property in stores and in use due to: Culpable causes (e.g. fraud, theft, arson) or other up to £50,000	Chief Executive	Executive Director of Finance
f) For personal and public liability claims, under the Legal & Risk scheme, authorisation from Legal & Risk is required before admissions may be made and monetary compensation offered. (Ex-gratia settlements offered by the LHB are by definition not payments based upon legal liability and are, therefore, not reimbursable under the WRP scheme)	Chief Executive	Executive Director of Nursing & Midwifery supported by the relevant Director after seeking appropriate legal advice, up to a max £150,000
g) Compensation payments made under legal obligation:	Chief Executive	Chief Executive, Executive Director of Finance or Executive Director of Nursing & Midwifery
h) Extra contractual payments to contractors – Up to £50,000 as specified within the Losses and Special Payments Manual of Guidance	Chief Executive	Executive Director of Finance with reporting to the Audit Committee
<b>17.1 Ex-Gratia Payments:</b>		
a) Patients and staff for loss of personal effects up to £50,000	Chief Executive	Executive Director of Finance- Refer to Finance Policy on Losses and Special Payments



<b>DELEGATED MATTER</b>	<b>DELEGATED TO</b>	<b>OPERATIONAL RESPONSIBILITY</b>
b) For clinical negligence up to £250,000 (negotiated settlements)*. Report to Board > £50,000 (see also table B para.15)	Chief Executive	Executive Director of Finance/Executive Director of Nursing & Midwifery
c) For clinical negligence over £250,000 and up to £1,000,000* (negotiated settlements). Report to Board > £50,000 (see also table B para.15)	Chairman	Chief Executive/ Executive Director of Finance/Executive Director fo Nursing & Midwifery
d) For personal injury claims involving negligence where legal advice has been obtained and guidance applied up to £250,000 (including plaintiff's costs) Report to Board > £50,000	Chief Executive	Chief Executive/ Executive Director of Finance/Executive Director of Workforce & OD/ Executive Director of Nursing & Midwifery
e) For personal injury claims involving negligence where legal advice has been obtained and guidance applied up to £1,000,000 Report to Board > £50,000*	Board	Chief Executive/Executive Director of Finance/Executive Director of Nursing & Midwifery
f) Other, except cases for maladministration where there was no financial loss by claimant, up to £50,000	Chief Executive	Executive Director of Finance/Executive Director of Nursing & Midwifery
* For all clinical negligence and personal injury cases(including Court cases) the use of structured settlements should be considered involving costs to the NHS of £250,000 or more – All structured settlements require approval from the Welsh Government		
<b>18. Reporting of Incidents to the Police</b>		
a) Where a criminal offence is suspected		
Criminal offence of a sexual or violent nature	Chief Executive	Chief Operating Officer
Arson or theft	Director of Estates & Facilities	Directors
Other	Director of Estates & Facilities	Directors
<b>19. Financial Procedures</b>		
a) Maintenance & Update of LHB Financial Procedures	Executive Director of Finance	Executive Director of Finance
<b>20. Audit Arrangements</b>		

<b>DELEGATED MATTER</b>	<b>DELEGATED TO</b>	<b>OPERATIONAL RESPONSIBILITY</b>
a) Review, appraise and support in accordance with Internal Audit standards for NHS Wales and best practice	Chair of the Audit Committee	Board Secretary/Head of Internal Audit
b) Provide an independent and objective view on internal control and probity	Chief Executive	Head of Internal Audit/Wales Audit Office
c) Ensure Cost-effective external audit	Chair of Audit Committee	Executive Director of Finance
d) Ensure an adequate internal audit service	Chief Executive	Board Secretary
e) Implement recommendations	Chief Executive	All relevant Directors
<b>21. Legal Proceedings</b>		
a) Engagement of LHB's Solicitors	Chief Executive	Board Secretary for all Board related matters/Executive Director of Workforce & OD for all employment related matters/Executive Director of Strategy for all estate related matters/Chief Operating Officer for all Primary Care related matters.
b) Approve and sign all documents which will be necessary in legal proceedings	Chief Executive	Any Director of the Board or an officer formally nominated by the Chief Executive
c) Sign on behalf of the LHB any agreement or document not requested to be executed as a deed	Chief Executive	Any Director of the Board or an officer formally nominated by the Chief Executive
<b>22. Insurance Policies and Risk Management</b>		
	Chief Executive	Executive Director of Finance/Board Secretary
<b>23. Clinical Audit</b>		
	Chief Executive	Executive Medical Director and Executive Director of Therapies & Health Science
<b>24. Patients' Property (in conjunction with financial advice)</b>		
For details of Delegated Limits, please refer to Table B – Petty Cash/Patients Monies		

