

SCHEDULE OF MATTERS RESERVED TO THE BOARD & SCHEME OF DELEGATION

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**Schedule Of Matters Reserved To The Board & Scheme Of Delegation
Version Control Sheet**

Version	Section/Para/ Appendix	Version/Description of Amendments	Date	Author/Amended by
1	New Policy	Based on archived P_oG_02	9 October 2018	Interim trust board business manager/ director finance and business intelligence

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Schedule of Matters Reserved to the Board & Scheme of Delegation

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The Schedule of Matters Reserved to the Board and Scheme of Delegation derive from a number of sources in addition to specific decisions of the Board including:

- Accountable Officers Memorandum (AOM)
- Codes of Conduct and Accountability (COCA)
- Standing Orders (SO)
- Standing Financial Instructions (SFI)

1 SCHEDULE OF MATTERS RESERVED TO THE BOARD

REF	THE BOARD	DECISIONS RESERVED TO THE BOARD
NA	THE BOARD	<p>General Enabling Provision</p> <p>The Board may determine any matter, for which is has delegated or statutory authority, it wishes in full session within its statutory powers.</p>
NA	THE BOARD	<p><i>Regulations and Control</i></p> <ol style="list-style-type: none"> 1. Approve Standing Orders (SOs), a schedule of matters reserved to the Board and Standing Financial Instructions for the regulation of its proceedings and business. 2. Suspend Standing Orders. 3. Vary or amend the Standing Orders. 4. Ratify any urgent decisions taken by the Chair and Chief Executive in public session in accordance with SO 5.2. 5. Approve a scheme of delegation of powers from the Board to committees. 6. Require and receive the declaration of Board members' interests that may conflict with those of the Trust and determining the extent to which that member may remain involved with the matter under consideration. 7. Require and receive the declaration of officer's interests that may conflict with those of the Trust. 8. Approve arrangements for dealing with complaints. 9. Adopt the organisation structures, processes and procedures to facilitate the discharge of business by the Trust and to agree modifications thereto. 10. Receive reports from committees including those that the Trust is required by the Secretary of State or other regulation to establish and to take appropriate action on. 11. Confirm the recommendations of the Trust's committees where the committees do not have executive powers. 12. Approve arrangements relating to the discharge of the Trust's responsibilities as a corporate trustee for funds held on trust. 13. Establish terms of reference and reporting arrangements of all committees and sub-committees that are established by the Board. 14. Approve arrangements relating to the discharge of the Trust's responsibilities as a bailee for patients' property. 15. Authorise use of the seal. 16. Ratify or otherwise instances of failure to comply with Standing Orders brought to the Chief Executive's attention in accordance with SO 5.6.

		17. Discipline members of the Board or employees who are in breach of statutory requirements or SOs.
NA	THE BOARD	<p>Appointments/Dismissal</p> <ol style="list-style-type: none"> 1. Appoint the Vice Chair of the Board. 2. Appoint and dismiss committees (and individual members) that are directly accountable to the Board. 3. Appoint, appraise, discipline and dismiss Executive Directors (subject to SO 2.2). 4. Confirm appointment of members of any committee of the Trust as representatives on outside bodies. 5. Appoint, appraise, discipline and dismiss the Secretary (if the appointment of a Secretary is required under Standing Orders). <p>Approve proposals of the Remuneration Committee regarding directors and senior employees and those of the Chief Executive for staff not covered by the Remuneration Committee.</p>
NA	THE BOARD	<p>Strategy, Plans and Budgets</p> <ol style="list-style-type: none"> 1. Define the strategic aims and objectives of the Trust. 2. Approve proposals for ensuring quality and clinical governance in services provided by the Trust, having regard to any guidance issued by the Secretary of State. 3. Approve the Trust's policies and procedures for the management of risk. 4. Approve Outline and Final Business Cases for Capital Investment in line with the Capital Investment Policy and NHS Improvement framework 5. Approve budgets. 6. Approve annually Trust's proposed organisational development proposals. 7. Ratify proposals for acquisition, disposal or change of use of land and/or buildings. 8. Approve PFI proposals. 9. Approve the opening of bank accounts. 10. Approve proposals on individual contracts (other than NHS contracts) of a capital or revenue nature above the delegated levels specified in Annex 1 to the Standing Financial Instructions. 11. Approve proposals on individual cases for the write off of losses or making of special payments above the limits of delegation to the Chief Executive and Director of Finance & Business Intelligence & Business Intelligence (for losses and special payments) specified in Annex 1 to the Standing Financial Instructions. 12. Approve individual compensation payments above limits of delegation to the Chief Executive and

