

Document title: **SCHEDULE OF DECISIONS
RESERVED FOR THE BOARD
OF DIRECTORS & SCHEME OF
DELEGATION**

Document number: **DN137**

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Key points of this document

- To set out the scheme of delegation for the Trust including which decisions are reserved to the Board of Directors.

ROYAL PAPWORTH HOSPITAL NHS FOUNDATION TRUST

SCHEDULE OF DECISIONS RESERVED FOR THE BOARD OF DIRECTORS

SCHEME OF DELEGATION

Unless alternative arrangements are in place for tighter control

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 Chairman, 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 personally, 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 Officer, 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 Chairman after taking appropriate

advice from the CFCO, except those of Accounting Officer which should normally fall to the CFCO. 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 Chairman 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 |
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| 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 CFO 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 Chairman 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 | Chairman and Associate Director of Corporate Governance | Calling ordinary BoD meetings |
| 3.1.3 | Chairman | Call a BoD meeting to discuss an urgent matter |
| 3.1.4 | 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 | Chairman 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 |

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| | | responsibilities within SOs and SFIs |
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SCHEME OF DELEGATION – STANDING FINANCIAL INSTRUCTIONS

| Standing Financial Instruction Ref | DELEGATED TO | DUTIES DELEGATED |
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| 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 | CFCO | Approval of the form in which financial records are kept |
| 2.3.1 | CFCO | Ensure arrangements in place to review, evaluate and report on the effectiveness of internal financial control |
| 2.6.1 | Chief Executive and CFCO | Monitor and ensure compliance with good practice to counter fraud, bribery and corruption |
| 2.6.5/2.6.6 | CFCO | 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 | CFCO | Investigate fraud, bribery and corruption allegations using the Trust's Local Counter Fraud Specialist |
| 3.1.1 | Chief Executive, Chief Operating Officer and CFCO | Preparation, of an annual plan in accordance with the requirements of the Regulator. |
| 3.1.4 | CFCO | Present budgets for the new financial year to the Board of Directors before the new financial year has commenced |
| 3.1.8 | CFCO | Provide adequate training to budget holders |
| 3.2.1 | Chief Executive | Delegation of management of budget |
| 3.2.4 | Chief Executive and CFCO | Authority to use non-recurring funds on recurring expenditure |
| 3.3.1 | CFCO | 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 | CFCO | Prepare Annual Accounts |
| 5.1/5.4 | CFCO | Manage the banking arrangements |
| 6.1 | CFCO | Responsibility for designing, monitoring and ensuring compliance with systems for coding, invoicing and collecting all income |
| 6.2 | CFCO | Approve level of fees and charges |
| 6.3 | CFCO | Debt recovery - appropriate action taken |
| 6.4 | CFCO | Responsibility for systems covering security of cash, cheques and other negotiable instruments |

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| 7 | Chief Executive and | 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 | CFCO | Prompt payment of accounts |
| 9.2.6 | CFCO | 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 | CFCO | Application for new borrowing |
| 10.2.3 | CFCO | Investments - preparation of detailed procedural instructions |
| 11.1.1 | Chief Operating Officer and CFCO | Capital Programme - appraisal and approval process |
| 11.1.2 | Chief Operating Officer and CFCO | Capital programme - Business Case preparation process |
| 11.1.4 | CFCO | Assess requirements for operation of Construction Industry Taxation scheme |
| 11.1.5 | CFCO | Capital Programme - reporting on actual versus plan |
| 11.1.7 / 11.1.8/11.1.9 | Chief Operating Officer and CFCO | Capital programme – management of projects |
| 11.2 | Chief Executive and CFCO | PFI – ensure schemes represents value for money and transfers risk to the private sector |
| 11.3.1 | Chief Executive and CFCO | Asset Register - maintenance of |
| 11.3.2 | CFCO | 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 | CFCO and Chief Operating Officer | Security of assets - approve Asset Control procedures |
| 12.1 | CFCO | Stores/receipt of goods - set out procedures to regulate, receipt, stocktaking, valuation |
| 12.2 | Chief Executive | Stores - delegate responsibility for day to day responsibility |
| 13.1.1 | CFCO | Disposals - prepare detailed procedures |
| 13.1.3 | CFCO | Disposals - will designate Condemning Officer(s) |
| 13.2.1 | CFCO | Losses/Special Payments - prepare procedural instructions |
| 13.2.3 | CFCO | Losses through theft - inform Local Counter Fraud Specialist and/or Security Management as appropriate |
| 13.2.4 | Chief Executive or CFCO | Losses through inefficiency - amend existing systems |
| 13.2.8 | CFCO | Losses and special payments - maintain Register |
| 14.1 | CFCO | Digital- ensure adequate control over computerised financial data |
| 14.2 | Chief Information Officer | Digital - implement procedure to protect data |