<b>DELEGATED MATTER</b>	<b>DELEGATED TO</b>	<b>OPERATIONAL RESPONSIBILITY</b>
a) Ensuring patients and guardians are informed about patients' monies and property procedures on admission	Chief Operating Officer	Directors
b) Prepare detailed written instructions for the administration of patients' property	Chief Operating Officer	Executive Director of Finance
c) Informing staff of their duties in respect of patients' property	Chief Operating Officer	Directors
d) Issuing property valued >£5,000 only on production of a probate letter of administration	Executive Director of Finance	Executive Director of Finance
<b>25. Patients &amp; Relatives Complaints</b>		
a) Overall responsibility for ensuring that all complaints are dealt with effectively	Chief Executive	Executive Director of Nursing & Midwifery
b) Responsibility for ensuring complaints are investigated thoroughly	Chief Executive	Executive Director of Nursing & Midwifery
c) Medical – Legal Complaints Co-ordination of their management	Chief Executive	Executive Director of Nursing & Midwifery
<b>26. Seal</b>		
a) The keeping of a register of seal and safekeeping of the seal	Chief Executive	Board Secretary
b) Attestation of seal in accordance with Standing Orders	Chief Executive/Chairman	Board Secretary
<b>27. Gifts and Hospitality</b>		
a) Keeping of gifts and hospitality register	Chief Executive	Board members to be responsibility of Board Secretary, all other areas responsibility of Directors
<b>28. Declaration of Interests</b>		
a) Maintaining a register	Chief Executive	Board members to be responsibility of Board Secretary, all other areas responsibility of Directors
<b>29. Informatics and the Data Protection Act</b>		
a) Review of LHB's compliance with the Data Protection Act	Chief Executive	Board Secretary

<b>DELEGATED MATTER</b>	<b>DELEGATED TO</b>	<b>OPERATIONAL RESPONSIBILITY</b>
b) Waiving the requirement to levy the Data Protection Subject Access Fee	Chief Executive	Board Secretary
c) Responsibility for Informatics policy and strategy	Executive Medical Director	Assistant Director of Informatics
d) Responsibility for ensuring that adequate management (audit) trails exist in Informatics systems	Executive Medical Director	Assistant Director of Informatics
<b>30. Records</b>		
a) Review LHB's compliance with the Retention of Records Act and guidance	Chief Executive	Board Secretary
b) Approval for the destruction of records	Chief Executive	Board Secretary
c) Ensuring the form and adequacy of the financial records of all departments	Executive Director of Finance	Executive Director of Finance
<b>31. Authorisation of New Drugs</b>		
	Chief Executive	Executive Medical Director on the advice of the appropriate professional bodies
<b>32. Authorisation of Research Projects</b>		
	Executive Medical Director	Director of Research & Development
<b>33. Authorisation of Clinical Trials</b>		
	Chief Executive	Executive Medical Director
<b>34. Infectious Diseases &amp; Notifiable Outbreaks</b>		
	Chief Executive	Executive Director of Public Health
<b>35. Review of Fire Precautions</b>		
	Chief Executive	Chief Operating Officer
<b>36. Health &amp; Safety</b>		
Review of all statutory compliance legislation and Health and Safety requirements including control of Substances Hazardous to Health Regulations	Chief Executive	Chief Operating Officer
<b>37. Medicines Inspectorate Regulations</b>		
Review Regulations Compliance	Chief Executive	Executive Medical Director supported by Chief Pharmacist
<b>DELEGATED MATTER</b>	<b>DELEGATED TO</b>	<b>OPERATIONAL RESPONSIBILITY</b>

