



Chief Executive’s Scheme of Accountability and Delegation

CONTROLLED DOCUMENT

CATEGORY:	Policy
CLASSIFICATION:	Governance
PURPOSE	To set out which functions the Chief Executive shall perform personally and which functions have been delegated to other directors and officers of the Trust for operational responsibility.
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1. Introduction

1.1 Responsibilities

Responsibility for the operational and financial management of the Trust on a day-to-day basis rests with the Board of Directors, and all the powers of the Trust are vested in them.

1.2 Matters Reserved for the Board of Directors

1.2.1 The Standing Orders of the Trust require the Board of Directors to determine those matters on which decisions are reserved to itself. These reserved matters are set out in Schedule A to the Corporate Governance Policy.

1.2.2 All powers which are not reserved to the Board of Directors or the Council of Governors shall be exercisable by the Chief Executive or as delegated by him/her.

1.2.3 The Board of Directors remains accountable for all of its functions, even those delegated to Committees, the Chair or Chief Executive and therefore expects to receive information about the exercise of delegated functions to enable it to maintain a monitoring role.

2. Purpose

2.1 The purpose of this document is to set out:

2.1.1 the accountabilities of the Executive Team Directors*;

2.1.2 the authority of Directors and other officers of the Trust; and

2.1.3 as determined/delegated by the Chief Executive and as referred to in sections 3.7 and 4.4 of the Corporate Governance Policy.

*i.e. the Executive Directors and other Directors who attend meetings of the Board of Directors as a matter of routine.

Key:

Term/Abbreviation	Meaning
Executive Director	The CEO, CFO, MD, CN, COO, CIO, CTO and the CWIO.
Statutory Director	The Executive Directors and the Non-Executive Directors (incl. the Chair)
Executive Team Directors	The Executive Directors and the DCA, DComs, DSP, DQD, FD and the DPs

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Term/Abbreviation	Meaning
CEO	Chief Executive
CFO	Chief Financial Officer
MD	Medical Director
CN	Chief Nurse
COO (QE)	Chief Operating Officer
CTO	Chief Transformation Officer
CIO	Chief Innovation Officer
CWIO	Chief Workforce & International Officer
DCA	Director of Corporate Affairs
DComms	Director of Communications
DPs	Director of Partnerships
DSP	Director of Strategy & Performance
DQD	Director of Quality Development
FD	Director of Finance

3. Accountabilities of Executive Team Directors

Accountabilities of Executive Team Directors have been determined by the Chief Executive as follows:

3.1 Medical Director

- 3.1.1 Clinical Quality
- 3.1.2 Professional medical and scientific advice to the Board
- 3.1.3 Professional leadership of medical, dental, pharmacy and scientific staff
- 3.1.4 Medical workforce planning
- 3.1.5 IT
- 3.1.6 Caldicott Guardian
- 3.1.7 Medicines Management/Pharmacy.

3.2 Chief Nurse

- 3.2.1 Care Quality & Patient Experience
- 3.2.2 Professional nursing advice to the Board
- 3.2.3 Professional leadership of nursing, midwifery & Allied Health Professionals
- 3.2.4 Nursing & Midwifery workforce planning

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- 3.2.5 Inclusion and Well Being
- 3.2.6 Infection Prevention & Control
- 3.2.7 Complaints Department & Patient Advice and Liaison Service (PALS)
- 3.2.8 Chaplaincy & Bereavement Services/End of Life Care
- 3.2.9 Safeguarding (Adults & Children)
- 3.2.10 Volunteers
- 3.2.11 Facilities
- 3.3 Chief Financial Officer (supported by Director of Finance)
 - 3.3.1 Financial Planning
 - 3.3.2 Financial reporting including the statutory annual accounts
 - 3.3.3 Professional financial advice to the Board
 - 3.3.4 Budget setting/budgetary control
 - 3.3.5 Healthcare income/contracts
 - 3.3.6 Procurement and Logistics
 - 3.3.7 Productivity and Efficiency
 - 3.3.8 Payroll
 - 3.3.9 Counter Fraud & Corruption
 - 3.3.10 Treasury Management
 - 3.3.11 Capital Investment
 - 3.3.12 Commercial developments and contracts (including PFI)
 - 3.3.13 Finance and Procurement Systems
 - 3.3.14 Temporary Staffing Bank/UHB+
 - 3.3.15 Charities/Arts
- 3.4 Chief Innovation Officer
 - 3.4.1 Innovation
 - 3.4.2 Research
 - 3.4.3 Education
 - 3.4.4 Regeneration
 - 3.4.5 Medical records
 - 3.4.6 Patient Administration
- 3.5 Chief Operating Officer
 - 3.5.1 Leadership of Clinical Divisions
 - 3.5.2 Operational Performance

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- 3.5.3 Cancer Services
- 3.5.4 Continuous Improvement
- 3.5.5 Operational Annual Planning
- 3.5.6 Day to day efficiency
- 3.6 Chief Transformation Officer
 - 3.6.1 Healthcare Transformation and long term planning
 - 3.6.2 Transformational Service reconfiguration/redesign
 - 3.6.3 Service Improvement
 - 3.6.4 Capital Developments
 - 3.6.5 Estates, including Fire Safety, Buildings and Maintenance
 - 3.6.6 Medical and non-medical equipment and devices (EBME)
- 3.7 Chief Workforce & International Officer
 - 3.7.1 Service integration
 - 3.7.2 HR and workforce
 - 3.7.3 Workforce Planning
 - 3.7.4 Occupational Health
 - 3.7.5 Leadership Development
 - 3.7.6 Talent Management
 - 3.7.7 International Developments – International Fellowship programme
- 3.8 Director of Communications
 - 3.8.1 Communications
 - 3.8.2 Reputation management
 - 3.8.3 Media relations
 - 3.8.4 Digital Communication
 - 3.8.5 Medical Illustration
 - 3.8.6 Membership communications and engagement
 - 3.8.7 Stakeholder management
 - 3.8.8 Patient Information
 - 3.8.9 Car parking and transport
 - 3.8.10 Staff engagement
- 3.9 Director of Corporate Affairs
 - 3.9.1 Foundation Secretariat
 - 3.9.2 Membership database & Governor elections