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| 14.5 | CFCO | 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 | CFCO | Charitable Funds - Maintain records and prepare detailed procedural instructions to protect funds |
| 16.3.1 | Charitable Funds Committee | Appointment, review and management of investment managers for the Charity |
| 16.3.2 | Head of Business Services | 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 | Application for funds from external grants, partnerships, foundations and trusts |
| 16.4 | Trustee Board | Approval of charitable grant giving processes and framework |
| 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 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 |
|--|---|---------------------|
| <p>1. Management of Budgets</p> <p>Responsibility of keeping expenditure within budgets</p> <p>a) At individual budget level (Pay & Non Pay)</p> <p>b) At Divisional / Directorate level</p> <p>c) For all other areas</p> <p>d) Approving expenditure :-</p> <p>➤ Where tender price is not the lowest</p> | <p>Budget Holder</p> <p>Directorate Manager CFCO or appropriate Delegated Manager</p> <p>Chief Executive</p> | SFIs Section 3 |
| 2. Maintenance/Operation of Bank Accounts | CFCO | 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 | CFCO | |
| All requisitions from £250,001 to £1,000,000 | Chief Executive and CFCO | |

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| All requisitions over £1,000,000 | Chief Executive and CFCO(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 CFCO | |
| Orders or contracts exceeding a 12 month period | Chief Executive or CFCO | |
| 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 | | SFIs Section 11 |
| a) Selection of architects, quantity surveyors, consultant engineer and other professional advisors within Public Contracts Regulations | Chief Executive or CFCO or Delegated Officer | |
| b) Financial monitoring and reporting on all capital and revenue investment scheme expenditure | CFCO | |
| c) Authority to Invest Request Form (ATIR Form) | Deputy Executive Directors and Executives from each Directorate (or other nominated individual) | |
| d) Approval of capital or revenue investment schemes | | |
| • from £0 to £499,999 | Investment Group | |
| • from £500,000 to £999,999 | Performance Committee | |
| • from £1,000,000 | Board of Directors | |
| 6. Leases | | |
| a) Granting and termination of leases < £100,000 | CFCO | |

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| b) Granting and termination of leases > £100,000 | Chief Executive and CFCO | |
| <p>7. 6. Quotation, Tendering & Contract Procedures</p> <p>a) Obtaining 2 minimum verbal quotations for goods/services up to £9,999 (excluding 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>c) Formal tendering for items from £30,000:</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) • Non-capital £30,000 (excluding VAT) <p>d) Wavering of quotations & tenders</p> <p>e) Opening tenders & quotations</p> <ul style="list-style-type: none"> - Paper - Electronic | <p>Budget Holder</p> <p>Budget Holder</p> <p>Budget Holder</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>An Executive Director & a senior manager from the finance department</p> <p>Head of Procurement</p> | <p>SFIs Section 9</p> |

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| <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>CFCO</p> <p>Chief Executive/CFCO</p> | <p>SFIs Section 7</p> |
| <p>9. Engagement of staff not on the establishment</p> <p>a) Non Medical Consultancy Staff</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>Executive Director</p> <p>Chief Executive or Associate Director of Corporate Governance</p> <p>CFCO 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 NHSE, which may be required in addition to the approvals set out here depending on the staff group</p> | <p>SFIs Section 8</p> |
| <p>10. Expenditure from Charitable and Endowment Funds (including expenditure of charitable research funds)</p> | | <p>In compliance with trust guidelines and SFIs Section 16</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 CFCO or Chief Executive</p> | |