		<p>Director of Finance & Business Intelligence & Business Intelligence specified in Annex 1 to the Standing Financial Instructions (other than those with the remit of the Remuneration and Terms of Service Committee).</p> <p>13. Approve proposals for action on litigation against or on behalf of the Trust.</p>
N/A	THE BOARD	<p>Policy Determination</p> <ol style="list-style-type: none"> 1. Responsible for setting the strategic context in which organisational policies are developed and for the formal approval process of policies. 2. The Board may delegate approval authority for all policies and other procedural documents to committees and sub-committees with an Executive Lead. <p>Copies of policies so adopted will be available to Board members at Board meetings when the Board is asked to approve or ratify key policies.</p>
N/A	THE BOARD	<p>Audit</p> <ol style="list-style-type: none"> 1. Receive the annual management letter from the external auditor and agreement of proposed action, taking account of the advice, where appropriate, of the Audit Committee. 2. Receive an annual report from the Head of Internal Audit and agree action on recommendations where appropriate of the Audit Committee.
NA	THE BOARD	<p>Annual Reports and Accounts</p> <ol style="list-style-type: none"> 1. Receipt and approval of the Trust's Annual Report and Annual Accounts. 2. Receipt and approval of the Annual Report and Accounts for funds held on trust.
NA	THE BOARD	<p>Monitoring</p> <ol style="list-style-type: none"> 1. Receive such reports as the Board sees fit from committees in respect of their exercise of powers delegated. 2. Continuous appraisal of the affairs of the Trust by means of the provision of reports to the Board as the Board may require from directors, committees, and officers of the Trust as set out in management policy statements. All monitoring returns required by the Department of Health and the Charity commission shall be reported, at least in summary, to the Board. 3. Receive reports from Finance Director on financial performance against budget and actual and forecast income from SLA.
COCA 1.3.1.7 COCA 1.3.1.8	THE BOARD	<p>Code of Conduct and Accountability</p> <ol style="list-style-type: none"> 1. Approve procedure for declaration of hospitality, sponsorship and advertising. 2. Ensure proper and widely publicised procedures for voicing complaints, concerns about mis-administration, breaches of Code of

		Conduct, and other ethical concerns.
COCA 1.3.2.4	BOARD	<p>The Board has six key functions for which it is held accountable by the Department of Health on behalf of the Secretary of State:</p> <ol style="list-style-type: none"> 1. to ensure effective financial stewardship through value for money, financial control and financial planning and strategy; 2. to ensure that high standards of corporate governance and personal behaviour are maintained in the conduct of the business of the whole organisation; 3. to appoint, appraise and remunerate senior executives; 4. to ratify the strategic direction of the organisation within the overall policies and priorities of the Government and the NHS, define its annual and longer term objectives and agree plans to achieve them; 5. to oversee the delivery of planned results by monitoring performance against objectives and ensuring corrective action is taken when necessary; 6. to ensure effective dialogue between the organisation and the local community on its plans and performance and that these are responsive to the community's needs
COCA 1.3.2.4	BOARD	<p>It is the Board's duty to:</p> <ol style="list-style-type: none"> 1. act within statutory financial and other constraints; 2. be clear what decisions and information are appropriate to the Board and draw up Standing Orders, a schedule of decisions reserved to the Board and Standing Financial Instructions to reflect these; 3. ensure that management arrangements are in place to enable responsibility to be clearly delegated to senior executives for the main programmes of action and for performance against programmes to be monitored and senior executives held to account; 4. establish performance and quality measures that maintain the effective use of resources and provide value for money; 5. specify its requirements in organising and presenting financial and other information succinctly and efficiently to ensure the Board can fully undertake its responsibilities; 6. establish Audit and Remuneration Committees on the basis of formally agreed terms of reference that set out the membership of the sub-committee, the limit to their powers and the arrangements for reporting back to the main Board. 7. approve the risk management strategy

