

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

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Staff involved in Development (job titles):	Director of Finance Trust Secretary
Document author/owner:	Chief Executive
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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.

**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 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 NHS Foundation Trust Code of Governance 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 he 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 him 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 him may be exercised by the Chairman after taking appropriate

advice from the Director of Finance, except those of Accounting Officer which should normally fall to the Director of Finance.

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

### Scheme of Delegation to Officers

Standing Orders and Standing Financial Instructions set out the financial responsibilities of the Chief Executive (CE), the Director of Finance (DoF) 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 Committee	Decide the terms and conditions of office of the Executive Directors
3.1.2	Chairman and Trust Secretary	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	Trust Secretary	Maintain Registers of Interests
10.1	Trust Secretary	Arranging for the custody of the Common Seal
10.4	Trust Secretary	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	Director of Finance	Approval of the form in which financial records are kept
2.3.1	Director of Finance	Ensure arrangements in place to review, evaluate and report on the effectiveness of internal financial control
2.6.1	Chief Executive and Director of Finance	Monitor and ensure compliance with good practice to counter fraud, bribery and corruption
2.6.5/2.6.6	Director of Finance	Provide detailed procedures to minimise/eliminate fraud, bribery and corruption
2.6.10	Director of Human Resources	Ensure adequate pre-employment checks are carried out in accordance with Trust policies
2.6.15	Director of Finance	Investigate fraud, bribery and corruption allegations using the Trust's Local Counter Fraud Specialist
3.1.1	Chief Executive, Director of Operations and Director of Finance	Preparation, of an annual plan in accordance with the requirements of the Regulator.
3.1.4	Director of Finance	Present budgets for the new financial year to the Board of Directors before the new financial year has commenced
3.1.8	Director of Finance	Provide adequate training to budget holders
3.2.1	Chief Executive	Delegation of management of budget
3.2.4	Chief Executive and Director of Finance	Authority to use non-recurring funds on recurring expenditure
3.3.1	Director of Finance	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	Director of Finance	Prepare Annual Accounts
5.1/5.4	Director of Finance	Manage the banking arrangements
6.1	Director of Finance	Responsibility for designing, monitoring and ensuring compliance with systems for coding, invoicing and collecting all income
6.2	Director of Finance	Approve level of fees and charges
6.3	Director of Finance	Debt recovery - appropriate action taken
6.4	Director of Finance	Responsibility for systems covering security of cash, cheques and other negotiable instruments
7	Chief Executive and Director of Finance	Negotiation of contracts with commissioners for patient activity
8.4	Director of Human Resources	Processing of Payroll
8.5	Director of Human Resources	Issuing of contracts of employment



9.2.4	Director of Finance	Prompt payment of accounts
9.2.6	Director of Finance	Authorisation of non-routine pre-payments
9.11.1	Chief Executive	Ensure best value for money for services provided on an in-house basis
10.1.4	Director of Finance	Application for new borrowing
10.2.3	Director of Finance	Investments - preparation of detailed procedural instructions
11.1.1	Director of Operations and Director of Finance	Capital Programme - appraisal and approval process
11.1.2	Director of Operations and Director of Finance	Capital programme - Business Case preparation process
11.1.4	Director of Finance	Assess requirements for operation of Construction Industry Taxation scheme
11.1.5	Director of Finance	Capital Programme - reporting on actual versus plan
11.1.7/11.1.8/11.1.9	Director of Operations and Director of Finance	Capital programme – management of projects
11.2	Chief Executive and Director of Finance	PFI – ensure schemes represents value for money and transfers risk to the private sector
11.3.1	Chief Executive and Director of Finance	Asset Register - maintenance of
11.3.2	Director of Finance	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	Director of Finance and Director of Operations	Security of assets - approve Asset Control procedures
12.1	Director of Finance	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	Director of Finance	Disposals - prepare detailed procedures
13.1.3	Director of Finance	Disposals - will designate Condemning Officer(s)
13.2.1	Director of Finance	Losses/Special Payments - prepare procedural instructions
13.2.3	Director of Finance	Losses through theft - inform Local Counter Fraud Specialist and/or Security Management as appropriate
13.2.4	Director of Finance and Director of Operations	Losses through inefficiency - amend existing systems
13.2.8	Director of Finance	Losses and special payments - maintain Register
14.1	Director of Finance	IT- ensure adequate control over computerised financial data
14.2	Director of Operations	IT - implement procedure to protect data
14.5	Director of Finance	IT - seek assurance from external organisations providing computer services for financial applications that adequate controls are in place
14.7	Director of Operations	IT - systems acquisition, development and maintenance are in line with corporate policies
15.2	Director of Nursing	Patients Property - ensure appropriate information is given to patients/guardians regarding responsibility for property
15.3	Director of Nursing	Patients Property - provide detailed written instructions
16.2	Director of Finance	Charitable Funds - Maintain records and prepare detailed procedural instructions to protect funds