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| <ul style="list-style-type: none"> ➤ £25,001 to £50,000 per request ➤ More than £50,000 | <p>Approval of Charitable Funds Committee</p> <p>Approval of 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>CFCO or nominated Deputy</p> <p>Chief Operating Officer or CFCO</p> <p>CFCO & 1 other Executive Director</p> <p>CFCO</p> | |
| <p>12. Condemning & Disposal</p> <p>Non-Capital Items</p> <p>Items which are obsolete, obsolescent, redundant, irreparable or cannot be repaired cost effectively</p> <ul style="list-style-type: none"> a) current/estimated purchase price less than/equal to £100 b) current/estimated purchase price greater than £100 less than/equal to £1,000 c) Tender where expected sales value is greater than £1,000 <p>Capital Items</p> | <p>Head of Department</p> <p>Directorate Manager</p> <p>Head of Procurement</p> | <p>SFIs Section 13. Trust policy on disposal of surplus and obsolete equipment</p> |

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| <p>Items which are obsolete, redundant, irreparable or cannot be repaired cost effectively</p> <ul style="list-style-type: none"> ➤ current/estimated purchase price between £5,000 and £150,000 ➤ Current/estimated purchase price over £150,000 | <p>Investment Group</p> <p>Board of Directors</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>c) Losses and cash due to theft, fraud, overpayment & others, over £50,000</p> <p>d) Fruitless payments (including abandoned Capital Schemes), up to £250,000</p> <p>e) Fruitless payments (including abandoned Capital Schemes), over £250,000</p> <p>f) Damage to buildings, fittings, furniture and equipment and loss of equipment and property in stores and in use due to:</p> <ul style="list-style-type: none"> ➤ Culpable causes (e.g. fraud, theft, arson, bribery) or other, up to £50,000 ➤ Over £50,000 | <p>Risk Manager/ Directorate Manager</p> <p>Chief Executive or CFCO</p> <p>Board of Directors</p> <p>Chief Executive or CFCO</p> <p>Board of Directors</p> <p>Chief Executive or CFCO</p> <p>Board of Directors</p> <p>Director of Workforce & Organisation Development</p> | <p>SFIs Section 13</p> |

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| | <p>& 1 other Executive Director,</p> | |
| <p>g) Compensation payments for loss of office</p> | <p>Director of Workforce & Organisation Development</p> | |
| <p>h) Employment related settlements up to £10,000</p> | <p>Director of Workforce & Organisation Development & 1 other Executive Director</p> | |
| <p>£10,001 to £100,000</p> | <p>Remuneration Cttee Chief Executive or nominated deputy</p> | |
| <p>Over £100,000</p> | | |
| <p>i) Extra contractual payments to contractors, up to £50,000</p> | <p>Risk Manager Executive Director Board of Directors</p> | |
| <p>j) Ex-Gratia payments to patients, staff and other personnel, for loss of personal effects and compensation for disturbance</p> | <p>Risk Manager</p> | |
| <p>➤ Up to £100</p> | <p>Risk manager</p> | |
| <p>➤ £101 to £5,000</p> | | |
| <p>➤ More than £5,000</p> | | |
| <p>For personal injury claims:</p> | | |
| <p>➤ Staff where the claim is likely to be less than £10,000</p> | <p>Risk Manager Risk Manager/ Associate Director of Corporate Governance</p> | |

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| <ul style="list-style-type: none"> ➤ Non staff where the claim is likely to be less than £3,000 <p>k) For product/professional liability income generation:</p> <ul style="list-style-type: none"> ➤ NHS where claim is likely to be less than £3,000 ➤ Non NHS where the claim is likely to be less than £1,000 <p>l) Ex-gratia payments to staff for variation to contractual entitlements</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>n) Write off of salary overpayments</p> <ul style="list-style-type: none"> ➤ Over/Under payment of invoices < £5 ➤ Up to £5,000 ➤ £5,000 to £9,999 ➤ From £10,000 | <p>Director of Workforce & Organisation Development & 1 other Executive Director</p> <p>Risk Manager Executive Director Board of Directors</p> <p>Automatic write off by the Trust's finance system provider through the financial system</p> <p>Director of Workforce & Organisation Development</p> <p>Chief Executive or CFCO</p> <p>Audit Committee</p> <p>Automatic write off by the Trust's finance system provider through the financial system</p> <p>CFCO</p> <p>Audit Committee</p> | |
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| <p>o) Write off of Debtors (other than salary overpayments)</p> <ul style="list-style-type: none"> ➤ Over/Under payment of invoices < £5 ➤ Up to £10,000 ➤ More than £10,000 | | |
| <p>14. Reporting of incidents to the Police</p> <p>a) Where a criminal offence is suspected</p> <p>b) Where a fraud is involved</p> | <p>Director of Estates & Facilities/CFCO/Local Counter Fraud Specialist</p> | |
| <p>15. Petty cash disbursements (Cashier office)</p> <p>a) i) Staff expenditure up to £75 per item</p> <p>ii) Patient travel up to £100 per item</p> <p>iii) Patient travel up to £150 per item</p> <p>b) Reimbursement of staff monies / staff expenditure up to £150</p> <p>c) Reimbursement of all monies :</p> | <p>Budget Holder</p> <p>Cashier</p> <p>Financial Controller or Head of Finance or Deputy Chief Finance Officer</p> <p>Financial Controller or Head of Finance or Deputy Chief Finance Officer</p> | <p>SFIs Section 9</p> |