COCA 1.3.2.9	BOARD	NHS Boards must comply with legislation and guidance issued by the Department of Health on behalf of the Secretary of State, respect agreements entered into by themselves or on their behalf and establish terms and conditions of service that are fair to the staff and represent good value for taxpayers' money.
SO 2.4	BOARD	Appointment of Vice Chair
SO 3.13	BOARD	Suspension of Standing Orders
SO 3.14	BOARD	Variation or amendment of Standing Orders
SO 4	BOARD	Formal delegation of powers to committees or sub-committees and approval of their constitution and terms of reference. (Constitution and terms of reference of sub committees may be approved by the Chief Executive.)
SO 7.1	THE BOARD	Declare relevant and material interests.
SFI 21.4	TRUST BOARD	Ensure cost-effective External Audit.
SFI 7.10.3	BOARD	All PFI proposals must be agreed by the Board.
SFI 9.1.1	BOARD	Establish a Remuneration & Terms of Service Committee.
SFI 9.1.4	BOARD	Approve proposals presented by the Chief Executive for settling of remuneration and conditions of service for those employees and officers not covered by the Remuneration Committee.
SFI 11.1.2	BOARD	Approve a list of employees authorised to make short term borrowings on behalf of the Trust. (This must include the CE and DoF).
SFI 13.2.1	BOARD	Proposal to use PFI must be specifically agreed by the Board.
SFI 13.4.4	BOARD, EXECUTIVE MEMBERS AND ALL SENIOR STAFF	Responsibility for security of Trust assets including notifying discrepancies to DoF, and reporting losses in accordance with Trust procedures.
SFI 15.2.4	BOARD	Approve write off of losses (within limits delegated by DH).
SFI 21.1	BOARD	Approve and monitor risk management programme.

2 SCHEME OF DELEGATION

2.1 Duties delegated by the Board to Committees

REF	COMMITTEE	DUTIES DELEGATED BY THE BOARD TO COMMITTEES
SFI 11.1.1	AUDIT COMMITTEE	<p>The Committee will:</p> <ol style="list-style-type: none"> 1. Advise the Board on internal and external audit services; 2. Review the establishment and maintenance of an effective system of integrated governance, risk management and internal control, across the whole of the organisation's activities (both clinical and non-clinical), that supports the achievement of the organisation's objectives; 3. Consider and review the Risk Management Strategy in place across the Trust prior to approval by the Board. 4. Monitor compliance and non-compliance with Standing Orders and Standing Financial instructions; 5. Review schedules of losses and compensations and make recommendations to the Board; 6. Review schedules of debtor/creditor balances over 6 months old and >£5K; 7. Review and submit annual financial statements on behalf of the Board, where delegated authority has been obtained.
SO 3.13	AUDIT COMMITTEE	Audit Committee to review every decision to suspend Standing Orders (power to suspend Standing Orders is reserved to the Board).
SFI 2.1.1	AUDIT COMMITTEE	Provide independent and objective view on internal control and probity.
SFI 20.1.2	REMUNERATION AND TERMS OF SERVICE COMMITTEE	<p>The Committee will:</p> <ol style="list-style-type: none"> 1. Advise the Board about appropriate remuneration and terms of service for the Chief Executive, other Executive Directors and other senior employees including: <ol style="list-style-type: none"> a. All aspects of salary (including any performance-related elements/bonuses); b. Provision for other benefits, including pensions and cars; c. Arrangements for termination of employment and other contractual terms; 2. Make recommendations to the Board on the remuneration and terms of service of executive directors and senior employees to ensure they

		<p>are fairly rewarded for their individual contribution to the Trust – having proper regard to the Trust’s circumstances and performance and to the provisions of any national arrangements for such staff;</p> <ol style="list-style-type: none"> 3. Proper calculation and scrutiny of termination payments taking account of national guidance as appropriate and advise and oversee appropriate contractual arrangements for such staff; 4. Regularly review structure, size and composition required of the Board; 5. Consider succession planning for the Chief Executive and Executive Board Directors, and be responsible for identifying and nominating appointment of candidates; 6. Consider matters relating to the engagement and involvement of suitably qualified third party advisors to assist with aspects of its responsibilities. 7. Consider matters relating to the continuation in office of any Board Executive Director, including during times of suspensions or termination of service of an individual as an employee of the Trust. 8. Report in writing to the Board the basis for its recommendations.
SFI 20.1.2	REMUNERATION AND TERMS OF SERVICE COMMITTEE	<p>The Committee will:</p> <ol style="list-style-type: none"> 1. Ensure that arrangements for formal letters of appointment and matters relating to the termination of appointment and other contractual terms are put in place by NHS Improvement; 2. Monitor and evaluate performance of individual Non-Executive Directors. 3. Review the time requirements, balance of skills, knowledge, experience and diversity of the Non-Executive Directors, taking into account the views of Board Directors. 4. Consider succession planning for the Non-Executive Directors. 5. Ensure that any changes to the interests declared by the Chair and the other Non-Executive Directors prior to their appointment are monitored <p>The Committee shall report in writing to the Board the basis for its recommendations.</p>
SFI 9.1.2	REMUNERATION AND TERMS OF SERVICE COMMITTEE	<p>Advise the Board on and make recommendations on the remuneration and terms of service of the CE, other Executive Directors and senior employees to ensure they are fairly rewarded having proper regard to the Trust’s circumstances and any national agreements;</p> <p>Monitor and evaluate the performance of individual</p>