<b>38. Environmental Regulations</b>		
Review of compliance with environmental regulations, for example those relating to clean air and waste disposal	Chief Executive	Chief Operating Officer
<b>39. Legal &amp; Risk Payments</b>	Chief Executive	Executive Director of Nursing & Midwifery/Executive Director of Finance
<b>40. Investigation of Fraud/Corruption or Financial Irregularities</b>	Executive Director of Finance	Lead Local Counter Fraud Specialist
<b>41. Commercial Sponsorship</b>		
Agreement to proposal in accordance with BCU HB procedures	Chief Executive	Executive Director of Finance
<b>42. Cost/Notional Rent/Third Party Developer/Improvement Grants</b>		
Approval of all schedules of payments	Chief Executive	Executive Director of Strategy/Chief Operating Officer
Submission to Welsh Government for all new GP premises or major extensions in accordance with BCU HB Primary Care Estates Strategy	Chief Executive	Executive Director of Strategy/Chief Operating Officer
<b>43. Freedom of Information</b>	Chief Executive	Board Secretary
<b>44. Caldicott Guardian</b>	Executive Medical Director	Deputy Medical Director
<b>45. Emergency Planning &amp; Major Incidents – Civil Contingencies Act (Category 1 Responder)</b>	Chief Executive	Executive Director of Strategy
<b>46. National Health Services (Wales) Act 2006 Section 33 Agreements: Arrangements between NHS Bodies and Local Authorities</b>	Chief Executive	Chief Operating Officer
<b>47. Statutory compliance with respective Legislation</b>	Chief Executive	Board Secretary
<b>DELEGATED MATTER</b>	<b>DELEGATED TO</b>	<b>OPERATIONAL RESPONSIBILITY</b>

<p><b>48. National Health Service (Appointment of Consultants) (Wales) (Amendment) Regulations 2005 (Statutory Instrument 2005: 3039) Appointment of all Medical and Dental Consultant posts. Consultant posts within Public Health that are open to both medically qualified and those qualified in other disciplines other than medicine should follow this process, even though they fall outside of the requirements of the Statutory Instrument.</b></p>	Chief Executive	Executive Medical Director/Assistant Medical Director or Executive Director of Public Health for Public Health appointments with support from the Executive Director of Workforce & OD in facilitating the Appointments Advisory Committee
<p><b>49. All Wales Policy: Making Decisions on Individual Patient Funding Requests (IPFR)</b></p>	Chief Executive	WHSSC IPFR Panel £300,000 to £1,000,000; Chief Executive up to £299,999; Chair and Vice Chair of Health Board IPFR Panel together sign up to £125,000
<p>* The IPFR Panel cannot make policy decisions for the health board. Any policy proposals arising from their considerations and decisions must be reported to the Health Board Quality, Safety &amp; Experience Committee</p>		
<p><b>50. Carbon Reduction Commitment Order (Phase 2) Agency Registration</b></p>	Chief Executive	Chief Operating Officer
<p><b>Mental Health Legislation:</b></p>		
<p><b>51. Mental Health Act 2007</b></p>	Chief Executive	Director of Mental Health & Learning Disabilities
<p><b>52. Mental Health (Wales) Measure 2010</b></p>	Chief Executive	Director of Mental Health & Learning Disabilities
<p><b>53. Mental Capacity Act 2005 and Code of Practice</b></p>	Chief Executive	Director of Mental Health & Learning Disabilities
<p><b>54. Deprivation of Liberty Safeguards (DoLS)</b></p>	Executive Director of Nursing & Midwifery	Associate Director, Safeguarding

**Table B – Scheme of Financial Delegation**

*Financial Limits are subject to funding available within relevant budget(s) and are inclusive of VAT irrespective of recovery arrangements.*

*All purchases must ensure compliance with Standing Financial Instruction Schedule 1 -*

*Procurement of Works, Goods and Services with regard to the required quotation or Tendering exercise.*

