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Counter Fraud In creating/revising this document, the contributors have considered and minimised any risks which might arise from it of fraud, theft, corruption or other illegal acts, and ensured that the document is robust enough to withstand evidential scrutiny in the event of a criminal investigation. Where appropriate, they have sought advice from the Trust's Local Counter Fraud Specialist (LCFS).

Version Control table

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Matters reserved for the Board of Directors (Trust Board) and Scheme of Delegation

Introduction

Subject to any directions to the contrary by the Regulator or the Trust itself, the Trust may make arrangements for the exercise of any of its functions, by a Committee, Sub-committee or Joint Committee or another corporate body, or by an officer of the Trust. The Code of governance for NHS provider trusts also requires that there should be a formal schedule of matters specifically reserved to the Trust Board.

The purpose of this document is to provide details of the powers reserved to the Board – generally matters for which it is held accountable to the Regulator, while at the same time delegating procedures. However, the Board remains accountable for all of its functions; even those delegated to the Chair, individual Directors or Officers and would therefore expect to receive information about the exercise of delegated functions to enable it to maintain a monitoring role. The document is to be reviewed every year.

Where any conflict arises with the Trust's Constitution, the requirements of the Constitution will always take precedence over the instructions contained in this document.

Role of the Chief Executive

All powers of the Trust which have not been retained as reserved by the Board or delegated to an executive committee or sub-committee shall be exercised on behalf of the Board by the Chief Executive. The Chief Executive shall prepare a Scheme of Delegation identifying which functions they shall perform personally¹ and which functions have been delegated to other Directors and officers.

All powers delegated by the Chief Executive can be re-assumed by them should the need arise. As Accounting Officer² the Chief Executive is accountable to Parliament for the funds entrusted to the Trust.

Caution over the Use of Delegated Powers

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

Directors' Ability to Delegate their own Delegated Powers

The Scheme of Delegation shows the levels of delegation within the Trust. The Scheme is to be used in conjunction with the system of budgetary control and other established procedures within the Trust.

Absence of Directors or Officer to Whom Powers have been Delegated

In the absence of a Director or officer to whom powers have been delegated those powers shall be exercised by that Director or officer's superior unless alternative arrangements have been approved by the Board. If the Chief Executive is absent powers delegated to them may be exercised by the Chair after taking appropriate advice from the [CFCOCFO](#), except those of Accounting Officer which should normally fall to the [CFCOCFO](#). The CFO is authorised to delegate his approval levels as agreed in this document (Schedule of Decisions) to the Deputy Chief Finance Officer.

Matters Reserved for the Board

Introduction

In any effective organisation a degree of delegation will be required, as it is impossible for the Board to have a hands-on involvement in every area of the organisation's business. That said, there are a number of matters which must be considered and/or decided upon by the Board. This document therefore lists those Matters Reserved for the Board which require the Board's specific consideration, approval or agreement.

These will, in general terms, include matters concerning:

- Values and standards
- Strategic direction and aims
- Investment planning
- Performance management
- Capital planning and major contracts
- Financial planning and borrowing
- Strategies/Policies affecting the Trust, patients and staff as a whole
- Internal control and risk management oversight
- Statutory reporting requirements

The Regulator's Code of governance and the Risk Assessment Framework provide more advice on the level of Board involvement to be expected but stops short of suggesting those specific matters which must be approved by the board. The Royal Papworth Board has approved the list of matters below as requiring the Board of Directors consideration, approval and agreement.

The Board of Directors has agreed that its consideration or approval is required for any of the following matters:

Strategy, Plans

1. Strategic aims and directions (after consultation with the Council of Governors)
2. Capital plan to implement the strategic directions
3. All business cases relating to capital projects. (See section 4 for limits)
4. To approve the Trust's Annual Plan
5. Borrowing requirements of any sort

6. Any proposal to cease to provide, or materially alter the specification or means of provision of, any Commissioner Requested Service as described in Condition CoS1 of the Licence
7. Disposal of any of the Trust's fixed assets with a market value over £150,000
8. Investment in equities or commercial (or other) organisations
9. Changes to the Board structure
10. All Trust-wide strategies – i.e. those affecting the entire organisation in a material way.

Oversight, Control and Assurance

1. Annual Report, Annual Financial Accounts and Quality Accounts.
2. Continuous appraisal of the Board Assurance Framework advised by the Executive and Board sub Committees.
3. Quarterly corporate risk register advised by Quality & Risk Committee.
4. Continuous appraisal of the Trust's financial and operational performance
5. Quarterly self-assessment of compliance with Care Quality Commission Standards, supported by the Quality & Risk Committee
6. Proposed amendments to the Constitution (as also agreed by the Council of Governors).
7. Trust Standing Orders.
8. Standing Financial Instructions.
9. Matters Reserved for the Board and Scheme of Delegation.
10. Establishment of, and terms of reference for, Board Committees.
11. Annual Review of Directors' Declarations of Interest.
12. Expenditure in excess of the financial limits in the Scheme of Delegation.
13. Audit arrangements in consultation where necessary with the Council of Governors.
14. Annual review of (whole) Board effectiveness.
15. Approval of bank account signatories.
16. Appointment of the Senior Independent Director (in consultation with the Council of Governors).

Operational

1. Breach, or possibility of breaching the targets and indicators to assess the quality of governance at NHS foundation trusts, as set out in the Risk Assessment Framework.
2. Non-compliance with the Care Quality Commission's national standards of quality & safety.
3. Litigation against, or on behalf of, the Trust.
4. Serious Incidents.