16.3.1	Charitable Funds Committee	Charitable funds investments
16.3.2	Trust Secretary	Nominee to enable Trust to obtain Grant of Probate, or to make application for grant of letters of administration, to obtain legacies
16.4	Board of Trustees or Charitable Funds Committee	Expenditure of charitable funds
17	Chief Executive	Retention of documents
18.1	Chief Executive	Risk Management
18.4	Director of Nursing Trust Secretary	Insurance (NHSLA) Insurance (Non-NHSLA)
19.3	Trust Secretary	Declarations of Interests and Hospitality

## 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><b>1. Management of Budgets</b></p> <p>Responsibility of keeping expenditure within budgets</p> <p>a) At individual budget level (Pay &amp; Non Pay)</p> <p>b) At 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 Director of Finance or appropriate Delegated Manager</p> <p>Chief Executive</p>	SFIs Section 3
<b>2. Maintenance/Operation of Bank Accounts</b>	Director of Finance	SFIs Section 5
<b>3. Non-Pay Revenue and Capital Expenditure/Requisitioning/ Orders/ Contracts &amp; payment for goods &amp; services</b>		SFIs Section 9
Purchasing within delegated budget up to a limit of £5k	Department Manager	
Purchasing within delegated budget up to a limit of £15k	Budget Holder	
Purchasing within delegated budget up to a limit of £75k	Deputy Director	
All requisitions up to a limit of £75k	Deputy Director of Finance	
Purchasing within delegated budget	Executive Director	

up to a limit of £100k		
All requisitions from £100,000 to £250,000	Director of Finance	
All requisitions from £250,001 to £750,000	Chief Executive and Director of Finance	
All requisitions over £750,000	Board of Directors	
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 Director of Finance	
Orders exceeding 12 month period	Chief Executive or Director of Finance	
<b>4. Capital and Revenue Investment Schemes</b>		SFIs Section 11
a) Selection of architects, quantity surveyors, consultant engineer and other professional advisors within EU regulations	Chief Executive or Director of Finance or Delegated Officer	
b) Financial monitoring and reporting on all capital scheme expenditure	Director of Finance	
c) Authority to Invest Form (ATI Form)	Directorate Manager	
d) Approval of capital schemes	Investment Group	
• from £0 to £499,999	Performance Committee	
• from £500,000 to £999,999		
• over £1,000,000	Board of Directors	
<b>5. Finance &amp; Operating Leases</b>		
a) Granting and termination of leases < £100,000	Director of Finance	
b) Granting and termination of leases > £100,000	Chief Executive and Director of Finance	
<b>6. Quotation, Tendering &amp; Contract Procedures</b>		SFIs Section 9
a) Obtaining 2 minimum verbal quotations for goods/services up to £9,999	Budget Holder	
b) Obtaining 3 written quotations for	Budget Holder	