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	Budget changes	General expenditure	Healthcare agreements	Capital (Business Case and Contractual Commitment approvals)			Specialist			Charitable Funds		Procurement waivers	Staffing		
	<p><b>Any expenditure approval must be within funding limits of approved budgets.</b></p> <p><b>Approval limits are cumulative, and therefore higher level approval limits must be supported by lower level approvals.</b></p> <p><b>Executive Directors and Directors, Area Directors, Secondary Care Director and Hospital Care Directors to determine scheme of delegation within their structures.</b></p>														
	Budget transfers between Corporate Departments, Area Teams or Hospital Teams (Virements)	Individual orders / requisitions / annual order value or total contract value (unless otherwise noted)	Healthcare agreements (NHS and Private sector)(annual value) (Primary Care contracts approved by Board)	Building and engineering orders; related consultancy support(individual contractual commitment)	Medical devices; plant; machinery; related consultancy support(individual contractual commitment)	IM&T; telecoms systems; software; related consultancy (individual contractual commitment)	Property or equipment leases(granting or termination of leases; annual value)	External consultancy support (total contract value for duration of service)	Losses / Special Payments (Terminations approved by Exec.Director of W&OD; VERS by RATS C'ttee)	New drugs (value based on annual costs)	Locally held funds(total funding bid value)	General funds(total funding bid value)	All values	New posts (additional establishm't)	Agency and Waiting List Initiatives (all values)
WG (In advance of contract planning)	No requirement	£1m plus	£1m plus (Private sector)	£1m plus	£1m plus	£1m plus	No requirement	£1m plus	See Manual of Guidance for losses and SFIs, as special rules apply for certain losses and ex gratia payments.	No requirement	No requirement	No requirement	No requirement	No requirement	No requirement
Board following Chief Executive approval	£1m plus	£1m plus	Over £10m approved in advance, below £10m retrospectively reported. Over £1m for Private sector.	£1m plus	£1m plus	£1m plus	£0.5m plus or any which need signing under seal (Reservation of Power, Number 33)	£0.5m plus		£1m plus	No requirement	No requirement	No requirement	No requirement	No requirement
Audit Committee													Retrospective reporting		
Charitable Funds Committee											Over £5k (Up to £25k scrutinised by CF Advisory Group)	Over £5k (Up to £25k scrutinised by CF Advisory group)			
CEO through Executive Team	£0.5m to £1m	£0.5m to £1m	New or contract variation to £10.0m.	£0.5m to £1m	£0.5m to £1m	£0.5m to £1m	£250k to £0.5m	£250k to £0.5m	£0.5m to £1.0m	£0.5m to £1.0m	Up to £5k	Up to £5k	As escalated by DoF	Can approve new posts across LHB	No requirement
Any 2 of CEO, COO and DoF (must include DoF)		Up to £0.5m	New or contract variation to £5.0m (to £1m for Private sector).					Up to £250k		Up to £0.5m			As escalated by DoF		
Executive Director of Finance	Up to £0.5m	Up to £250k		Up to £0.5m	Up to £0.5m	Up to £0.5m	Up to £250k	Up to £100k	Up to £0.5m		Up to £5k	Up to £5k	As escalated by FD: OF		
Executive Directors, Board Secretary, Director of Mental Health and Learning Disabilities (unless noted below)		Up to £250k						Up to £100k					Waivers must be approved by FD: OF and Exec.Director of Finance or Chief Executive if	Can approve new posts within own structure.	Must approve in advance in own structure.