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- 3.9.3 Administration of all board meetings
- 3.9.4 Legal advice to the Board
- 3.9.5 Governance, Risk & Assurance
- 3.9.6 Health & Safety
- 3.9.7 Security
- 3.9.8 Compliance with Provider Licence
- 3.9.9 Legal Services
- 3.9.10 NHSLA & Insurance
- 3.9.11 Information Governance
- 3.9.12 Corporate Record Management
- 3.9.13 Emergency Planning and Preparedness
- 3.10 Director of Partnerships
 - 3.10.1 Community services strategy and interface with social care
 - 3.10.2 Discharge planning
 - 3.10.3 Out of acute hospital care
 - 3.10.4 External relationships with other Trusts and health economy bodies
 - 3.10.5 GP and Commissioner Liaison
- 3.11 Director of Strategy & Performance
 - 3.11.1 Trust strategy
 - 3.11.2 Strategic planning and projects
 - 3.11.3 Medium term and annual plans
 - 3.11.4 Performance Monitoring
 - 3.11.5 Sustainability and Transformation Plan
 - 3.11.6 Corporate social responsibility
 - 3.11.7 Social Inclusion
- 3.12 Director of Quality Development
 - 3.12.1 Informatics
 - 3.12.2 Quality Monitoring
 - 3.12.3 Clinical Quality improvement

4. Other Specific Accountabilities

- 4.1 Standing Orders, Standing Financial Instructions, this Scheme and other policies set out in some detail certain specific accountabilities

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of the Chief Executive, other directors and officers. It is important to differentiate between ‘accountability’ and ‘authority’. ‘Accountability’ means being answerable for your own actions or actions of others acting on your behalf, whereas ‘Authority’ means having the power to make decisions/enter into arrangements with third parties on the Trust’s behalf. Thus, an individual may delegate authority to their subordinates. However, they remain accountable for the exercise of those delegated authorities.

- 4.2 Specific accountabilities are set out below in the ‘Scheme of Accountability’:

	ACCOUNTABILITY	ACCOUNTABLE OFFICER(S)	REF
1.	GENERAL		
1.1.	Ensure existing Directors and employees and all new appointees are notified of and understand their responsibilities within Standing Orders, SFIs and the Nolan Principles of Conduct in Public Life.	CEO	SO 17.1/SFI 1.3.5
2.	PROCUREMENT		
2.1.	Ensure that best value is obtained for all services provided under contract or in-house.	CFO	SO 11.5.11
2.2.	Demonstrate that the use of private finance represents best value and transfers risk to the private sector.	CEO	SO 11.7.1
2.3.	Receipt and Custody of Tenders.	FD	SO 11.5.10
2.4.	Maintain lists of approved firms for works contracts.	FD	SO 11.5.6
2.5.	Prescribe procedures for competitive tendering and quotations.	FD	SO 11.2
3.	CONTRACTS		
3.1.	Negotiating healthcare contracts for the provision of services to patients	CEO	SFI 7
3.2.	Monitor the performance of contractual arrangements between the Trust and outside bodies:		
	a) Service Contracts i.e. contracts under which the Trust is providing services	Director of Contracting	
	b) Contracted Services i.e. contracts under which the Trust is receiving services	Relevant Executive Team Director	
4.	PURCHASING AND STOCK CONTROL		
4.1.	Ensuring adherence to Procurement Policy and Procedures	Head of Procurement	Procurement Policy
4.2.	Prescribe procedures and systems to regulate stores, e.g. stock taking arrangements	CFO	SFI 13.4

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	ACCOUNTABILITY	ACCOUNTABLE OFFICER(S)	REF
4.3.	Control of Pharmaceutical stock	Chief Pharmacist	SFI 13.2
4.4.	Control of Warehouse stock	Head of Procurement	SFI 13.2
4.5.	Control of stock held in theatres	Head of Procurement	SFI 13.2
5.	CONDEMNING AND DISPOSAL		
5.1.	Prescribe procedures for the disposal of assets	CFO	SFI 14.2.1
5.2.	Disposal of fixed assets	CFO	
5.3.	Disposal of pharmaceutical products	Chief Pharmacist	14.1
5.4.	Disposal of IM&T	Director of IT	14.1
5.5.	Disposal of medical devices	CTO	14.1
6.	LOSSES AND SPECIAL PAYMENTS		
6.1.	Prescribe procedures for the recording of losses and special payments	CFO	SFI 14.2.1
6.2.	Maintain a losses and special payments register	CFO	SFI 14.2.5
7.	FINANCE GENERAL (INCLUDING SYSTEMS)		
7.1.	Ensure accuracy of Annual Report and Accounts.	CEO	SFI 4.1
7.2.	Ensure revision and implementation of Trust Financial Procedures	CFO	SFI 1.3.6 and 5.3
7.3.	Make appropriate banking arrangements and comply with their terms and covenants.	CFO	SFI 5
7.4.	Ensure appropriate arrangements for the receipt of cash, cheques, etc. are in place and adhered to.	CFO	SFI 6
7.5.	Develop financial systems in accordance with the Trust's IM&T Strategy	CFO	
7.6.	Ensure adequacy of financial records of all departments.	CFO	SFI 1.3.9