<p>goods/services:</p> <ul style="list-style-type: none"> <li>• Non-capital from £10,000 to £29,999</li> <li>• Capital from £10,000 to £49,999</li> </ul> <p>c) Formal tendering for items over:</p> <ul style="list-style-type: none"> <li>• Capital Buildings £50,000</li> <li>• Capital Equipment £50,000</li> <li>• Fees where projected costs exceed £50,000</li> <li>• Non-capital £30,000</li> </ul> <p>e) Wavering of quotations &amp; tenders</p> <p>d) Opening tenders &amp; quotations - 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>An Executive Director &amp; a senior manager from the finance department</p> <p>Head of Procurement</p>	
<p><b>7. Setting of Fees and Charges</b></p> <p>a) Private Patient, Overseas Visitors, Income Generation and other patient related services</p> <p>b) Agreement of NHS Contracts</p>	<p>Director of Finance</p> <p>Chief Executive/Director of Finance</p>	<p>SFIs Section 7</p>
<p><b>8. Engagement of staff not on the establishment</b></p> <p>a) Non Medical Consultancy Staff</p> <p>b) Engagement of Trust's Solicitors</p> <p>c) Authorisation of bank or agency staff including:</p> <p>➤ Medical Locums</p>	<p>Executive Director</p> <p>Chief Executive or Trust Secretary</p> <p><u>Bank</u> - Designated Budget Holder, within</p>	<p>SFIs Section 8</p>

<ul style="list-style-type: none"> <li>➤ Nursing</li> <li>➤ Admin and Clerical</li> <li>➤ Other Staff</li> </ul>	<p>delegated limits <u>Agency</u> – Executive Director or nominated deputy</p>	
<p><b>9 a). Expenditure from Charitable and Endowment Funds</b></p>		<p>In compliance with trust guidelines and SFIs Section 16</p>
<ul style="list-style-type: none"> <li>➤ UP to £10,000 per request</li> <li>➤ £10,001 £25,000 per request</li> <li>➤ £25,001 to £50,000 per request</li> <li>➤ More than £50,000</li> </ul>	<p>2 signatories from the relevant fund holders</p> <p>signatories from the relevant fund holders and 1 Executive Director plus Director of Finance or Chief Executive</p> <p>Prior approval of Charitable Funds Committee</p> <p>Prior approval of Board of Trustees</p>	
<p><b>9 b). Expenditure of Research Charitable Funds</b></p> <ul style="list-style-type: none"> <li>➤ Up to £10,000 per request</li> <li>➤ £10,001 to £25,000 per request</li> <li>➤ £25,001 to £50,000 per request</li> <li>➤ More than £50,000</li> </ul>	<p>2 signatories from the relevant fund holders</p> <p>2 signatories from the relevant fund holders and 1 Executive Director plus Director of Finance or Chief Executive</p> <p>Prior approval of Charitable Funds Committee</p> <p>Prior approval of Board of Trustees</p>	
<p><b>10. Agreements/Licenses</b></p> <p>a) Preparation and signature of all tenancy agreements/licences for all staff subject to Trust Policy on accommodation for staff</p> <p>b) Entry into and extensions to</p>	<p>Director of Operations or nominated deputy</p> <p>Director of Operations or Director of Finance</p>	

<p>existing leases</p> <p>c) Letting premises to outside organisations</p> <p>d) Approval of rent based on professional assessment</p>	<p>2 Executive Directors</p> <p>Director of Finance</p>	
<p><b>11. Condemning &amp; Disposal</b></p> <p><b>Non-Capital Items</b></p> <p>Items which are obsolete, obsolescent, redundant, irreparable or cannot be repaired cost effectively</p> <p>a) current/estimated purchase price less than £100</p> <p>b) current/estimated purchase price greater than £100</p> <p>c) Tender where expected sales value is greater than £1,000</p> <p><b>Capital Items</b></p> <p>Items which are obsolete, redundant, irreparable or cannot be repaired cost effectively</p> <ul style="list-style-type: none"> <li>➤ current/estimated purchase price between £5,000 and £150,000</li> <li>➤ Current/estimated purchase price over £150,000</li> </ul>	<p>Head of Department</p> <p>Directorate Manager</p> <p>Head of Procurement</p> <p>Investment Group</p> <p>Board of Directors</p>	<p>SFIs Section 13. Trust policy on disposal of surplus and obsolete equipment</p>
<p><b>12. Losses, Write-off &amp; Compensation</b></p> <p>a) Losses up to £1,000</p> <p>b) Losses and cash due to theft, fraud, overpayment &amp; others, up to £50,000</p>	<p>Risk Manager/ Directorate Manager</p> <p>Chief Executive or Director of Finance</p>	<p>SFIs Section 13</p>