Other

Any matter which the Board considers significant to the organisation.

Interface with Council of Governors

The 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. In accordance with the National Health Service Acts the specific responsibilities of the Governors at a General Meeting are to:

- a. Appoint, re-appoint or remove the Chair and the other Non-executive Directors
- b. Approve the appointment of the Chief Executive
- c. Decide the remuneration and allowances and the other terms and conditions of office of the Non-executive Directors
- d. Appoint or remove the External Auditor

They must also be presented with:

- a. the annual financial accounts
- b. any report of the auditor on them
- c. the annual report, including the quality report

Other statutory roles and responsibilities of the Council of Governors are to:

- Hold the non-executive directors, individually and collectively, to account for the performance of the board of directors;
- Represent the interests of the members of the Trust as a whole and the interests of the public;
- Approve “significant transactions” (if defined in the Constitution);
- Approve an application by the Trust to enter a merger, acquisition, separation or dissolution;
- Decide whether the Trust’s non-NHS work would significantly interfere with its principal purpose, which is to provide goods and services for the health service in England, or performing its other functions, and
- Approve amendments to the Trust’s constitution (as also agreed by the Board of Directors).

Delegation of Powers

Delegation to Committees

The Board of Directors may determine that certain of its powers shall be exercised by its Standing Committees. The composition and terms of reference of such committees shall be that determined by the Board of Directors from time to time considering where necessary the requirements of the Regulator. The Board of Directors shall determine the reporting requirements in respect of these committees. In accordance with Standing Orders committees may not delegate executive powers to sub-committees unless expressly authorised by the Board of Directors.



Committee	Decisions/Duties delegated by the Board to Committees
Audit Committee	As per terms of reference approved by the Board of Directors
Quality and Risk Committee	
Performance Committee	
Executive Remuneration and Nominations Committee	
Strategic Projects Committee	
Workforce Committee	

Corporate Trustee

Royal Papworth Hospital NHS Foundation Trust is the Corporate Trustee of Royal Papworth Hospital Charity. The Board of Directors of Royal Papworth Hospital act on behalf of the Corporate Trustee through a Trustee Board.

Committees of the Trustee Board	Decisions/Duties delegated by the Trustee Board
Charitable Funds Committee	As per the terms of reference approved by the Trustee Board

Scheme of Delegation to Officers

Standing Orders and Standing Financial Instructions set out the financial responsibilities of the Chief Executive (CE), the [GFCOCFO](#) and other Directors in some detail. These responsibilities are summarised below.

This scheme of delegation covers only matters delegated by the Board to Directors and certain other specific matters referred to in SFIs. Each director is responsible for the delegation within his/her directorate.

SCHEME OF DELEGATION – STANDING ORDERS

Standing Orders Ref	DELEGATED TO	AUTHORITY/ DUTIES DELEGATED
2.3.1	Council of Governors	Appoint and remove the Chair and Non-executive Directors
2.3.2	Non-executive Directors	Appoint and remove the Chief Executive
2.4.2	Executive Remuneration and Nomination Committee	Decide the terms and conditions of office of the Executive Directors

3.1.2	Chair and Associate Director of Corporate Governance	Calling ordinary BoD meetings
3.1.3	Chair	Call a BoD meeting to discuss an urgent matter
3.1.4	<u>Minimum of</u> Four Directors	Requisition a meeting of the Board of Directors
3.3.2	Board Directors	Requesting an agenda item
3.4.1 /3.4.2	Chair and Non-executive Director	Chair BoD meeting
6.2	Associate Director of Corporate Governance	Maintain Registers of Interests
10.1	Associate Director of Corporate Governance	Arranging for the custody of the Common Seal
10.4	Associate Director of Corporate Governance	Register of sealing
11.1	Chief Executive and Executive Director	Approve and sign all documents which will be necessary in legal proceedings
11.2	Chief Executive and Executive Director	Sign on behalf of the trust any agreement or document not required to be executed as a deed
12.1	Executive Director	Employees and all new staff are notified of, and understand, their responsibilities within SOs and SFIs

SCHEME OF DELEGATION – STANDING FINANCIAL INSTRUCTIONS

Standing Financial Instruction Ref	DELEGATED TO	DUTIES DELEGATED
1.3.5	Chief Executive	To ensure that senior staff and all new appointees are notified of and understand their responsibilities within these instructions
1.3.7	Executive Directors	To ensure any contractor or officer of a contractor empowered to commit the Trust to expenditure is aware that they are covered by these instructions
1 3.8	GFCOCFO	Approval of the form in which financial records are kept
2 3.1	GFCOCFO	Ensure arrangements in place to review, evaluate and report on the effectiveness of internal financial control
2.6.1 	Chief Executive and GFCOCFO	Monitor and ensure compliance with good practice to counter fraud, bribery and corruption
2 6.5/2.6.6	GFCOCFO	Provide detailed procedures to minimise/eliminate fraud, bribery and corruption
2.6.10	Director of Workforce & Organisation Development	Ensure adequate pre-employment checks are carried out in accordance with Trust policies
2 6.15	GFCOCFO	Investigate fraud, bribery and corruption allegations using the Trust's Local Counter Fraud Specialist
3.1.1 	Chief Executive, Chief Operating Officer and GFCOCFO	Preparation, of an annual plan in accordance with the requirements of the Regulator.
3 1.4	GFCOCFO	Present budgets for the new financial year to the Board of Directors before the new financial year has commenced
3 1.8	GFCOCFO	Provide adequate training to budget holders
3.2.1	Chief Executive	Delegation of management of budget
3.2.4 	Chief Executive and GFCOCFO	Authority to use non-recurring funds on recurring expenditure
3 3.1	GFCOCFO	Devise and maintain systems of budgetary control and financial reporting
3.3.2	Chief Executive or other Executive Director	Approval of permanent staff other than those agreed in the annual Business Plan
3.5.1	Chief Executive	Responsibility for ensuring that a robust financial performance monitoring system is in place