		senior employees; Advise on and oversee appropriate contractual arrangements for such staff, including proper calculation and scrutiny of termination payments.
SFI 9.1.3	REMUNERATION AND TERMS OF SERVICE COMMITTEE	Report in writing to the Board its advice and its basis about remuneration and terms of service of directors and senior employees.
HSC 1999/065	QUALITY AND RISK COMMITTEE	<p>The Committee will:</p> <ol style="list-style-type: none"> 1. Develop a quality and clinical risk management infra-structure. 2. Provide a strategic lead for the execution of clinical governance. This will include the planning and monitoring of the following: <ul style="list-style-type: none"> – Risk management – including monitoring of remedial action plans and Serious Untoward Incidents. – Learning from experience. – Care Quality Commission achievement and compliance, identifying lapses and implementing and monitoring action plans where lapses do occur. – Clinical Effectiveness including dissemination and implementation of National Service Frameworks and NICE guidance. – Clinical Audit. – Patient Experience. – Infection Prevention and Control. – Continuous Professional Development. – Safeguarding – Information Governance 3. Develop, with key stakeholders, integrated governance processes. 4. Oversee the development and implementation of both the Trust Clinical Strategy and Trust Quality Account. 5. Monitor the achievement of both the Trust Clinical Strategy and Trust Quality Account. 6. Ensure that significant risk management concerns relating to its portfolio of risks are properly considered and communicated.
	FINANCE, PERFORMANCE AND INVESTMENT COMMITTEE	<p>The Committee will:</p> <ol style="list-style-type: none"> 1. Consider and monitor the Trust's financial strategy and annual financial targets, review proposals for major business cases and their respective funding sources, and receive reports on 'commercial' activities of the Trust. 2. Consider and monitor the Trust's identification, collection, reporting and achievement of Key Performance Indicators, and review arrangements to maintain data and reporting.

		<ol style="list-style-type: none"> 3. Review the Trust's Investment Policy, on behalf of the Board of Director, receive and consider major Trust Investment Plans, oversee the Trust's investments ensuring compliance with the Trust's policy and monitoring arrangements, and approve any innovative, commercial or investment activity. 4. Review the preparation and delivery of the Trust's Operational Plan. 5. Review the Trust's Procurement Strategy and any related policies on behalf of the Trust Board, and consider and approve any significant variations to the Trust's existing procurement methodology in accordance with Standing Orders. 6. Review delivery of the Trust's Estates and IM&T Strategies.
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2.2 Duties delegated by the Board to the Chair

REFERENCE	DELEGATED TO	DUTIES DELEGATED
AOM 12	CHAIR	Implement requirements of corporate governance.
COCA1.3.2.4	CHAIR AND NON-EXECUTIVE DIRECTORS	Chair and Non-Executive Directors are responsible for monitoring the executive management of the organisation and are responsible to the SofS for the discharge of those responsibilities.
COCA 1.3.2.5	CHAIR	<p>It is the Chair's role to:</p> <ol style="list-style-type: none"> 1. provide leadership to the Board; 2. enable all Board members to make a full contribution to the Board's affairs and ensure that the Board acts as a team; 3. ensure that key and appropriate issue are discussed by the Board in a timely manner; 4. ensure the Board has adequate support and is provided efficiently with all the necessary data on which to base informed decisions; 5. lead Non-Executive Board members through a formally-appointed Remuneration Committee of the main Board on the appointment, appraisal and remuneration of the Chief Executive and (with the latter) other Executive Board members; 6. appoint Non-Executive Board members to an Audit Committee of the main Board; 7. advise the Secretary of State on the performance of Non-Executive Board members.

SO 1.1	CHAIR	Final authority in interpretation of Standing Orders (SOs).
SO 3.1	CHAIR	Call meetings
SO 3.9	CHAIR	Chair all Board meetings and associated responsibilities
SO 3.10	CHAIR	Give final ruling in questions of order, relevancy and regularity of meetings.
SO 3.12	CHAIR	Have a second or casting vote.
SO 5.2	CHAIR & CHIEF EXECUTIVE	The powers which the Board has retained to itself within these Standing Orders may in emergency be exercised by the Chair and Chief Executive after having consulted at least two Non-Executive members.
SFI 2.1.2	CHAIR	Raise the matter at the Board meeting where Audit Committee considers there is evidence of ultra vires transactions or improper acts.