	Budget changes	General expenditure	Healthcare agreements	Capital (Business Case and Contractual Commitment approvals)			Specialist			Charitable Funds		Procurement waivers	Staffing		
	<p><b>Any expenditure approval must be within funding limits of approved budgets.</b></p> <p><b>Approval limits are cumulative, and therefore higher level approval limits must be supported by lower level approvals.</b></p> <p><b>Executive Directors and Directors, Area Directors, Secondary Care Director and Hospital Care Directors to determine scheme of delegation within their structures.</b></p>														
	Budget transfers between Corporate Departments, Area Teams or Hospital Teams (Virements)	Individual orders / requisitions / annual order value or total contract value (unless otherwise noted)	Healthcare agreements (NHS and Private sector)(annual value) (Primary Care contracts approved by Board)	Building and engineering orders; related consultancy support(individual contractual commitment)	Medical devices; plant; machinery; related consultancy support(individual contractual commitment)	IM&T; telecoms systems; software; related consultancy (individual contractual commitment)	Property or equipment leases(granting or termination of leases; annual value)	External consultancy support (total contract value for duration of service)	Losses / Special Payments (Terminations approved by Exec.Director of W&OD; VERS by RATS C'ttee)	New drugs (value based on annual costs)	Locally held funds(total funding bid value)	General funds(total funding bid value)	All values	New posts (additional establishm't)	Agency and Waiting List Initiatives (all values)
Chief Operating Officer		Up to £250k		Up to £0.5m	Up to £0.5m		Up to £250k	Up to £100k					escalated by FD: OF	Can approve new posts within own structure.	Must approve in advance in own structure.
Executive Director of Strategy		Up to £250k		Up to £0.5m	Up to £0.5m			Up to £100k						Can approve new posts within own structure.	Must approve in advance in own structure.
Executive Medical Director		Up to £250k				Up to £0.5m		Up to £100k						Can approve new posts within own structure.	Must approve in advance in own structure.
Executive Director of W&OD		Up to £250k						Up to £100k	Terminations up to £50k (over this to WG)					Can approve new posts within own structure.	Must approve in advance in own structure.
Executive Director of Nursing & Midwifery		Up to £250k						Up to £100k	Up to £150k					Can approve new posts within own structure.	Must approve in advance in own structure.

	Budget changes	General expenditure	Healthcare agreements	Capital	Specialist	Charitable Funds	Procurement waivers	Staffing							
<p><b>Any expenditure approval must be within funding limits of approved budgets.</b></p> <p><b>Approval limits are cumulative, and therefore higher level approval limits must be supported by lower level approvals.</b></p> <p><b>Executive Directors and Directors, Area Directors, Secondary Care Director and Hospital Care Directors to determine scheme of delegation within their structures.</b></p>															
	Budget transfers between Corporate Departments, Area Teams or Hospital Teams(Virements)	Individual orders / requisitions / annual order value or total contract value (unless otherwise noted)	Healthcare agreements (NHS and Private sector)(annual value) (Primary Care contracts approved by Board)	Building and engineering orders; related consultancy support(individual contractual commitment)	Medical devices; plant; machinery; related consultancy support(individual contractual commitment)	IM&T; telecoms systems; software; related consultancy support(individual contractual commitment)	Property or equipment leases(granting or termination of leases; annual value)	External consultancy support (total contract value for duration of service)	Losses / Special Payments (Terminations only approved by Exec Director of W&OD; VERS require RATS Committee)	New drugs (value based on annual costs)	Locally held funds(total funding bid value)	General funds(total funding bid value)	All values	New posts (additional establishment)	Agency and Waiting List Initiatives (all values)
Area Directors and Director of Mental Health & Learning Disabilities		Up to £250k	New or contract variation to £1.5m		Up to £250k			Up to £100k		Up to £100k, following Med Mgt Group	Up to £5k			Can approve new posts within own team.	As escalated by Direct Reports*
Area Medical Director															Medical staff*
Area Nurse Directors															Nurse or other staff*
Secondary Care Director		Up to £250k	New or contract variation to £1.5m		Up to £250k			Up to £100k		Up to £100k, following Med Mgt Group	Up to £5k			Can approve new posts within own team.	As escalated by Direct Reports*
Secondary Care Medical Director		Up to £150k			Up to £150k			Up to £150k			Up to £5k				Medical staff*
Secondary Care Nurse Director		Up to £150k			Up to £150k			Up to £150k			Up to £5k				Nurse or other staff*
Hospital Directors		Up to £150k			Up to £150k			Up to £50k			Up to £5k			Can approve new posts within own team.	As escalated by Direct Reports*
Hospital: Assistant Medical Director															Medical staff*
Hospital: Assistant Nurse Director															Nurse or other staff*
Procurement (NWSSP)													All signed off by Procurement		