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	ACCOUNTABILITY	ACCOUNTABLE OFFICER(S)	REF
7.7.	Ensure due regard is had to the Secretary of State directions on counter fraud and corruption.	CFO	SFI 2.2
7.8.	Compliance with terms of any loan/overdraft	CFO	SFI 10.1.6
7.9.	Payment of Dividend to DOH for Public Dividend Capital	CFO	SFI 10.2.4
7.10.	Prepare procedures for recording and accounting for losses and special payments	CFO	SFI 14.2.1
7.11.	Ensure accuracy and security of computerised financial data.	CFO	SFI 15
8.	BUDGET		
8.1.	Submit Annual Plan to Board of Directors.	CFO	SFI 3.1.1
8.2.	Monitor performance against plan, financial estimates and forecasts.	CFO	SFI 3.1.4
8.3.	Devise and maintain systems of budgetary control.	CFO	SFI 3.3.1
8.4.	Provide adequate training to budget holders to enable them to manage their budgets	CFO	SFI 3.1.6
8.5.	Determine and set out level of delegation of non-pay expenditure to budget managers.	CEO	SFI 9.1.1
8.6.	Responsibility of keeping expenditure within budgets		SFI 3.2.2
	a) At individual budget level day to day control (Pay and Non Pay)	Budget Manager	
	b) Operational budgets at divisional level	Divisional Directors of Operations	
	c) For the totality of services covered by Divisional Management	Chief Operating Officer	
	d) For all other areas	Appropriate Executive Director	

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	ACCOUNTABILITY	ACCOUNTABLE OFFICER(S)	REF
9.	REGISTERS		
9.1.	Maintain asset register	CFO	SFI 12.2.1
9.2.	Maintain IT asset register	DIT	SFI 12.2.1
9.3.	Maintain register of directors' interests.	DCA	SO 8.2
9.4.	Maintain Hospitality Register Applies to both individual and collective hospitality receipt of items in excess of £25.00 per item received	DCA	SFI 19.1.3
10.	SEALING		
10.1.	Ensure attestation of sealing in accordance with Standing Orders	DCA	SO 15.4
10.2.	Keep seal in safe place and maintain a register of sealing.	DCA	SO 15.4
11.	INTELLECTUAL PROPERTY		
11.1.	Maintain IP register	DCA	
11.2.	Monitor Trust IP for breaches/infringements by third parties	DCA	
12.	RELATIONSHIP WITH PATIENTS/RELATIVES		
12.1.	Ensure efficient handling of Patients and Relatives Complaints	CN	3.2.6 above
12.2.	Ensure efficient handling of medico-legal claims	DCA	
12.3.	Ensure complaints relating to a division or corporate directorate are investigated thoroughly.	Appropriate Divisional Director/Executive Team Director	
12.4.	Ensure patients and guardians are informed about patients' money and property procedures on admission.	CN	SFI 16.2
13.	RECORD MANAGEMENT/ DATA PROTECTION		
13.1.	Maintain archive of all corporate documents	DCA	

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	ACCOUNTABILITY	ACCOUNTABLE OFFICER(S)	REF
13.2.	Develop and maintain policies and procedures on retention of documents.	DCA	SFI 17.2
13.3.	Compliance with the Data Protection Act/Access to Health Records Act/Freedom of Information Act	DCA	3.9.11 above
13.4.	Management of health records in accordance with DoH Records Management NHS Code of Practice	MD	
14.	RISK, ASSURANCE AND INSURANCE		
14.1.	Develop and maintain risk management programme.	DCA	
14.2.	Oversee insurance arrangements.	DCA	SFI 18.1
14.3.	Ensure that Internal Audit is adequate to ensure effective control	DCA	SFI 2.4.3
14.4.	Oversee expenditure in relation to work of External Audit	CFO	
15.	COMPLIANCE		
15.1.	Ensure appropriateness of fire precautions	CTO	3.6.7 and 3.2.13 above
15.2.	Compliance with Health and Safety legislation relating to:		
	Control of Substances Hazardous to Health (COSHH) Regulations	DCA	3.9.3 above
	Buildings	CTO	3.7.5 above
	Other Health and Safety e.g. training and monitoring compliance	DCA	3.9.6 above
15.3.	Compliance with Medicines Inspectorate Regulations	MD	3.1.10 above
15.4.	Compliance with environmental regulations, for example those relating to clean air and waste disposal	CTO	3.6.7 and 3.2.13 above
16.	LEGAL SERVICES		
16.1.	Oversee legal services, maintain register of panel solicitors	DCA	3.9.9. above
17.	COMMUNICATION		

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	ACCOUNTABILITY	ACCOUNTABLE OFFICER(S)	REF
17.1.	Relationship with the press		
17.1.1.	General enquiries/press releases	DComs	3.8.3 above
17.2.	Notifiable infections and diseases		
17.2.1.	Reports of infectious diseases and notifiable outbreaks	CN	3.2.5 above
18.	HUMAN RESOURCES		
18.1.	Workforce planning and review, organisational re-structure	CWIO	3.4.5 above
18.2.	Staff appointment and employment contracts	CWIO	3.2.4.above and SFI 8.4
19.	MANAGING R&D		
19.1.	R&D contracts including database	Head of R&D	

5. Chief Executive’s Scheme of Delegation of Authority

- 5.1 The detailed scheme of delegation including financial limits is set out in the table below.
- 5.2 Wherever possible, reference has been made to the relevant authority (including in particular the SFI,s SOs, relevant BOD minutes and policies). It is to be used in conjunction with the system of budgetary control and other established procedures within the Trust. In particular, delegation of financial authority is recorded on the Authorised Signatory Schedule. Each director is responsible for the delegation within his/her directorate. Such delegation is to be carried out in accordance with the Carltona principle as set out in the Corporate Governance Policy, Annex D.
- 5.3 Decisions taken under delegated authority which may have a far reaching effect must be reported to the Chief Executive. All items concerning Finance must be carried out in accordance with Standing Orders and Standing Financial Instructions. All actions must take due regard to the relevant risk registers and prioritised risk management plans. No member of staff may approve any transaction in favour of themselves.