2.3 Duties delegated by the Board to the Chief Executive

REFERENCE	DELEGATED TO	DUTIES DELEGATED
AOM 7	CHIEF EXECUTIVE (CEO)	Accountable through NHS Accounting Officer to Parliament for stewardship of Trust resources.
AOM 9	CE AND DIRECTOR OF FINANCE & BUSINESS INTELLIGENCE & BUSINESS INTELLIGENCE (DOF)	Ensure the accounts of the Trust are prepared under principles and in a format directed by the SofS. Accounts must disclose a true and fair view of the Trust's income and expenditure and its state of affairs. Sign the accounts on behalf of the Board.
AOM 10	CEO	Sign a statement in the accounts outlining responsibilities as the Accountable Officer. Sign a statement in the accounts outlining responsibilities in respect of Internal Control.
AOM 12 & 13	CEO	Ensure effective management systems that safeguard public funds and assist the Trust Chair to implement requirements of corporate governance including ensuring managers: <ul style="list-style-type: none"> • "have a clear view of their objectives and the means to assess

		<p>achievements in relation to those objectives</p> <ul style="list-style-type: none"> • be assigned well defined responsibilities for making best use of resources • have the information, training and access to the expert advice they need to exercise their responsibilities effectively.”
AOM 13	CEO	<p>Achieve value for money from the resources available to the Trust and avoid waste and extravagance in the organisation’s activities.</p> <p>Follow through the implementation of any recommendations affecting good practice as set out in reports from such bodies as the National Audit Office (NAO).</p>
AOM 15	CEO	<p>Primary duty to see that DoF discharges the function: ‘operational responsibility for effective and sound financial management and information’.</p>
AOM 16	CEO	<p>Ensuring that expenditure by the Trust complies with Parliamentary requirements.</p>
AOM 18	CEO and DIRECTOR OF FINANCE & BUSINESS INTELLIGENCE	<p>CE, supported by Director of Finance & Business Intelligence & Business Intelligence, to ensure appropriate advice is given to the Board on all matters of probity, regularity, prudent and economical administration, efficiency and effectiveness.</p>
AOM 19	CEO	<p>If CE considers the Board or Chair is doing something that might infringe probity or regularity, he should set this out in writing to the Chair and the Board. If the matter is unresolved, he/she should ask the Audit Committee to enquire, and if necessary NHS Improvement and Department of Health.</p>
AOM 21	CEO	<p>If the Board is contemplating a course of action that raises an issue not of formal propriety or regularity but affects the CE’s responsibility for value for money, the CE should draw the relevant factors to the attention of the Board. If the outcome is that the CE overruled, it is normally sufficient to ensure that the CE’s advice and the overruling of it are clearly apparent from the papers. Exceptionally, the CE should inform NHS Improvement and the DH. In such cases, and in those described in paragraph 24, the CE should as a member of the Board vote against the course of action rather than</p>

		merely abstain from voting.
COCA 1.3.2.5	CEO	<p>The Chief Executive is accountable to the Chair and Non-Executive members of the Board for ensuring that its decisions are implemented, that the organisation works effectively, in accordance with Government policy and public service values and for the maintenance of proper financial stewardship.</p> <p>The Chief Executive should be allowed full scope, within clearly defined delegated powers, for action in fulfilling the decisions of the Board.</p> <p>The other duties of the Chief Executive as Accountable Officer are laid out in the Accountable Officer Memorandum.</p>
SO 5.2	CHAIR & CEO	The powers which the Board has retained to itself within these Standing Orders may in emergency be exercised by the Chair and Chief Executive after having consulted at least two Non-Executive members.
SO 5.4	CEO	The Chief Executive shall prepare a Scheme of Delegation identifying his/her proposals that shall be considered and approved by the Board, subject to any amendment agreed during the discussion.
SO 7.2	CEO	Maintain register(s) of interests.
SO 8.1/8.3	CEO	Keep seal in safe place and maintain a register of sealing.
SO 8.4	CEO/EXECUTIVE DIRECTOR	Approve and sign all documents which will be necessary in legal proceedings.
SFI 1.2.3	CEO	Responsible as the Accountable Officer to ensure financial targets and obligations are met and have overall responsibility for the System of Internal Control.
SFI 1.2.3	CEO AND DIRECTOR OF FINANCE & BUSINESS INTELLIGENCE	Accountable for financial control but will, as far as possible, delegate their detailed responsibilities.
SFI 1.2.4	CEO	To ensure all Board members, officers and employees, present and future, are notified of and understand Standing Financial