4.1	GFCOCFO	Prepare Annual Accounts
5.1/5.4	GFCOCFO	Manage the banking arrangements
6.1	GFCOCFO	Responsibility for designing, monitoring and ensuring compliance with systems for coding, invoicing and collecting all income
6.2	GFCOCFO	Approve level of fees and charges
6.3	GFCOCFO	Debt recovery - appropriate action taken
6.4	GFCOCFO	Responsibility for systems covering security of cash, cheques and other negotiable instruments
7	Chief Executive and GFCOCFO	Negotiation of contracts with commissioners for patient activity
8.4	Director of Workforce & Organisation Development	Processing of Payroll
8.5	Director of Workforce & Organisation Development	Issuing of contracts of employment
9.2.4	GFCOCFO	Prompt payment of accounts
9.2.6	GFCOCFO	Authorisation of non-routine pre-payments
9.11.1	Chief Executive	Ensure best value for money for services provided on an in-house basis
10.1.3	GFCOCFO	Application for new borrowing
10.2.3	GFCOCFO	Investments - preparation of detailed procedural instructions
11.1.1	Chief Operating Officer and GFCOCFO	Capital Programme - appraisal and approval process
11.1.2	Chief Operating Officer and GFCOCFO	Capital programme - Business Case preparation process
11.1.4	GFCOCFO	Assess requirements for operation of Construction Industry Taxation scheme
11.1.5	GFCOCFO	Capital Programme - reporting on actual versus plan
11.1.7 / 11.1.8/11.1.9	Chief Operating Officer and GFCOCFO	Capital programme – management of projects
11.2	Chief Executive and GFCOCFO	PFI – ensure schemes represents value for money and transfers risk to the private sector
11.3.1	Chief Executive and GFCOCFO	Asset Register - maintenance of
11.3.2	GFCOCFO	Asset Register - approve procedures for establishing, maintaining and keeping up to date in accordance with Condition CoS2 of the Licence
11.4.2/11.4.4	GFCOCFO and Chief Operating Officer	Security of assets - approve Asset Control procedures
12.1	GFCOCFO	Stores/receipt of goods - set out procedures to regulate, receipt, stocktaking, valuation

12.2	Chief Executive	Stores - delegate responsibility for day-to-day day-to-day responsibility
13.1.1	CFCOCFO	Disposals - prepare detailed procedures
13.1.3	CFCOCFO	Disposals - will designate Condemning Officer(s)
13.2.1	CFCOCFO	Losses/Special Payments - prepare procedural instructions
13.2.3	CFCOCFO	Losses through theft - inform Local Counter Fraud Specialist and/or Security Management as appropriate
13.2.4	Chief Executive or CFCOCFO	Losses through inefficiency - amend existing systems
13.2.8	CFCOCFO	Losses and special payments - maintain Register
14.1	CFCOCFO	Digital- ensure adequate control over computerised financial data
14.2	Chief Information Officer	Digital - implement procedure to protect data
14.5	CFCOCFO	Digital - seek assurance from external organisations providing computer services for financial applications that adequate controls are in place
14.7	Chief Information Officer	Digital - systems acquisition, development and maintenance are in line with corporate policies
15.2	Chief Nurse	Patients Property - ensure appropriate information is given to patients/guardians regarding responsibility for property
15.3	Chief Nurse	Patients Property - provide detailed written instructions
16.2	CFCOCFO	Charitable Funds - Maintain records and prepare detailed procedural instructions to protect funds
16.3.1	Charitable Funds Committee	Appointment, r Review and management of the Charity investment portfolio. Procurement of Investment Managers for the Charity and recommendation to Trustee Board for final approval. managers for the Charity
16.3.2	Head of Business Services Managing Director, Royal Papworth Charity	Approval to obtain grant of probate, receipt and management of gifts held on Trust and to approve day-to-day legacies and donation matters
16.3.3	Head of Business Services Managing Director, Royal Papworth Charity	Application for funds from external grants, partnerships, foundations and trusts

16.4	Trustee Board	Approval of charitable grant giving processes and framework. <u>Approve the appointment of the Charity Investment Managers and Charity External Auditors. Approval of the Charity annual report and accounts.</u>
17	Chief Executive	Retention of documents
18.1	Chief Executive	Risk Management
18.4	Chief Nurse Associate Director of Corporate Governance	Insurance (NHSLA) Insurance (Non-NHSLA)
19.3	Associate Director of Corporate Governance	Declarations of Interests and Hospitality

ROYAL PAPWORTH HOSPITAL NHS FOUNDATION TRUST DETAILED SCHEME OF DELEGATION

Delegated matters in respect of decisions which may have a far reaching effect must be reported to the Chief Executive. Delegated authority is often defined in financial terms but may have a ~~non-financial~~non-financial effect (communications/ PR/Perceived conflict of interest). The delegation shown below is the level to which authority is delegated. Changes to delegation levels are only permitted with written approval of the delegated officer who will, before authorising such delegation, consult with their line manager. All items concerning finance must be carried out in accordance with Standing Financial Instructions (SFIs) and Standing Orders (SOs).