<p>c) Losses and cash due to theft, fraud, overpayment &amp; others, over £50,000</p>	<p>Board of Directors</p>	
<p>d) Fruitless payments (including abandoned Capital Schemes), up to £250,000</p>	<p>Chief Executive or Director of Finance</p>	
<p>e) Fruitless payments (including abandoned Capital Schemes), over £250,000</p>	<p>Board of Directors</p>	
<p>f) Damage to buildings, fittings, furniture and equipment and loss of equipment and property in stores and in use due to: Culpable causes (e.g fraud, theft, arson, bribery) or other, up to £50,000</p>	<p>Chief Executive or Director of Finance</p>	
<p>Over £50,000</p>	<p>Board of Directors</p>	
<p>g) Compensation payments for loss of office</p>	<p>2 Executive Directors, one being the Director of HR</p>	
<p>h) Employment related settlements up to £10,000 £10,000 to £100,000 Over £100,000</p>	<p>Director of HR 2 Executive Directors Remuneration Cttee</p>	
<p>i) Extra contractual payments to contractors, up to £50,000</p>	<p>Chief Executive or nominated deputy</p>	
<p>j) Ex-Gratia payments to patients, staff and other personnel, for loss of personal effects and compensation for disturbance</p> <ul style="list-style-type: none"> <li>➤ Up to £100</li> <li>➤ £100 to £5,000</li> <li>➤ More than £5,000</li> </ul>	<p>Risk Manager Executive Director Board of Directors</p>	
<p>For personal injury claims:</p>		



<ul style="list-style-type: none"> <li>➤ Staff where the claim is likely to be less than £10k</li> <li>➤ Non staff where the claim is likely to be less than £3k</li> </ul> <p>k) For product/professional liability income generation:</p> <ul style="list-style-type: none"> <li>➤ NHS where claim is likely to be less than £3k</li> <li>➤ Non NHS where the claim is likely to be less than £1k</li> </ul> <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"> <li>➤ up to £500</li> <li>➤ £500 to £5,000</li> <li>➤ over £5,000</li> </ul> <p>n)Write off of salary overpayments</p> <ul style="list-style-type: none"> <li>➤ Over/Under payment of invoices &lt; £5</li> <li>➤ Up to £5,000</li> <li>➤ £5,000 to £9,999</li> <li>➤ Greater than £10,000</li> </ul> <p>o)Write off of Debtors (other than salary overpayments)</p> <ul style="list-style-type: none"> <li>➤ Over/Under payment of invoices &lt; £5</li> <li>➤ Up to £10,000</li> <li>➤ More than £10,000</li> </ul>	<p>Risk Manager</p> <p>Risk manager</p> <p>Risk Manager</p> <p>Risk Manager/ Trust Secretary</p> <p>2 Executive Directors, 1 being the Director of HR</p> <p>Risk Manager Executive Director Board of Directors</p> <p>Automatic write off through NHS SBS system</p> <p>Director of HR</p> <p>Chief Executive</p> <p>Audit Committee</p> <p>Automatic write off through NHS SBS system</p> <p>Director of Finance</p> <p>Audit Committee</p>	
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<p><b>13. Reporting of incidents to the Police</b></p> <p>a) Where a criminal offence is suspected</p> <p>b) Where a fraud is involved</p>	<p>Assistant Director of Operations</p> <p>Director of Finance/Local Counter Fraud Specialist</p>	
<p><b>14. Petty cash disbursements (Cashier and Car Parking Office)</b></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 up to £150</p> <p>c) Reimbursement of monies :</p> <ul style="list-style-type: none"> <li>➤ £150 to £1,000</li> <li>➤ Greater than £1,000</li> </ul>	<p>Budget Holder</p> <p>Cashier</p> <p>Senior Finance Manager</p> <p>Senior Financial Accountant</p> <p>Deputy Director of Finance</p> <p>Director of Finance</p>	<p>SFIs Section 9</p>
<p><b>15. Implementation of Internal and external Audit Recommendations</b></p>	<p>Executive Directors</p>	<p>SFIs Section 2</p>
<p><b>16. Maintenance &amp; update on Trust Financial Procedures</b></p>	<p>Director of Finance</p>	
<p><b>17. Receiving Hospitality</b></p> <p>Applies to both individual and collective hospitality receipt items, in excess of £50 per item received</p>	<p>Declaration required in Trust's Hospitality Register</p>	<p>SFIs Section 19</p>