		Instructions.
SFI 1.2.7	CEO	Ensure that any contractor or employee of a contractor who is empowered by the Trust to commit the Trust to expenditure or who is authorised to obtain income are made aware of these instructions and their requirements to comply.
SFI 2.5	CEO & DIRECTOR OF FINANCE & BUSINESS INTELLIGENCE	Monitor and ensure compliance with aspects of the Health and Social Care Act 2012 relating to fraud and corruption, including the appointment of the Local Counter Fraud Specialist.
SFI 2.6	CEO	Monitor and ensure compliance with Directions issued by the Secretary of State for Health on NHS security management including appointment of the Local Security Management Specialist.
SFI 3.1.1	CEO	Compile and submit to the Board an Annual Plan which takes into account financial targets and forecast limits of available resources. The Annual Plan will contain: * a statement of the significant assumptions on which the plan is based; * details of major changes in workload, delivery of services or resources required to achieve the plan.
SFI 3.3.1	CEO	Delegate budget to budget holders.
SFI 3.3.2	CEO & BUDGET HOLDERS	Must not exceed the budgetary total or virement limits set by the Board.
SFI 3.3.3	CEO	Identify and implement cost improvements and income generation activities in line with the Annual Plan.
SFI 3.5.1	CEO	Submit monitoring returns.
SFI 7.	CEO	Tendering and contract procedure.
SFI 7.4.3	CEO	Waive formal tendering procedures.
SFI 7.4.3 / 7.4.4	CEO	Reports waivers of tendering procedures to the Board.
SFI 7.5.6	CEO	Responsible for the receipt, endorsement and safe custody of tenders received.
SFI 7.5.7	CEO	Shall maintain a register to show each set of competitive tender invitations dispatched.
SFI 7.5.8	CEO & DIRECTOR OF FINANCE & BUSINESS	Where one tender is received will assess for value for money and fair price.

	INTELLIGENCE	
SFI 7.8.1	CEO	No tender shall be accepted which will commit expenditure in excess of that which has been allocated by the Trust and which is not in accordance with these Instructions except with the authorisation of the Chief Executive.
SFI 10.1.4	CEO	Will appoint a manager to maintain a list of approved firms.
SFI 10.1.4	CEO	Shall ensure that appropriate checks are carried out as to the technical and financial capability of those forms that are invited to tender or quote.
SFI 7.6.2	CEO	The Chief Executive or his nominated officer should evaluate the quotations and select the quote which gives the best value for money.
SFI 7.6.4	CEO OR DIRECTOR OF FINANCE & BUSINESS INTELLIGENCE	No quotation shall be accepted which will commit expenditure in excess of that which has been allocated by the Trust and which is not in accordance with these Instructions except with the authorisation of the Chief Executive.
SFI 7.10.3	CEO	The Chief Executive shall demonstrate that the use of private finance represents value for money and genuinely transfers risk to the private sector.
SFI 7.9.4	CEO	The Chief Executive shall nominate an officer who shall oversee and manage each contract on behalf of the Trust.
SFI 7.9.3	CEO	The Chief Executive shall nominate officers with delegated authority to enter into contracts of employment, regarding staff, agency staff or temporary staff service contracts.
SFI 7.5.10	CEO	The Chief Executive shall be responsible for ensuring that best value for money can be demonstrated for all services provided on an in-house basis.
SFI 8	CEO	Must ensure the Trust enters into suitable Service Level Agreements (SLAs) with service commissioners for the provision of NHS services.
SFI 8	CEO	As the Accountable Officer, ensure that regular reports are provided to the Board detailing actual and forecast income from the

		SLA.
SFI 9.2.2	CEO	Approval of variation to funded establishment of any department.
SFI 9.3	CEO	Staff, including agency staff, appointments and re-grading.
SFI 10.1	CEO	Determine, and set out, level of delegation of non-pay expenditure to budget managers, including a list of managers authorised to place requisitions, the maximum level of each requisition and the system for authorisation above that level.
SFI 10.1.3	CEO	Set out procedures on the seeking of professional advice regarding the supply of goods and services.
SFI 10.2.5	CEO	Authorise who may use and be issued with official orders.
SFI 10.2.7	CEO DIRECTOR OF FINANCE & BUSINESS INTELLIGENCE	Ensure that the arrangements for financial control and financial audit of building and engineering contracts and property transactions comply with the guidance contained within CONCODE and ESTATECODE. The technical audit of these contracts shall be the responsibility of the relevant Director.
SFI 11.1.4	CEO OR DIRECTOR OF FINANCE & BUSINESS INTELLIGENCE	Be on an authorising panel comprising one other member for short term borrowing approval.
SFI 13.1.1. & 2	CEO	Capital investment programme: a) Ensure that there is adequate appraisal and approval process for determining capital expenditure priorities and the effect that each has on plans; b) Responsible for the management of capital schemes and for ensuring that they are delivered on time and within cost; c) Ensure that capital investment is not undertaken without availability of resources to finance all revenue consequences; d) Ensure that a business case is produced for each proposal.
SFI 13.1.3	CEO	Issue procedures for management of