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SCHEME OF DELEGATION OF AUTHORITY

	DELEGATED AUTHORITY	AUTHORITY DELEGATED TO	REFERENCE
1	PROCUREMENT		
1.1	Quotation and Tendering Procedures		
1.1.1	Send out invitations to tender (where electronic tendering platform is not used)	Procurement Department	
1.1.2	Receive tenders (where electronic tendering platform is not used)	Procurement Department	
1.1.3	Open tenders (where electronic tendering platform is not used)	Finance Department (Nominated Officers)	
1.1.4	Identify weighted criteria	Relevant Buyer with technical advice from procurement department	
1.1.5	Selection of the quotation which gives the best value for money.	Relevant Buyer with technical advice from procurement department	SO 11.5.1 and Procurement Policy
1.1.6	Award and sign contracts for goods/services – see below under contracts		
1.2	Tender for in house services		
1.2.1	Nomination of officers/specialists	Relevant Executive Director	SO 14.1.1
1.2.2	Nomination of in house tender group	CEO	SO 14.1.2

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	DELEGATED AUTHORITY	AUTHORITY DELEGATED TO	REFERENCE
1.2.3	Evaluation where expenditure is unlikely to exceed £1 million pa	Evaluation Group comprising of specialist officer, procurement officer and FD	SO 14.1.3
1.3	Waive formal tendering procedures		
1.3.1	Waive formal tendering procedures without reference to the Chief Executive if the estimated expenditure or income does not, or is not reasonably expected to exceed £50,000 pa or where the supply is proposed under special arrangements negotiated by the DoH, in which event the said special arrangements must be complied with.	Executive Team Directors and Divisional Directors of Operations	SO 11.5.2
1.3.2	Authorise obtaining of quotes by telephone	Executive Team Directors	SO 11.5.9
1.4	Authorise Single Tender Action (STA) subject to conditions set out in SO 11.4.2		SO 11.4
1.4.1	Up to the OJEU threshold (non-works contracts)	FD	
1.4.2	Up to £500,000	CFO	
1.4.3	Up to £1,000,000 (STAs in excess of £1,000,000 are reserved to the Board of Directors)	CEO in consultation with CFO	
1.5	Requisitions		
1.5.1	Place requisitions for the supply of goods and services	Budget holders	SFI 9.1.2

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	DELEGATED AUTHORITY	AUTHORITY DELEGATED TO	REFERENCE
2	CONTRACTS FOR PROVISION OF GOODS/SERVICES TO THE TRUST - REVENUE		
2.1	Award and sign contracts		
	Engagement of Consultancy Services i.e. contracts for the services of an individual, directly or through a personal service company		
2.1.1	Where aggregate commitment in any one year (or total commitment) to a particular consultancy is less than £25,000 exc. VAT	Executive Team Directors	
2.1.2	Where aggregate commitment in any one year is more than £25,000 ex. VAT	CFO	
2.1.3	Action on Litigation To agree action on litigation against or on behalf of the Trust that relates to a non-insured claim:		
a)	Claim not exceeding £25,000 exc. VAT (related to respective portfolio)	Executive Team Directors	
b)	Claim not exceeding £250,000 exc. VAT	Deputy DCA	
c)	Claim not exceeding £500,000 exc. VAT	DCA	
d)	Claim not exceeding £1,000,000 exc. VAT (Claims over £1,000,000 exc. VAT are reserved to the Board of Directors)	CEO	

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	DELEGATED AUTHORITY	AUTHORITY DELEGATED TO	REFERENCE
2.1.4	Settlement of Claims To approve settlement in respect of litigation against or on behalf of the Trust that relates to a non-insured claim:		
a)	not exceeding £25,000 exc. costs (related to respective portfolio)	Executive Team Directors	
b)	not exceeding £250,000 exc. costs	Deputy DCA	
c)	not exceeding £500,000 exc. Costs	DCA	
d)	not exceeding £1,000,000 exc. costs (Settlements in excess of £1,000,000 exc. VAT are reserved to the Board of Directors)	CEO	
2.1.5	Engagement of Legal Services		See Legal Services Policy and Procedure
a)	Initial fee estimate not exceeding £5,000 exc. VAT (not related to respective portfolio)	Executive Directors	
b)	Initial fee estimate not exceeding £25,000 exc. VAT (related to respective portfolio)	Executive Directors	
c)	Initial fee estimate not exceeding £250,000 exc. VAT	DCA	
d)	Initial fee estimate exceeding £250,000 exc. VAT	CEO	
e)	Initial fee estimate not exceeding £10,000 exc. VAT in relation to inquests, personal injury claims, general healthcare matters	Head of Legal	