DELEGATED MATTER	AUTHORITY DELEGATED TO	REFERENCE DOCUMENTS
1. Management of Budgets Responsibility of keeping expenditure within budgets a) At individual budget level (Pay & Non-Pay) b) At Divisional / Directorate level c) For all other areas d) Approving expenditure :- ➤ Where tender price is not the lowest	 Budget Holder Directorate Manager <u>CFO/CFO</u> or appropriate Delegated Manager Chief Executive	 SFIs Section 3
2. Maintenance/Operation of Bank Accounts	<u>CFO/CFO</u>	SFIs Section 5
3. Non-Pay Revenue and Capital Expenditure/ Requisitioning/Orders/ Contracts & payment for goods & services		SFIs Section 9
Purchasing within delegated budget up to a limit of £5,000	Department Manager or other nominated individual	
Purchasing within delegated budget up to a limit of £15,000	Budget Holder / Divisional Director	
Purchasing within delegated budget up to a limit of £75,000	Deputy Executive Director, Chief	

	Pharmacist, Director of Strategic Projects, Director of Estates & Facilities and Deputy Director of Digital.	
Purchasing within delegated budget up to a limit of £100,000	Executive Director	
All requisitions up to a limit of £75,000	Deputy Chief Finance Officer	
All requisitions up to a limit of £250,000	<u>CFCOCFO</u>	
All requisitions from £250,001 to £1,000,000	Chief Executive and <u>CFCOCFO</u>	
All requisitions over £1,000,000	Chief Executive and <u>CFCOCFO</u> (Board approval required)	
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 or <u>CFCOCFO</u>	
Orders or contracts exceeding a 12-month period	Chief Executive or <u>CFCOCFO</u>	
4. Cost pressures	Any cost pressures that cannot be mitigated within delegated budgets are required to go through to Investment Group are subject to the limits set out in this document.	SFIs Section 3
5. Capital and Revenue Investment Schemes, including new service developments		SFIs Sections <u>3 and 11</u>
a) Selection of architects, quantity surveyors, consultant engineer and other professional advisors within Public within <u>Public</u> Contracts Regulations	Chief Executive or <u>CFCOCFO</u> or Delegated Officer	

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<p>b) Financial monitoring and reporting on all capital and revenue investment scheme expenditure</p> <p>c) Authority to Invest Request Form (ATIR Form)</p> <p>d) Approval of capital or revenue investment schemes, <u>including new service developments:</u></p> <ul style="list-style-type: none"> • from £0 to £499,999 • from £500,000 to £999,999 • from £1,000,000 	<p><u>CFCOCFO</u></p> <p>Deputy Executive Directors and Executive Directors or relevant nominated lead from Directorates (or other nominated individual)</p> <p>Investment Group</p> <p>Performance Committee</p> <p>Board of Directors</p>	
<p>6. Leases</p> <p>a) Granting and termination of leases < ≤ £100,000</p> <p>b) Granting and termination of leases > £100,000</p>	<p><u>CFCOCFO</u></p> <p>Chief Executive and <u>CFCOCFO</u></p>	
<p>7. 6. Quotation, Tendering & Contract Procedures</p> <p>a) Obtaining 2 minimum verbal quotations for goods/services, <u>both capital and non-capital</u>, up to £121,999,000 9,999 (in<u>ex</u>cluding VAT)</p> <p>b) Obtaining 3 written quotations for goods/services:</p> <ul style="list-style-type: none"> • Non-capital from £10,000 to £29,999 (excluding VAT) • Capital from £10,000 to £29,999 (excluding VAT) 	<p>Budget Holder</p> <p>Budget Holder</p> <p>Budget Holder</p>	<p>SFIs Section 9</p>

<p>e)b) Formal tendering for <u>capital and non-capital</u> items from £3012,000 <u>£3012,000</u> (including VAT):</p> <ul style="list-style-type: none"> • Capital Buildings £30,000 (excluding VAT) • Capital Equipment £30,000 (excluding VAT) • Fees with projected costs of £30,000 (excluding VAT) • <u>Non-capital £30,000 (excluding VAT)</u> <p>e)c) Wavering of quotations & tenders</p> <p>e)d) <u>Opening tenders & quotations</u> - Paper</p> <p>— Electronic</p>	<p>Head of Procurement</p> <p>Head of Procurement</p> <p>Head of Procurement</p> <p>Head of Procurement</p> <p>Chief Executive</p> <p>Head of Procurement An Executive Director or senior manager from the finance department</p> <p>Head of Procurement</p>	
<p>8. Setting of Fees and Charges</p> <p>a) Private Patient, Overseas Visitors, Income Generation and other patient related services</p> <p>b) Agreement of NHS Contracts</p>	<p>CFO <u>CFO or Deputy Chief Executive</u></p> <p>Chief Executive/CFO</p>	<p>SFIs Section 7</p>
<p>9. Engagement of staff not on the establishment</p> <p>a) Non-Medical <u>Non-Medical</u> Consultancy Staff</p>	<p>Executive Director</p>	<p>SFIs Section 89 <u>89</u></p>