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| <p>c) The granting of starting salary above the approved terms and conditions, to staff within budget</p> | <p>Director of Workforce & Organisation Development</p> | <p>Trusts policy and procedures</p> |
| <p>d) All requests for upgrading/re-grading shall be dealt with in accordance with Trust procedure</p> | <p>2 Executive Directors</p> | |
| <p>e) Pay:</p> <ul style="list-style-type: none"> ➤ Authority to complete standing data forms affecting pay, new starters, variations and leavers ➤ Authority to authorise overtime ➤ Authority to authorise travel & subsistence expenses for staff and non-staff | <p>Designated budget holder</p> <p>Designated budget holder</p> <p>Designated budget holder</p> | <p>Trust policies and procedures</p> |
| <p>f) Annual Leave</p> <ul style="list-style-type: none"> ➤ Approval of annual leave ➤ Annual leave – approval of carry forward ➤ Other leave in line with Trust policy ➤ Medical Staff – annual leave and professional leave | <p>Head of Department/ Clinical Director, or nominated deputy</p> <p>Head of Department/ Directorate Manager/ Clinical Director, or nominated deputy</p> <p>Head of Department/ Directorate Manager/ Clinical Director, or nominated deputy</p> <p>Medical Director/Clinical Director/Consultant Lead for Medical Education</p> | <p>Trust policies and procedures</p> <p>Trust Procedure</p> |
| <p>g) Sick Leave</p> <ul style="list-style-type: none"> ➤ Extension of sick leave | <p>Director of Workforce and Organisation Development</p> | |
| <p>h) Study Leave</p> <ul style="list-style-type: none"> ➤ Medical staff study leave | | |

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| <ul style="list-style-type: none"> ➤ Other staff study leave i) Relocation Support Authorisation of payment of removal expenses incurred by employees taking up new appointments <ul style="list-style-type: none"> ➤ Up to £8,000 ➤ Over £8,000 j) Grievance Procedure All grievance cases must be dealt with strictly in accordance with the Grievance Procedure k) Authorised Car & Mobile Phone Users <ul style="list-style-type: none"> ➤ Requests for new posts to be authorised as car users ➤ Requests for new posts to be authorised as mobile telephone users l) Renewal of Fixed term Contract m) Staff Retirement Policy Authorisation of extensions of contract beyond normal retirement age n) Redundancy o) Ill Health retirement Decision to pursue retirement on the grounds of ill-health | <p>Medical Director/ Consultant Lead for Medical Education</p> <p>Line Manager</p> <p>Director of Workforce & Organisation Development</p> <p>Chief Executive</p> <p>As per the Trust's Grievance Procedure</p> <p>Designated budget holder</p> <p>Designated budget holder</p> <p>Designated budget holder</p> <p>Designated budget holder</p> <p>Senior Manager/ Directorate Manager with authority to dismiss by Chief Executive or Executive Director</p> <p>Senior Manager/ Directorate Manager with</p> | <p>In accordance with HR policies and Procedures</p> |
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| <p>p) Dismissal</p> | <p>authority to dismiss by Chief Executive or Executive Director 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</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 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 ➤ All other projects <p>23. b) Signature of Research Contracts including grants (non charitable)</p> <ul style="list-style-type: none"> ➤ Contracts or agreements up to £15,000 | <p>Chair of Research and Development Directorate meeting, Clinical Director of R&D</p> <p>Research and Development Directorate meeting</p> <p>Chief Executive and Medical Director</p> <p>Senior R&D Manager</p> <p>Clinical Director of R&D</p> | <p>Research & Development Unit Policies</p> |