	Budget changes	General expenditure	Healthcare agreements	Capital	Specialist	Charitable Funds	Procurement waivers	Staffing							
<p><b>Any expenditure approval must be within funding limits of approved budgets.</b></p> <p><b>Approval limits are cumulative, and therefore higher level approval limits must be supported by lower level approvals.</b></p> <p><b>Executive Directors and Directors, Area Directors, Secondary Care Director and Hospital Care Directors to determine scheme of delegation within their structures.</b></p>															
	Budget transfers between Corporate Departments, Area Teams or Hospital Teams(Virements)	Individual orders / requisitions / annual order value or total contract value (unless otherwise noted)	Healthcare agreements (NHS and Private sector)(annual value) (Primary Care contracts approved by Board)	Building and engineering orders; related consultancy support(individual contractual commitment)	Medical devices; plant; machinery; related consultancy support(individual contractual commitment)	IM&T; telecoms systems; software; related consultancy (individual contractual commitment)	Property or equipment leases(granting or termination of leases; annual value)	External consultancy support (total contract value for duration of service)	Losses / Special Payments (Terminations only approved by Exec Director of W&OD; VERS require RATS Committee)	New drugs (value based on annual costs)	Locally held funds(total funding bid value)	General funds(total funding bid value)	All values	New posts (additional establishm't)	Agency and Waiting List Initiatives (all values)
Deputy Director (Concerns)									Up to £75k						
Deputy / Assistant Director Board Secretary		Up to £75k													
Assistant Director Primary Care		Up to £75k	Up to £75k		Up to £75k			Up to £75k			Up to £5k				
Assistant Director Community Hospital Services		Up to £75k	Up to £75k		Up to £75k			Up to £75k			Up to £5k				
Assistant Director Secondary Care		Up to £75k	Up to £75k		Up to £75k			Up to £75k			Up to £5k				
Head of Investigations and Redress									Up to £20k						
Claims Managers									Up to £5k						
Authorised fund holder (Charitable Funds)											Up to £5k				

	Budget changes	General expenditure	Healthcare agreements	Capital	Specialist	Charitable Funds	Procurement waivers	Staffing							
<p><b>Any expenditure approval must be within funding limits of approved budgets.</b></p> <p><b>Approval limits are cumulative, and therefore higher level approval limits must be supported by lower level approvals.</b></p> <p><b>Executive Directors and Directors, Area Directors, Secondary Care Director and Hospital Care Directors to determine scheme of delegation within their structures.</b></p>															
	Budget transfers between Corporate Departments, Area Teams or Hospital Teams(Virements)	Individual orders / requisitions / annual order value or total contract value (unless otherwise noted)	Healthcare agreements (NHS and Private sector)(annual value) (Primary Care contracts approved by Board)	Building and engineering orders; related consultancy support(individual contractual commitment)	Medical devices; plant; machinery; related consultancy support(individual contractual commitment)	IM&T; telecoms systems; software; related consultancy (individual contractual commitment)	Property or equipment leases(granting or termination of leases; annual value)	External consultancy support (total contract value for duration of service)	Losses / Special Payments (Terminations only approved by Exec Director of W&OD; VERS require RATS Committee)	New drugs (value based on annual costs)	Locally held funds(total funding bid value)	General funds(total funding bid value)	All values	New posts (additional establishm't)	Agency and Waiting List Initiatives (all values)
Medicines Management Group										All new drugs, unless cheaper than existing					
<p>* Agency and Waiting List Initiatives must generally be approved in advance. However, in exceptional circumstances when staff are required out of hours, they can be approved retrospectively.</p>															

This scheme only relates to matters delegated by the Board to the Chief Executive and Directors, together with certain other specific matters referred to in Standing Financial Instructions. Each Director is responsible for delegation within their department. They should produce an Operational Scheme of Delegation and Authorisation for matters within their department, which should also set out how departmental budget and procedures for approval of expenditure are delegated.