<p>b) Engagement of Trust's Solicitors</p> <p>c) Engagement of the Trust's commercial solicitors</p> <p>d) Authorisation of bank or agency staff including:</p> <ul style="list-style-type: none"> ➤ Medical Locums ➤ Nursing ➤ Admin and Clerical ➤ Other Staff 	<p>Chief Executive or Associate Director of Corporate Governance</p> <p><u>CFCOCFO</u> or nominated representative</p> <p>Bank - Designated Budget Holder, within delegated limits</p> <p>Agency – Executive Director or nominated deputy</p> <p>Note - This does not preclude the adherence to the agency controls and processes for approval required by NHS England, which may be required in addition to the approvals set out here depending on the staff group</p>	
<p>10. Expenditure from Charitable and Endowment Funds (including expenditure of charitable research funds)</p> <ul style="list-style-type: none"> ➤ Up to £10,000 per request ➤ £10,001 to £25,000 per request 	<p>2 signatories from the relevant fund holders</p> <p>2 signatories from the relevant fund holders and 1 Executive Director plus the <u>CFCOCFO</u> or Chief Executive</p>	<p>In compliance with trust guidelines and SFIs Section 16</p>

<ul style="list-style-type: none"> ➤ £25,001 to £50,000 per request ➤ More than £50,000 	<p>Charitable Funds Committee</p> <p>Trustee Board</p>	
<p>11. Tenancy Agreements/Licenses</p> <ul style="list-style-type: none"> a) Preparation and signature of all tenancy agreements /licences for all staff subject to Trust Policy on accommodation for staff b) Entry into and extensions to existing leases c) Letting premises to outside organisations d) Approval of rent based on professional assessment 	<p><u>CFO</u> or nominated Deputy</p> <p>Chief Operating Officer or <u>CFO</u></p> <p><u>CFO</u> & 1 other Executive Director</p> <p><u>CFO</u></p>	
<p>12. Condemning & Disposal</p> <p><u>a) Items held in stock or inventory (including Pharmacy stock) which are obsolete, damaged or redundant</u></p> <ul style="list-style-type: none"> ➤ <u>Current / estimated valuation price up to £10,000</u> ➤ <u>Current / estimated valuation price £10,000 or over</u> 	<p><u>Head of Department or Head of Supply Chain</u></p> <p><u>Audit Committee</u></p>	<p>SFIs Section 13. Trust policy on disposal of surplus and obsolete equipment</p>

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<p>b) Capital items which are obsolete, redundant, irreparable or cannot be repaired cost effectively</p> <ul style="list-style-type: none"> ➤ Current Carry value / estimated purchase price between £5,000 and £150,000 ➤ Current/estimated Carry value purchase price over £150,000 	<p>Investment Group</p> <p>Board of Directors</p>	
<p>c) Other Non-Capital items which are obsolete, redundant, irreparable or cannot be repaired cost effectively</p> <ul style="list-style-type: none"> ➤ Current / estimated purchase price less than/equal to £100 ➤ Current / estimated purchase price greater than £100 less than/equal to £1,000 up to £10,000 ➤ Current / estimated purchase price £10,000 or over ➤ Tender where expected sales value is greater than £1,000 	<p>Head of Department</p> <p>Directorate Manager</p> <p>Audit Committee</p> <p>Head of Procurement</p>	
<p>13. Losses, Write-off & Compensation</p> <p>a) Losses up to £1,000</p> <p>b) Losses and cash due to theft, fraud, overpayment & others, up to £50,000</p>	<p>Risk Manager/ Directorate Manager</p> <p>Chief Executive or GFCOCFO</p>	<p>SFIs Section 13</p>

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c) Losses and cash due to theft, fraud, overpayment & others, over £50,000	Board of Directors	
d) Fruitless payments (including abandoned Capital Schemes), up to £250,000	Chief Executive or GFCOCFO	
e) Fruitless payments (including abandoned Capital Schemes), over £250,000	Board of Directors	
f) Damage to buildings, fittings, furniture and equipment and loss of equipment and property in stores and in use due to:		
<ul style="list-style-type: none"> ➤ Culpable causes (e.g. fraud, theft, arson, bribery) or other, up to £50,000 	Chief Executive or GFCOCFO	
<ul style="list-style-type: none"> ➤ Over £50,000 	Board of Directors	
g) Compensation payments for loss of office	Director of Workforce & Organisation Development & 1-other Chief Executive Director,	
h) Employment related settlements up to £10,000	Director of Workforce & Organisation Development	
<ul style="list-style-type: none"> ➤ £10,001 to £100,000 	Director of Workforce & Organisation Development & 1-other Chief Executive	