<p><b>18. Investment of Funds (including Charitable &amp; Endowment Funds)</b></p> <ul style="list-style-type: none"> <li>➤ Day to day responsibility</li> <li>➤ Setting policy</li> <li>a) Charitable funds</li> <li>b) Foundation Trust</li> </ul>	<p>Director of Finance</p> <p>Charitable Funds Committee/Board of Trustees Board of Directors</p>	<p>SFIs Section 16</p>
<p><b>19. Human Resources &amp; Pay</b></p> <ul style="list-style-type: none"> <li>a) Authority to fill funded post on the establishment with permanent staff</li> <li>b) Authority to appoint staff to post not on the formal establishment</li> <li>c) The granting of starting salary above the approved terms and conditions, to staff within budget</li> <li>d) All requests for upgrading/re-grading shall be dealt with in accordance with Trust procedure</li> <li>e) Pay: <ul style="list-style-type: none"> <li>➤ Authority to complete standing data forms effecting pay, new starters, variations and leavers</li> <li>➤ Authority to authorise overtime</li> <li>➤ Authority to authorise travel &amp; subsistence expenses for staff and non-staff</li> </ul> </li> </ul>	<p>Minimum of 2 Executive Directors</p> <p>Minimum of 2 Executive Directors</p> <p>Director of Human Resources</p> <p>2 Executive Directors</p> <p>Designated budget holder</p> <p>Designated budget holder</p> <p>Designated budget holder</p>	<p>SFIs Section 8</p> <p>Trust policies and procedures</p> <p>Trusts policy and procedures</p> <p>Trust policies and procedures</p>

<p>f) Annual Leave</p> <ul style="list-style-type: none"> <li>➤ Approval of annual leave</li> <li>➤ Annual leave – approval of carry forward</li> <li>➤ Other leave in line with Trust policy</li> <li>➤ Medical Staff – annual leave and professional leave</li> </ul> <p>g) Sick Leave</p> <ul style="list-style-type: none"> <li>➤ Extension of sick leave</li> </ul> <p>h) Study Leave</p> <ul style="list-style-type: none"> <li>➤ Medical staff study leave</li> <li>➤ Other staff study leave</li> </ul> <p>i) Relocation Support</p> <p>Authorisation of payment of removal expenses incurred by employees taking up new appointments</p> <ul style="list-style-type: none"> <li>➤ Up to £8,000</li> <li>➤ Over £8,000</li> </ul> <p>j) Grievance Procedure</p>	<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>Director of HR</p> <p>Medical Director/Consultant Lead for Medical Education</p> <p>Line Manager</p> <p>Director of Human Resources</p> <p>Chief Executive</p> <p>As per the Trust's</p>	<p>Trust policies and procedures</p> <p>Trust Procedure</p>
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<p>All grievance cases must be dealt with strictly in accordance with the Grievance Procedure</p> <p>k) Authorised Car &amp; Mobile Phone Users</p> <ul style="list-style-type: none"> <li>➤ Requests for new posts to be authorised as car users</li> <li>➤ Requests for new posts to be authorised as mobile telephone users</li> </ul> <p>l) Renewal of Fixed term Contract</p> <p>m) Staff Retirement Policy Authorisation of extensions of contract beyond normal retirement age</p> <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>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 authority to dismiss by Chief Executive or Executive Director</p> <p>Accountable officer (as per job holder's role profile)</p>	<p>In accordance with HR policies and Procedures</p>
<p><b>20. Authorisation of new drugs</b></p> <ul style="list-style-type: none"> <li>➤ Estimated total yearly cost up to £25,000</li> <li>➤ Estimated total yearly cost above £25,000</li> </ul>	<p>Clinical Director</p> <p>Drugs &amp; Therapeutics Committee and referred to Medical</p>	