		contracts involving stage payments.
SFI 13.1.6	CEO	Issue manager responsible for any capital scheme with authority to commit expenditure, authority to proceed to tender and approval to accept a successful tender. Issue a scheme of delegation for capital investment management.
SFI 13.3.1	CEO	Maintenance of asset registers (on advice from DoF).
SFI 13.4.1	CEO	Overall responsibility for fixed assets.
SFI 14.2.1	CEO	Delegate overall responsibility for control of stores (subject to DoF responsibility for systems of control). Further delegation for day-to-day responsibility subject to such delegation being recorded. (Good practice to append to the scheme of delegation document.)
SFI 14.3	CEO	Identify persons authorised to requisition and accept goods from NHS Supplies stores.
SFI 17.2	CEO	Responsible for ensuring patients and guardians are informed about patients' money and property procedures on admission.
SFI 20.1	CEO	Retention of document procedures in accordance with HSC 1999/053.
SFI 21.1	CEO	Risk management programme.

2.4 Duties delegated by the Board to the Director of Finance & Business Intelligence

REFERENCE	DELEGATED TO	DUTIES DELEGATED
AOM 9	CEO AND DIRECTOR OF FINANCE & BUSINESS INTELLIGENCE (DOF)	Ensure the accounts of the Trust are prepared under principles and in a format directed by the SofS. Accounts must disclose a true and fair view of the Trust's income and expenditure and its state of affairs. Sign the accounts on behalf of the Board.
AOM 15	DIRECTOR OF FINANCE & BUSINESS INTELLIGENCE	Operational responsibility for effective and sound financial management and information.
AOM 18	DIRECTOR OF FINANCE & BUSINESS INTELLIGENCE	CE, supported by Director of Finance & Business Intelligence, to ensure appropriate advice is given to the Board on all matters of probity, regularity, prudent and economical administration, efficiency and effectiveness.
SFI 1.1.3	DIRECTOR OF FINANCE & BUSINESS INTELLIGENCE	Approval of all financial procedures.
SFI 1.1.4	DIRECTOR OF FINANCE & BUSINESS INTELLIGENCE	Advice on interpretation or application of SFIs.
SFI 1.2.3	CHIEF EXECUTIVE AND DIRECTOR OF FINANCE & BUSINESS INTELLIGENCE	Accountable for financial control but will, as far as possible, delegate their detailed responsibilities.
SFI 1.2.5	DIRECTOR OF FINANCE & BUSINESS INTELLIGENCE	Responsible for: a) Implementing the Trust's financial policies and coordinating corrective action; b) Maintaining an effective system of financial control including ensuring detailed financial procedures and systems are prepared and documented; c) Ensuring that sufficient records are maintained to explain Trust's transactions and financial position; d) Providing financial advice to members of the Board and staff; e) Maintaining such accounts, certificates etc as are required for the Trust to carry out its statutory duties.