<p>➤ Over £100,000</p> <p>i) Extra contractual payments to contractors, up to £50,000</p> <p>j) Ex-Gratia payments to patients, staff and other personnel, for loss of personal effects and compensation for disturbance</p> <p>➤ Up to £100</p> <p>➤ £101 to £5,000</p> <p>➤ More than £5,000</p> <p>For personal injury claims: Staff where the claim is likely to be less than £10,000</p> <p>➤ <u>Up to £100</u></p> <p>➤ <u>£101 to £5,000</u></p> <p>➤ <u>More than £5,000</u></p> <p>➤ Non staff where the claim is likely to be less than £3,000</p> <p>k) For product/professional liability income generation:</p> <p>➤ NHS where claim is likely to be less than £3,000</p> <p>➤ Non-NHS<u>Non-NHS</u> where the claim is likely to be less than £1,000</p>	<p>Remuneration Cttee</p> <p>Chief Executive or nominated deputy</p> <p>Risk Manager</p> <p>Executive Director</p> <p>Board of Directors</p> <p>Risk Manager</p> <p><u>Executive Director</u></p> <p><u>Board of Directors</u></p> <p>Risk Manager/ Associate Director of Corporate Governance</p> <p>Director of Workforce & Organisation</p>	
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<p>l) Ex-gratia payments to staff for variation to contractual entitlements</p>	<p>Development & 1 other Executive Director</p>	
<p>m) Other ex-gratia payments:</p> <ul style="list-style-type: none"> ➤ up to £500 ➤ £500 to £5,000 ➤ over £5,000 	<p>Risk Manager Executive Director Board of Directors</p>	
<p>n) Write off of salary overpayments</p> <ul style="list-style-type: none"> ➤ Over/Under payment of invoices < £5 	<p>Automatic write off by the Trust's finance system provider through the financial system</p>	
<ul style="list-style-type: none"> ➤ Up to £5,000 	<p>Director of Workforce & Organisation Development</p>	
<ul style="list-style-type: none"> ➤ £5,000 to £9,999 	<p>Chief Executive or <u>CFCOCFO</u></p>	
<ul style="list-style-type: none"> ➤ From £10,000 	<p>Audit Committee</p>	
<p>o) Write off of Debtors (other than salary overpayments)</p>		
<ul style="list-style-type: none"> ➤ Over/Under payment of invoices < £5 	<p>Automatic write off by the Trust's finance system provider through the financial system</p>	
<ul style="list-style-type: none"> ➤ Up to £10,000 	<p><u>CFCOCFO</u></p>	

➤ More than £10,000	Audit Committee	
14. Reporting of incidents to the Police		
a) Where a criminal offence is suspected	Director of Estates & Facilities;	
b) Where a fraud is involved	CFCOCFO /Local Counter Fraud Specialist	
15. Petty cash disbursements (Cashier office)		SFIs Section 9
a) i) Staff expenditure up to £75 per item	Budget Holder	
ii) Patient travel up to £100 per item	Cashier	
iii) Patient travel up to £150 per item	Financial Controller Senior Technical Accountant or Head of Finance or Deputy Chief Finance Officer	
b) Reimbursement of staff monies / staff expenditure up to £150	Financial Controller Senior Technical Accountant or Head of Finance or Deputy Chief Finance Officer	
c) Reimbursement of all monies:		
➤ £151 to £1,000	Deputy Chief Finance Officer	
➤ Greater than £1,000	CFCOCFO	

16. Implementation of Internal and external Audit Recommendations	Executive Directors	SFIs Section 2
17. Maintenance & update on Trust Financial Procedure	<u>CFO</u>	
18. Receiving Hospitality Applies to both individual and collective collective hospitality receipt items, in excess of £50 per item received	Declaration required in Trust's Hospitality Register	SFIs Section 19
19. Investment of Funds (including Charitable & Endowment Funds)		SFIs Section 10 & 16
a. Day to day responsibility	<u>CFO</u>	
b. Setting policy		
a) Charitable funds	Charitable Funds Committee/ Board of Trustees <u>Trustee Board</u>	
b) Foundation Trust	Board of Directors	
20. Human Resources & Pay		SFIs Section 8
a) Authority to fill funded post on the establishment with permanent staff	Minimum of 2 Executive Directors	Trust policies and procedures
b) Authority to appoint staff to post not on the formal establishment	Minimum of 2 Executive Directors	
c) The granting of starting salary above the approved terms and conditions, to staff within budget	Director of Workforce & Organisation Development	Trusts policy and procedures
d) All requests for upgrading/re-grading shall be dealt with in accordance with Trust procedure	2 Executive Directors	

e) Pay:		
➤ Authority to complete standing data forms affecting pay, new starters, variations and leavers	Designated budget holder	Trust policies and procedures
➤ Authority to authorise overtime	Designated budget holder	
➤ Authority to authorise travel & subsistence expenses for staff and non-staff	Designated budget holder	Trust policies and procedures
f) Annual Leave		
➤ Approval of annual leave	Head of Department/ Clinical Director, or nominated deputy	Trust policies and procedures
➤ Annual leave – approval of carry forward	Head of Department/ Directorate Manager/ Clinical Director, or nominated deputy	Trust policies and procedures
➤ Other leave in line with Trust policy	Head of Department/ Directorate Manager/ Clinical Director, or nominated deputy	Trust policies and procedures
➤ Medical Staff – annual leave and professional leave	Medical Director/ Clinical Director/ Consultant Lead for Medical Education	Trust policies and procedures
g) Sick Leave		
➤ Extension of sick leave	Director of Workforce and Organisation Development	
h) Study Leave		
➤ Medical staff study leave	Medical Director/ Consultant Lead for Medical Education	