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| <ul style="list-style-type: none"> ➤ Contracts or agreements up to £75,000 | CFCO or Medical Director | |
| <ul style="list-style-type: none"> ➤ Contracts or agreements from £75,001 to £100,000 | CFCO | |
| <ul style="list-style-type: none"> ➤ Contracts or agreements from £100,001 to £250,000 | Chief Executive and CFCO | |
| <ul style="list-style-type: none"> ➤ Contracts or agreements from £100,001 to £250,000 | Chief Executive and CFCO (Board approval required) | |
| <ul style="list-style-type: none"> ➤ Contracts or agreements from £250,001 to £1,000,000 | | |
| <ul style="list-style-type: none"> ➤ Contracts or agreements above £1,000,000 | | |
| <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> | CFCO and Medical Director | |
| <ul style="list-style-type: none"> ➤ Contracts or agreements from £nil to £100,000 | CFCO | |
| <ul style="list-style-type: none"> ➤ Contracts or agreements from £100,001 to £250,000 | Chief Executive or CFCO | |
| <ul style="list-style-type: none"> ➤ Contracts or agreements from £250,001 to £1,000,000 | Chief Executive or CFCO (Board approval required) | |
| <ul style="list-style-type: none"> ➤ 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</p> | | |

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| material or significant transactions as defined by the Regulator. | | |
| <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 or Chief Executive</p> <p>Performance Committee</p> <p>Board of Directors</p> | IP Policy |
| <p>24. Insurance Policies and Risk Management</p> | <p>Chief Nurse (NHSLA Insurance & Risk) Associate Director of Corporate Governance (Non-NHSLA Insurance)</p> | SFIs Section 18 |
| <p>25. Patients & relative complaints</p> <ul style="list-style-type: none"> a) Overall responsibility for ensuring that all complaints are dealt with effectively b) Responsibility for ensuring complaints relating to a directorate are investigated thoroughly c) Medico – Legal Complaints Co-ordination of management | <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 | <p>Head of Communications</p> <p>On Call Manager</p> | Communications Policy |

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| ➤ outside normal working hours | | |
| 27. Infectious Diseases & Notifiable Outbreaks | Chief Nurse/Medical Director | |
| 28. Extended Role Activities Approval of nurses to undertake duties/procedures which can properly be described as beyond the normal scope of Nursing Practice | Chief Nurse | Nurse/Midwives/ Health Visitors Act/Midwives Rules/Code of Practice NMC/Code of Professional Conduct |
| 29. Facilities for staff not employed by the Trust to gain practical experience Professional Recognition, Honorary Contracts, & Insurance of Medical Staff ➤ Work experience students: - Non professional groups - Professional groups | Director of Workforce & Organisation Development /Chief Nurse Director of Workforce & Organisation Development 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 | |

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| 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 - Staff | Chief Operating Officer 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 Finance Staff Patients | CFCO Director of Workforce & Organisation Development Chief Operating Officer | SFIs Section 17 |
| 43. Clinical Audit & Clinical Effectiveness | Chief Nurse/Medical Director | SFIs Section 18 |

Further document information

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| Approval – this is required for all documents. Approval should be by the relevant committee(s)*. State the name(s) of the committee(s) and the full date(s) of the relevant meeting(s): *In exceptional circumstances only, approval can be by Chair’s Action or by appropriate ED or NED – state full date of approval | Audit Committee of the Board of Directors |
| Approval date (<i>this version</i>) (Day, month, year): | 18 January 2024 |
| Approval by Board of Directors or Committee of the Board (required for Strategies and Policies only): | Board of Directors |
| Date (Day, month, year): | 01 February 2024 |
| This document supports: standards and legislation – include exact details of any CQC | NHS Act 2006 Bribery Act 2010 |
| Key associated documents: | Royal Papworth Hospital NHS Foundation Trust Constitution DN140 Standing Financial Instructions DN142 Standing Orders of the Board of Directors DN313 Managing Conflicts of Interest |
| 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). | |