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	DELEGATED AUTHORITY	AUTHORITY DELEGATED TO	REFERENCE
f)	Initial fee estimate not exceeding £5,000 exc. VAT on HR matters	Director of HR	
g)	Initial fee estimate not exceeding £5,000 exc. VAT on commercial matters	Head of Procurement	
h)	Initial fee estimate not exceeding £2,000 exc. VAT on real estate matters	Land and Property Manager	
	Leasing-in of equipment		
2.1.6	Orders/Contracts not exceeding £500,000 exc. VAT	FD	
2.1.7	Orders/Contracts not exceeding £1,000,000 exc. VAT	CFO	
2.1.8	Orders/Contracts not exceeding £2,000,000 exc. VAT (Expenditure over £2,000,000 exc. VAT is reserved to the Board of Directors)	CEO	
2.2	Award or sign of orders/contracts for provision of good/services to the Trust other than Consultancy Services, Legal Services and Leasing In		SFIs Section 7
2.2.1	Orders/Contracts not exceeding £25,000 exc. VAT	As delegated by officers designated below using Authorised Signatory Schedule	

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	DELEGATED AUTHORITY	AUTHORITY DELEGATED TO	REFERENCE
2.2.2	Orders/Contracts up to £50,000 exc. VAT	Divisional Directors (Operations) and equivalent officers as nominated by appropriate Executive Team Directors	
2.2.3	Orders/Contracts not exceeding £200,000 exc. VAT	Executive Team Directors	
2.2.4	Orders/Contracts not exceeding £500,000 exc. VAT	FD	
2.2.5	Orders/Contracts not exceeding £1,000,000 exc. VAT	CFO	
2.2.6	Orders/contracts not exceeding £2,000,000. (Other orders/contracts over £2,000,000 exc. VAT are reserved to the Board of Directors)	CEO	
3	CAPITAL ASSETS		SFIs Section 12
3.1	Variations to Capital Equipment Programme		
3.1.1	Variations to allocations to specific projects within the Capital Equipment Programme as long as overall value is maintained (excluding scheme slippage)	CFO	
a)	Variations up to the greater of £500,000 or 2.5% of the overall value of the Capital Equipment Programme	FD	

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	DELEGATED AUTHORITY	AUTHORITY DELEGATED TO	REFERENCE
b)	Variations up to the greater of £1,000,000 or 5% of the overall value of the Capital Equipment Programme	CFO	
c)	Variations greater than the higher of £1,000,000 or 5% of the overall value of the Capital Equipment Programme	CEO	
3.1.2	Increases to the total amount of the Capital Equipment Programme		
a)	Variations up to £500,000	FD	
b)	Variations up to £1,000,000	CFO	
c)	Variations up to £2,000,000 (Variations over £2,000,000 exc. VAT are reserved to the Board of Directors)	CEO	
3.2	Expenditure (exc. VAT) within Capital Programme		
3.2.1	Items or Contracts to £10,000	Head of Technical Services	
3.2.2	Items or Contracts to £100,000	Executive Team Directors	
3.2.3	Items or Contracts covered by COO Discretionary Funds	COO	
3.2.4	Items or Contracts to £500,000	FD	
3.2.5	Items or Contracts to £1,000,000	CFO	

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	DELEGATED AUTHORITY	AUTHORITY DELEGATED TO	REFERENCE
3.2.6	Items or Contracts to £2,000,000 (Expenditure over £2,000,000 exc. VAT is reserved to the Board of Directors)	CEO	
3.3	Capital - Non PFI Contract Variations outside contracted sum		
3.3.1	Resultant Contracted sum for Items or Contracts to £10,000	Head of Technical Services	
3.3.2	Resultant Contracted sum for Items or Contracts to £100,000	COO for operational issues	
3.3.3	Resultant Contracted sum for Items or Contracts to £500,000	FD	
3.3.4	Resultant Contracted sum for Items or Contracts to £1,000,000	CFO	
3.3.5	Resultant Contracted sum for Items or Contracts to £2,000,000 (Expenditure over £2,000,000 exc. VAT is reserved to the Board of Directors)	CEO	
3.4	Capital - PFI Contract Variations		
3.4.1	Variations not exceeding £10,000	Head of Technical Services	
3.4.2	Variations not exceeding £100,000	COO for operational issues	
3.4.3	Variations not exceeding £500,000 per annum or £5m over the remaining term of the relevant PFI contract	FD	

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	DELEGATED AUTHORITY	AUTHORITY DELEGATED TO	REFERENCE
3.4.4	Variations not exceeding £1,000,000 per annum or £10m over the remaining term of the relevant PFI contract	CFO	
3.4.5	Variations not exceeding £2,000,000 per annum or £20m over the remaining term of the relevant PFI contract (Expenditure over £2,000,000 exc. VAT Revenue Variations under PFI contract where the variation is in excess of £2m per annum or £20m over the remaining term of the relevant PFI contract are reserved to the Board of Directors)	CEO	
3.4.6	Appointment of architects, quantity surveyors, consultant engineer and other professional advisors within EU regulations.	CTO	
3.5	PFI Agreement re QE site		

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	DELEGATED AUTHORITY	AUTHORITY DELEGATED TO	REFERENCE
3.5.1	Trust Operational Representative Exercises functions and powers of the Trust as identified in the project agreement in relation to the project operations following the actual completion date.	DCA	Project Agreement (Note: The CE is responsible for the actions of the Trust Operational Representative and shall ensure that they act in accordance with the Trust's objectives.)
3.6	Entering into/renewing leases/licences as tenant (real estate)		
3.6.1	Leases/Licences for a rent/premium not exceeding £500,000 over the term/renewal term of the lease/licence	FD DCA	
3.6.2	Leases/Licences for a rent/premium not exceeding £1,000,000 over the term/renewal term of the lease/licence	CFO	
3.6.3	Leases/Licences for a rent/premium not exceeding £2,000,000 over the term/renewal term of the lease/licence. Leases/Licences for a rent of more than £2,000,000 over the term of the lease/licence are reserved to the Board of Directors)	CEO	
3.7	Grant of new leases/licences (real estate)		