<ul style="list-style-type: none"> ➤ Other staff study leave 	Line Manager	
<ul style="list-style-type: none"> i) Relocation Support <p>Authorisation of payment of removal expenses incurred by employees taking up new appointments</p>		
<ul style="list-style-type: none"> ➤ Up to £8,000 	Director of Workforce & Organisation Development	
<ul style="list-style-type: none"> ➤ Over £8,000 	Chief Executive	
<ul style="list-style-type: none"> j) Grievance Procedure <p>All grievance cases must be dealt with strictly in accordance with the Grievance Procedure</p>	As per the Trust's Grievance Procedure	
<ul style="list-style-type: none"> k) Authorised Car & Mobile Phone Users 		
<ul style="list-style-type: none"> ➤ Requests for new posts to be authorised as car users 	Designated budget holder	Trust policies and procedures
<ul style="list-style-type: none"> ➤ Requests for new posts to be authorised as mobile telephone users 	Designated budget holder	
<ul style="list-style-type: none"> l) Renewal of Fixed term Contract 	Designated budget holder	
<ul style="list-style-type: none"> m) Staff Retirement Policy <p>Authorisation of extensions of contract beyond normal retirement age</p>	Designated budget holder	

<p>n) Redundancy</p> <p>o) Ill Health retirement Decision to pursue retirement on the grounds of ill-health</p> <p>p) Dismissal</p>	<p>Senior Manager/ Directorate Manager with authority to dismiss by Chief Executive or Executive Director</p> <p>Senior Manager/ Directorate Manager with authority to dismiss by Chief Executive or Executive Director</p> <p>Accountable officer (as per job holder's role profile)</p>	
<p>21. Authorisation of new drugs For new drugs that can be met within existing delegated envelopes:</p> <ul style="list-style-type: none"> ➤ Estimated total yearly cost up to £25,000 ➤ Estimated total yearly cost above £25,000 <p>New drugs outside of existing delegated envelopes must follow the process set out under item 5 for new investments or developments</p>	<p>Clinical Divisional Director</p> <p>Drugs & Therapeutics Committee and referred to Medical Director for information</p>	
<p>22.21. Authorisation of sponsorship deals</p>	<p>Chief Executive <u>or</u> <u>Deputy Chief Executive</u> or Medical Director</p>	
<p>23.a) Authorisation of Research Projects including clinical trials:</p> <ul style="list-style-type: none"> ➤ Sponsorship of clinical trials ➤ Pump Priming 	<p>Chair of Research and Development Directorate meeting, Clinical Director of R&D</p>	<p>Research & Development Unit Policies</p>

<p>➤ All other projects</p> <p>23. b) Signature of Research Contracts including grants (non <u>charitable/non-charitable</u>)</p> <p>➤ Contracts or agreements up to £15,000</p> <p>➤ Contracts or agreements up to £75,000</p> <p>➤ Contracts or agreements from £75,001 to £100,000</p> <p>➤ Contracts or agreements from £100,001 to £250,000</p> <p>➤ Contracts or agreements from £250,001 to £1,000,000</p> <p>➤ Contracts or agreements above £1,000,000</p> <p>23. c) Approval of all other agreements or contracts for other collaborative projects (including but not limited to, partnership and other commercial projects)</p> <p>➤ Contracts or agreements from £nil to £100,000</p>	<p>Research and Development Directorate meeting</p> <p>Chief Executive <u>or</u> <u>Deputy Chief Executive</u> and Medical Director</p> <p>Senior R&D Manager</p> <p>Clinical Director of R&D</p> <p><u>Deputy Chief Executive, CFCOCFO</u> or Medical Director</p> <p><u>CFCOCFO</u></p> <p>Chief Executive and <u>CFCOCFO</u></p> <p>Chief Executive and <u>CFCOCFO</u> (Board approval required)</p> <p><u>CFCOCFO</u> and Medical Director</p>	
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<ul style="list-style-type: none"> ➤ Contracts or agreements from £100,001 to £250,000 ➤ Contracts or agreements from £250,001 to £1,000,000 ➤ Contracts or agreements above £1,000,000 <p>None of the above precludes or waives the Trust's requirements under its License, specifically in reference to material or significant transactions as defined by the Regulator.</p>	<p><u>CFCOCFO</u></p> <p>Chief Executive or <u>and</u> <u>CFCOCFO</u></p> <p>Chief Executive or <u>CFCOCFO</u> (Board approval required)</p>	
<p>23d) Intellectual Property</p> <ul style="list-style-type: none"> ➤ Agreement of profit or revenue or other share of intellectual property with Trust employees where the expected value is below £500,000 ➤ As above, where value is between £500,001 and £999,999 ➤ As Above, where value is £1,000,000 or more <p>None of the above precludes or waives the Trust's requirements under its License, specifically in reference to material or significant transactions as defined by the Regulator.</p>	<p>CFCO <u>Deputy Chief Executive</u> or Chief Executive</p> <p>Performance Committee</p> <p>Board of Directors</p>	<p>IP Policy</p>
<p>24. Insurance Policies and Risk Management</p>	<p>Chief Nurse (NHSLA Insurance & Risk) Associate Director of Corporate Governance (Non-NHSLA Insurance)</p>	<p>SFIs Section 18</p>

<p>25. Patients & relative complaints</p> <p>a) Overall responsibility for ensuring that all complaints are dealt with effectively</p> <p>b) Responsibility for ensuring complaints relating to a directorate are investigated thoroughly</p> <p>c) Medico – Legal Complaints Co-ordination of management</p>	<p>Chief Nurse</p> <p>Assistant Director of Quality and Risk or PALS Manager</p> <p>Chief Nurse</p>	
<p>26. Relationships with Press</p> <p>All emergency, non-emergency and general inquiries:</p> <ul style="list-style-type: none"> ➤ within normal working hours ➤ outside normal working hours 	<p>Head of Communications</p> <p>On Call Manager</p>	<p>Communications Policy</p>
<p>27. Infectious Diseases & Notifiable Outbreaks</p>	<p>Chief Nurse/Medical Director</p>	
<p>28. Extended Role Activities</p> <p>Approval of nurses to undertake duties/procedures which can properly be described as beyond the normal scope of Nursing Practice</p>	<p>Chief Nurse</p>	<p>Nurse/Midwives/Health Visitors Act/Midwives Rules/Code of Practice NMC/Code of Professional Conduct</p>
<p>29. Facilities for staff not employed by the Trust to gain practical experience</p> <p>Professional Recognition, Honorary Contracts, & Insurance of Medical Staff</p> <p>➤ Work experience students:</p>	<p>Director of Workforce & Organisation Development /Chief Nurse</p>	