	Director for information	
<b>21. Authorisation of sponsorship deals</b>	Chief Executive or Medical Director	
<b>22. Authorisation of Research Projects including clinical trials: Sponsorship of clinical trials  Pump Priming</b>	Chair of Research and Development Directorate meeting. Research and Development Directorate meeting	Research & Development Unit Policies
<b>23. Insurance Policies and Risk Management</b>	Director of Nursing (NHSLA Insurance & Risk) Trust Secretary (Non-NHSLA Insurance)	SFIs Section 18
<b>24. Patients &amp; relatives complaints</b>		
a) Overall responsibility for ensuring that all complaints are dealt with effectively	Director of Nursing	
b) Responsibility for ensuring complaints relating to a directorate are investigated thoroughly	Assistant Director of Quality and Risk or PALS Manager	
c) Medico – Legal Complaints Co-ordination of management	Director of Nursing	
<b>25. Relationships with Press</b>		
All emergency, non-emergency and general inquiries:		Communications Policy
➤ within normal working hours	Head of Business Services	
➤ outside normal working hours	On Call Manager	
<b>26. Infectious Diseases &amp; Notifiable Outbreaks</b>	Director of Nursing/Medical Director	
<b>27. Extended Role Activities</b>		
Approval of nurses to undertake	Director of Nursing	Nurse/Midwives/Health Visitors Act/Midwives Rules/Code of Practice

duties/procedures which can properly be described as beyond the normal scope of Nursing Practice		UKCC/Code of Professional Conduct
<p><b>28. Facilities for staff not employed by the Trust to gain practical experience</b></p> <ul style="list-style-type: none"> <li>➤ Professional Recognition, Honorary Contracts, &amp; Insurance of Medical Staff</li> <li>➤ Work experience students: <ul style="list-style-type: none"> <li>- Non professional groups</li> <li>- Professional groups</li> </ul> </li> </ul>	<p>Director of Human Resources/Director of Nursing</p> <p>Director of Human Resources Director of Human Resources</p>	
<b>29. Review of fire precautions</b>	Director of Operations	
<b>30. Review of all statutory compliance legislation and Health and Safety requirements including control of Substances Hazardous to Health Regulations</b>	Executive Director Leads	
<b>31. Review of Medicines Inspectorate Regulations</b>	Medical Director & Director of Nursing	
<b>32. Review of compliance with environmental regulations, for example those relating to clean air and waste disposal</b>	Director of Operations	
<b>33. Review of Trust's compliance with: Data Protection Act Freedom of Information Act</b>	Director of Operations Trust Secretary	
<b>34. Monitor contractual arrangements between the Trust and outside bodies</b>	Executive Directors	
<b>35. Review the Trust's compliance with the Access to Records Act:</b>		

- Patients	Director of Operations	
- Staff	Director of Human Resources	
<b>36. Review of the Trust's compliance code of Practice for handling confidential information in the contracting environment</b>	Director of Operations	
<b>37. Ensure the keeping of a Declaration of Interests registers</b> (including signing declarations on content on behalf of the Trust)	Trust Secretary	SOs Section 6
<b>38. Attestation of Sealings in accordance with Standing Orders</b>	2 Executive Directors	SOs Section 10
<b>39. The keeping of a register of Sealings</b>	Trust Secretary	SOs Section 10
<b>40. Keeping of the Hospitality Register</b> (including signing declarations on content on behalf of the Trust)	Trust Secretary	
<b>41. Retention of Records</b>		SFIs Section 17
- Finance	Director of Finance	
- Staff	Director of Human Resources	
- Patients	Director of Operations	
<b>42. Clinical Audit &amp; Clinical Effectiveness</b>	Director of Nursing/Medical Director	SFIs Section 18



**Further document information**

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):	25 January 2017
Approval by Board of Directors or Committee of the Board ( <b>required for Strategies and Policies only</b> ):	Board of Directors
Date (Day, month, year):	30 March 2017
This document supports: <i>standards and legislation – include exact details of any CQC &amp; NHSLA standards supported</i>	NHS Act 2006 Bribery Act 2010
Key associated documents:	Papworth Hospital NHS Foundation Trust Constitution DN140 Standing Financial Instructions DN142 Sanding Orders of the Board of Directors
<b>Counter Fraud</b> 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).	