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	DELEGATED AUTHORITY	AUTHORITY DELEGATED TO	REFERENCE
3.7.1	Leases/Licences up to 5 years and for a rent/premium not exceeding £500,000 over the term of the lease/licence	FD DCA	
3.7.2	Leases/Licences up to 10 years and for a rent/premium not exceeding £1,000,000 over the term of the lease/licence.	CFO	
3.7.3	Leases/Licences for a rent/premium not exceeding £2,000,000 over the term of the lease/licence Leases/Licences at a rent/premium of more than £2 million over the term of the Lease/Licence are reserved to the Board of Directors)	CEO	
3.7.4	Extensions to existing leases/Licences (real estate)		
3.7.5	Extensions to Leases/Licences for up to 5 years and for a rent/premium not exceeding £500,000 over the renewal term of the lease/licence	FD DCA	
3.7.6	Extensions to Leases/Licences for up to 5 years and for a rent/premium not exceeding £1,000,000 over the renewal term of the lease/licence	CFO	

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	DELEGATED AUTHORITY	AUTHORITY DELEGATED TO	REFERENCE
3.7.7	Extensions to Leases/Licences for up to 5 years and for a rent/premium not exceeding £2,000,000 over the renewal term of the lease/licence. (Extensions to Leases/Licences for a rent/premium exceeding £2,000,000 over the renewal term of the lease/licence are reserved to the Board of Directors)	CEO	
3.8	Tenancy agreements/Licences for staff accommodation		
3.8.1	Preparation and signature of all tenancy agreements/licences for all staff subject to Trust Policy on accommodation for staff	Head of Technical Services	
3.8.2	Extensions to existing tenancy agreements/licences for all staff subject to Trust Policy on accommodation for staff	Head of Technical Services	
3.9	CONDEMNING & DISPOSAL		SFIs Section 14.1
3.9.1	Disposal of any items by sale or otherwise with a market value of up to £500,000.	FD	
3.9.2	Disposal of any items by sale or otherwise with a market value of up to £1,000,000.	CFO	

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	DELEGATED AUTHORITY	AUTHORITY DELEGATED TO	REFERENCE
3.9.3	Disposal of any items by sale or otherwise with a market value of up to £2,000,000. (Disposal of any fixed assets by sale or otherwise with a market value over £2000,000 are reserved to the Board of Directors)	CEO	
4	OTHER OPERATIONAL ITEMS		
4.1	Authorisation of New Drugs		
4.1.1	Estimated total yearly cost up to £50,000 per drug	Chair of Medicines Management Advisory Group	
4.1.2	Estimated total yearly cost up to £100,000 per drug	COO	
4.1.3	Estimated total yearly cost up to £250,000 per drug	FD	
4.1.4	Estimated total yearly cost up to £500,000 per drug	CFO	
4.1.5	Estimated total yearly cost over £500,000 per drug	CEO	
4.2	Patient Services		
4.2.1	Variation of operating and clinic sessions within existing numbers	COO	
4.2.2	All proposed changes in bed allocation and use		
a)	Temporary Change	Bed Manager	
b)	Permanent Change	COO	

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	DELEGATED AUTHORITY	AUTHORITY DELEGATED TO	REFERENCE
4.3	Relationships with Patients & Relatives		
4.3.1	Authorisation of final response to complaint	CN and other Executive Team Directors when CN absent	
5	CONTRACTS TO SUPPLY GOODS/SERVICES BY UHB		SFIs Section 7
5.1	Negotiation of contracts for the provision of healthcare services with purchasers of healthcare	CFO	SO 10.9.2
5.2	Award or sign off of orders/contracts for provision of healthcare services by the Trust to the extent that such contracts are included within the Annual Financial Plan and do not contain non-standard terms that expose the Trust to additional material risk		
5.2.1	Orders/Contracts up to £50,000 exc. VAT	Divisional Directors (Operations) and equivalent officers as nominated by appropriate Executive Team Directors	
5.2.2	Orders/Contracts not exceeding £100,000 exc. VAT	Executive Team Directors	
5.2.3	Orders/Contracts not exceeding £250,000 exc. VAT	FD	
5.2.4	Orders/Contracts not exceeding £500,000 exc. VAT	CFO	
5.2.5	Orders/contracts in excess of £500,000 exc. VAT	CEO	

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	DELEGATED AUTHORITY	AUTHORITY DELEGATED TO	REFERENCE
5.3	Licensing of Intellectual Property	MD CFO DCA Commercial Director	
5.4	Submission of formal Tenders to provide goods/services		
5.4.1	Up to £50,000 per annum or £500,000 over the term of the contract and where the reputational risk to the Trust is low	Directors of Operations (Divisions) Head of Technical Services	
5.4.2	Up to £200,000 per annum or £2,000,000 over the term of the contract and where the reputational risk to the Trust is low	Executive Team Directors	
5.4.3	Up to £500,000 per annum or £5,000,000 over the term of the contract and where the reputational risk to the Trust is low to medium	FD	
5.4.4	Up to £1,000,000 per annum or £10,000,000 over the term of the contract and where the reputational risk to the Trust is low to medium	CFO	

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	DELEGATED AUTHORITY	AUTHORITY DELEGATED TO	REFERENCE
5.4.5	Up to £2,000,000 per annum or £20,000,000 over the term of the contract and where the reputational risk to the Trust is low to medium (Submission of tenders to provide services over £2,000,000 per annum or £20,000,000 over the term of the contract or where the reputational risk to the Trust is high are reserved to the Board of Directors)	CEO	
5.5	Approval of contracts to provide goods/services other than healthcare contracts included within the Annual Financial Plan which do not contain non-standard terms that expose the Trust to additional material risk		
5.5.1	Up to £50,000 per annum or £500,000 over the term of the contract and where the reputational risk to the Trust is low	Divisional Directors of Operations	
5.5.2	Up to £200,000 per annum or £2,000,000 over the term of the contract and where the reputational risk to the Trust is low to medium	Executive Team Directors	
5.5.3	Up to £500,000 per annum or £5,000,000 over the term of the contract and where the reputational risk to the Trust is low to medium	FD	
5.5.4	Up to £1,000,000 per annum or £10,000,000 over the term of the contract and where the reputational risk to the Trust is low to medium	CFO	