- Non-professional groups	Director of Workforce & Organisation Development	
- Professional groups	Director of Workforce & Organisation Development	
30. Review of fire precautions	Chief Operating Officer	
31. Review of all statutory compliance legislation and Health and Safety requirements including control of Substances Hazardous to Health Regulations	Executive Director Leads	
32. Review of Medicines Inspectorate Regulations	Medical Director & Chief Nurse	
33. Review of compliance with environmental regulations, for example those relating to clean air and waste disposal	Director of Estates and Facilities	
34. Review of Trust's compliance with: Data Protection Act Freedom of Information Act	Chief Information Officer	
35. Monitor contractual arrangements between the Trust and outside bodies	Executive Directors	
36. Review the Trust's compliance with the Access to Records Act:		
- Patients	Chief Operating Officer	
- Staff	Director of Workforce & Organisation Development	
37. Review of the Trust's compliance code of Practice for handling confidential information in the contracting environment	Chief Operating Officer	



38. Ensure the keeping of a Declaration of Interests registers (including signing declarations on content on behalf of the Trust)	Associate Director of Corporate Governance	SOs Section 6
39. Attestation of Sealings in accordance with Standing Orders	2 Executive Directors	SOs Section 10
40. The keeping of a register of Sealings	Associate Director of Corporate Governance	SOs Section 10
41. Keeping of the Hospitality Register (including signing declarations on content on behalf of the Trust)	Associate Director of Corporate Governance	
42. Retention of Records		SFIs Section 17
Finance	CFCOCFO	
Staff	Director of Workforce & Organisation Development	
Patients	Chief Operating Officer	
43. Clinical Audit & Clinical Effectiveness	Chief Nurse/Medical Director	SFIs Section 18

Monitoring Table - This should be filled out for DN, Policy, Procedure, and SOPs

What key element(s) need(s) monitoring as per local approved policy/ procedure or guidance?	Who will lead on this aspect of monitoring? Name the lead and what is the role of the multidisciplinary team or others.	What tool will be used to monitor/check/ observe/assess/ inspect/ authenticate that everything is working according to this key element from the approved policy/ procedure?	How often is the need to monitor each element? How often is the need complete a report? How often is the need to share the report?	Who or what committee will the completed report goes to. How will each report be interrogated to identify the required actions and how thoroughly should this be documented in e.g. meeting minutes.	Which committee, department or lead will undertake subsequent recommendations and action planning for any or all deficiencies and recommendations within reasonable timeframes?	How will system or practice changes be implemented the lessons learned and how will these be shared?
Element to be monitored	Lead	Tool	Frequency	Reporting arrangements	Acting on recommendations and Lead(s)	Change in practice and lessons to be shared
N/A	N/A	N/A	N/A	N/A	N/A	N/A

Rapid Equality Impact Assessment Tool

When looking at the impact on the equality groups, you must consider the following points in accordance with General Duty of the Equality Act 2010:

In summary, those subject to the Equality Duty must have due regard to the need to:

- eliminate unlawful discrimination, harassment and victimisation;
- advance equality of opportunity between different groups; and
- foster good relations between different groups

EQUALITY IMPACT ASSESSMENT – WHAT IS THE IMPACT TO DIFFERENT GROUPS IN SOCIETY?	
If you believe there has been No impact or a Positive impact, please choose Yes for Negative impact please choose no. Please provide supporting comments, both on positive and negative impacts. You may be asked to complete a FULL EQUALITY IMPACT ASSESSMENT to understand the impact further.	COMMENTS
Age: Consider and detail across age ranges on old and younger people. This can include safeguarding, consent and child welfare.	No
Disability: Consider and detail on attitudinal, physical and social barriers.	No.
Race: Consider and detail on difference ethnic groups, nationalities, Roma gypsies, Irish travellers, language barriers.	No
Sex: Consider and detail on men and women	No
Gender reassignment: (including transgender) Consider and detail on transgender and transsexual people. This can include issues such as privacy of data and harassment	No
Sexual orientation: Consider and detail on heterosexual people as well as lesbian, gay and bi-sexual people.	No
Religion or belief: Consider and detail on people with different religions, beliefs or no belief.	No
Pregnancy and maternity: Consider and detail on working arrangements, part-time working, and infant caring responsibilities.	No
Marriage and civil partnership status	No
Environment: Consider impact on transport, energy and waste	No
Other identified groups: Consider and detail and include the source of any evidence on different socio-economic groups, area inequality, income, resident status (migrants) and other groups experiencing disadvantage and barriers to access.	No
Were any NEGATIVE impacts identified?	No
If YES, you will need to complete a full Equality Impact Assessment. Please contact the Equality, Diversity and Inclusion team papworth.edi@nhs.net for the full assessment template.	