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	DELEGATED AUTHORITY	AUTHORITY DELEGATED TO	REFERENCE
5.5.5	Up to £2,000,000 per annum or £20,000,000 over the term of the contract and where the reputational risk to the Trust is low to medium (Approval of Contracts for the provision of services over £2,000,000 per annum or £20,000,000 over the term of the contract or where the reputational risk to the Trust is high is reserved to the Board of Directors)	CEO	
5.6	Raising of invoices not covered by a contract		
5.6.1	Raising invoices to £50,000 (excluding VAT) per invoice	Divisional Finance Managers and other officers as approved on the Authorised Signatory Schedule	
5.6.2	Raising invoices up to £100,000 (excluding VAT) per invoice	Executive Directors Heads of Operational Finance	
5.6.3	Raising invoices not exceeding £250,000 (excluding VAT) per invoice	FD	
5.6.4	Raising invoices exceeding £250,000 (excluding VAT) per invoice	CFO	
5.7	Other contracts not covered above or elsewhere in this scheme		
5.7.1	Heads of Terms/Confidentiality Agreements	Executive Team Directors	

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	DELEGATED AUTHORITY	AUTHORITY DELEGATED TO	REFERENCE
5.7.2	Data Processing/Sharing Agreements	DCA Senior Manager Information Governance Head of R&D R&D Governance Manager Deputy Director of Corporate Affairs Deputy Foundation Secretary	
6	INVESTMENT		
	To authorise all investments of surplus cash	CFO	SFI 10.3.4/ Treasury Management Policy
7	LOSSES, WRITE-OFF & COMPENSATION		
7.1	Losses (including cash losses) due to theft, fraud, overpayment & others – not personal injury		SFIs Section 14.2
7.1.1	Up to £10,000	Financial Controller	
7.1.2	Up to £500,000	FD	
7.1.3	Up to £1,000,000	CFO	

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	DELEGATED AUTHORITY	AUTHORITY DELEGATED TO	REFERENCE
7.1.4	Up to £2,000,000 (Losses (including cash losses) due to theft, fraud, overpayment & others- not personal injury over £2,000,000 are reserved to the Board of Directors)	CEO	
7.2	Fruitless Payments (including abandoned Capital Schemes)		
7.2.1	Up to £500,000	FD	
7.2.2	Up to £1,000,000	CFO	
7.2.3	Up to £2,000,000 (Fruitless Payments (including abandoned Capital Schemes) over £2,000,000 are reserved to the Board of Directors)	CEO	
7.3	Writing off of Non-Healthcare related Bad Debts and Claims Abandoned		
7.3.1	Up to £5,000	Financial Controller	
7.3.2	Up to £50,000	Heads of Operational Finance	
7.3.3	Up to £100,000	Executive Team Directors	
7.3.4	Up to £500,000	FD	
7.3.5	Up to £1,000,000	CFO	
7.3.6	Up to £2,000,000 (over £2,000,000 reserved to the Board of Directors)	CEO	
7.4	Writing off of other Bad Debts and Claims Abandoned		

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	DELEGATED AUTHORITY	AUTHORITY DELEGATED TO	REFERENCE
7.4.1	Up to £5,000	Financial Controller	
7.4.2	Up to £50,000	Director of Contracting	
7.4.3	Up to £500,000	FD	
7.4.4	Up to £1,000,000	CFO	
7.4.5	Up to £2,000,000 (over £2,000,000 reserved to the Board of Directors)	CEO	
7.5	Damage to buildings, fittings, furniture and equipment in stores and in use due to Culpable causes (eg fraud, theft, arson) or other		
7.5.1	Up to £5,000	Financial Controller	
7.5.2	Up to £500,000	FD	
7.5.3	Up to £1,000,000	CFO	
7.5.4	Up to £2,000,000 (over £2,000,000 reserved to the Board of Directors)	CEO	
7.6	Ex-Gratia Payments		
7.6.1	Patients and staff for loss of personal effects – not PI		
a)	Up to £5,000	Financial Controller	
b)	Up to £15,000	CN DCA	
c)	Up to £50,000	FD	
d)	Up to £500,000	CFO	

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	DELEGATED AUTHORITY	AUTHORITY DELEGATED TO	REFERENCE
e)	Up to £1,000,000 (over £1,000,000 reserved to the Board of Directors)	CEO	
7.6.2	For personal injury claims		
a)	Up to £15,000	DCA	
b)	Up to £100,000	FD	
c)	Up to £500,000	CFO	
d)	Up to £1,000,000 (over £1,000,000 reserved to the Board of Directors)	CEO	
7.6.3	Other		
a)	Up to £15,000	CN DCA	
b)	Up to £100,000	FD	
c)	Up to £500,000	CFO	
d)	Up to £1,000,000 (over £1,000,000 reserved to the Board of Directors)	CEO	
7.7	Petty Cash Disbursements Expenditure up to £50 only per item	Delegated Budget Holder	SFI 9.2.5.j)
8	PERSONNEL & PAY		SFI 8/SO 10.8
8.1	Appointment of non medical staff		

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	DELEGATED AUTHORITY	AUTHORITY DELEGATED TO	REFERENCE
8.1.1	Permanent non medical post	Delegated Budget Holder (subject to Workforce Consistency Checking Process)	SFI 8.3.1
8.1.2	Temporary non medical post	Delegated Budget Holder	
8.2	Recruitment/Appointment of medical staff		
8.2.1	Recruitment to funded/approved Consultant Medical/Dental Staff posts	COO	With notice to Executive Team
8.2.2	Appointment of individuals to agreed/funded Consultant Medical Staff posts	CEO after consultation with the Chair of the relevant AAC	
8.2.3	Career Grade medical & dental staff (Staff and Associate Specialist Doctors)	Clinical Service Leads	
8.2.4	Junior Specialist Doctors (non training grade)	Consultants/ Clinical Tutors	
8.3	Pay progression (non medical staff)		
8.3.1	Pay progression for staff employed under the Agenda for Change (A4C) is covered by the A4C Ts and Cs	N/A	
8.4	Pay progression medical staff		
8.4.1	Career Grade medical & dental staff	MD	
8.4.2	Junior Specialist Doctors	MD	

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	DELEGATED AUTHORITY	AUTHORITY DELEGATED TO	REFERENCE
8.4.3	Training Grades	Head of Medical Resourcing	
8.5	Facilities for staff not employed by the Trust to gain practical experience		
8.5.1	Honorary Contracts (medical)	Head of Medical Resourcing	
8.5.2	Honorary Contracts (non medical)	Deputy Director of HR	
8.5.3	Engagement of work experience students (medical)	Head of Medical Resourcing Medical Education Manager (in accordance with agreed protocol)	
8.5.4	Engagement of work experience students (non-medical)	Deputy Director of HR	
8.6	Establishments		
8.6.1	Variation to funded establishment of any department within designated budget	Delegated Budget Holders	SFI 8.1.2.
8.6.2	Additional staff to the agreed establishment with specifically allocated finance	Executive Team Directors	
8.6.3	Additional staff to the agreed establishment without specifically allocated finance	CEO and CFO	
8.7	Standing data forms, overtime, travel expenses, etc.		SFI 8

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	DELEGATED AUTHORITY	AUTHORITY DELEGATED TO	REFERENCE
8.7.1	Authority to complete standing data forms affecting pay, new starters, variations and leavers	Recruitment/ Medical Resourcing Teams	
8.7.2	Authority to authorise overtime	Executive Team Directors or nominated officers	
8.7.3	Authority to authorise travel & subsistence expenses within budgets. Must be claimed within three months of the end of the financial year to which they relate. Any claims outside this period must be agreed by the Director of Finance.	Budget Holders	
8.8	Extended Role Activities Approval of Nurses/Midwives to undertake duties / procedures which can properly be described as beyond the normal scope of Nursing/Midwifery Practice.	CN	Nurse/Midwives/ Health Visitors Act Midwives Rules / Code of Practice NMC Code of Professional Conduct
	Approval of clinical roles other than Nurses/Midwives to undertake duties / procedures which can properly be described as beyond the normal scope of practice.	MD/CN as appropriate	
9	R&D		
9.1	Trial Authorisation		

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9.1.1	Authorisation of Standard Trial Agreements	Head of R&D, R&D Ops and Research and Governance Manager	
9.1.2	Authorisation of Non Standard Trial Agreements following discussion with DCA	Head of R&D, R&D Ops and Research and Governance Manager	
9.2	Authorisation of Research Projects	Head of R&D	Research Governance Policy and associated Procedure
9.3	Authorisation of Grant Applications	Head of R&D, R&D Ops, Deputy DWI, Research and Governance Manager	
9.4	Approval of Grant Agreements	See 5.5	
10	COMMUNICATIONS		
10.1	Relationship with the Press		
10.1.1	General Enquiries	DComs or nominated officer or CE	Media Policy
10.1.2	General press releases and statements	DComs or nominated officer or CEO	Media Policy

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	DELEGATED AUTHORITY	AUTHORITY DELEGATED TO	REFERENCE
10.1.3	Press releases and statements where the information concerns issues of serious nature, legal proceedings or investigations	Executive Team Director	Media Policy
10.2	Reporting of notifiable Infections	Director of Infection Prevention and Control	
10.3	Reporting to the police		
10.3.1	In cases of misappropriation and other financial irregularities	CFO, FD	SFI 14.2
10.3.2	In cases of assault/theft or other crime against individual employees involving patients/members of the public	All staff	
10.3.3	Disclosures of patient information to the police without consent of patient: Patients lacking capacity who may be the victims of crime Where the patient is alleged to have been involved in a serious crime *in emergency situations where police believe there is immediate threat to life or limb, decisions to disclose may be made by the senior staff member present	Caldicott Guardian Deputy Caldicott Guardians DCA Deputy DCA	
10.3.4	In all other cases	Executive Team Directors Executive on call Security Manager	

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	DELEGATED AUTHORITY	AUTHORITY DELEGATED TO	REFERENCE
11	CORPORATE GOVERNANCE		
11.1	Execution of Documents		
12	Approve and sign all building, engineering, property or capital agreements, contracts or documents	Nominated officers within delegated limits or as approved by the Board of Directors.	
13	Approve and sign all documents required in connection with legal proceedings	CEO, DCA or officers nominated by CEO or DCA	
13.1	Trust Seal		
13.2	Authorise use of the Trust seal for the execution of documents on behalf of the Trust	Any one of Executive Team Directors, FD, Chair	SO 15.3.1 and BOD minutes
13.3	Attestation of the seal	Any two Statutory Directors or any Statutory Director and Foundation Secretary	SO 15.3.1

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