SFI 2.1.3 & 2.2.1	DIRECTOR OF FINANCE & BUSINESS INTELLIGENCE	Ensure an adequate internal audit service, for which he/she is accountable, is provided (and involve the Audit committee in the selection process when/if an internal audit service provider is changed.)
SFI 2.2.1	DIRECTOR OF FINANCE & BUSINESS INTELLIGENCE	Decide at which stage to involve police in cases of misappropriation and other irregularities not involving fraud or corruption.
SFI 2.5	CEO & DIRECTOR OF FINANCE & BUSINESS INTELLIGENCE	Monitor and ensure compliance with aspects of the Health and Social Care Act 2012 relating to fraud and corruption, including the appointment of the Local Counter Fraud Specialist.
SFI 3.1.2 & 3.1.3	DIRECTOR OF FINANCE & BUSINESS INTELLIGENCE	Submit budgets to the Board for approval. Monitor performance against budget; submit to the Board financial estimates and forecasts.
SFI 3.1.6	DIRECTOR OF FINANCE & BUSINESS INTELLIGENCE	Ensure adequate training is delivered on an on-going basis to budget holders.
SFI 3.3.1	DIRECTOR OF FINANCE & BUSINESS INTELLIGENCE	Devise and maintain systems of budgetary control.
SFI 4.1	DIRECTOR OF FINANCE & BUSINESS INTELLIGENCE	Preparation of annual accounts and annual financial reports.
SFI 5.1	DIRECTOR OF FINANCE & BUSINESS INTELLIGENCE	Managing banking arrangements, including provision of banking services, operation of accounts, preparation of instructions and list of cheque signatories. (Board approves arrangements).
SFI 6	DIRECTOR OF FINANCE & BUSINESS INTELLIGENCE	Income systems, including system design, prompt banking review and approval of fees and charges, debt recovery arrangements, design and control of receipts, provision of adequate facilities and systems for employees whose duties include collecting or holding cash.
SFI 7.5.8	CEO & DIRECTOR OF FINANCE & BUSINESS INTELLIGENCE	Where one tender is received will assess for value for money and fair price.
SFI 7.6.4	CEO OR DIRECTOR OF FINANCE &	No quotation shall be accepted which will commit expenditure in excess of that which has been allocated by the Trust and which is not in

	BUSINESS INTELLIGENCE	accordance with these Instructions except with the authorisation of the Chief Executive.
SFI 9.4.1 & 9.4.2	DIRECTOR OF FINANCE & BUSINESS INTELLIGENCE	Payroll: a) specifying timetables for submission of properly authorised time records and other notifications; b) final determination of pay and allowances; c) making payments on agreed dates; d) agreeing method of payment; e) issuing instructions (as listed in SFI 9.4.2)
SFI 9.4.4	DIRECTOR OF FINANCE & BUSINESS INTELLIGENCE	Ensure that the chosen method for payroll processing is supported by appropriate (contracted) terms and conditions, adequate internal controls and audit review procedures and that suitable arrangements are made for the collection of payroll deductions and payment of these to appropriate bodies.
SFI 10.2.2	DIRECTOR OF FINANCE & BUSINESS INTELLIGENCE	Shall be responsible for the prompt payment of accounts and claims.
SFI 10.2.3	DIRECTOR OF FINANCE & BUSINESS INTELLIGENCE	a) Advise the Board regarding the settling of thresholds above which quotations (competitive or otherwise) or formal tenders must be obtained; and, once approved, the thresholds should be incorporated in standing orders and regularly reviewed; b) Prepare procedural instructions [where not already provided in the Scheme of Delegation or procedure notes for budget holders] on the obtaining of goods, works and services incorporating the thresholds; c) Be responsible for the prompt payment of all properly authorised accounts and claims; d) Be responsible for designing and maintaining a system of verification, recording and payment of all amounts payable; e) A timetable and system for submission to the Director of Finance & Business Intelligence of accounts for payment; provision shall be made for the early submission of accounts subject to cash discounts or otherwise requiring early payment; f) Instructions to employees regarding the handling and payment of accounts within the Finance Department; g) Be responsible for ensuring that payment for goods and services is only made once the goods and services are received
SFI 10.2.4	DIRECTOR OF	Approve proposed prepayment arrangements.

	FINANCE & BUSINESS INTELLIGENCE	
SFI 10.2.7	CEO OR DIRECTOR OF FINANCE & BUSINESS INTELLIGENCE	Ensure that the arrangements for financial control and financial audit of building and engineering contracts and property transactions comply with the guidance contained within CONCODE and ESTATECODE. The technical audit of these contracts shall be the responsibility of the relevant Director.
SFI 10.2.3	DIRECTOR OF FINANCE & BUSINESS INTELLIGENCE	Lay down procedures for payments to local authorities and voluntary organisations made under the powers of section 256 of the NHS Act.
SFI 11.1.1	DIRECTOR OF FINANCE & BUSINESS INTELLIGENCE	The DoF will advise the Board on the Trust's ability to pay dividend on PBC and report, periodically, concerning the PDC debt and all loans and overdrafts.
SFI 11.1.3	DIRECTOR OF FINANCE & BUSINESS INTELLIGENCE	Prepare detailed procedural instructions concerning applications for loans and overdrafts.
SFI 11.1.4	CEO OR DIRECTOR OF FINANCE & BUSINESS INTELLIGENCE	Be on an authorising panel comprising one other member for short term borrowing approval.
SFI 11.2.2	DIRECTOR OF FINANCE & BUSINESS INTELLIGENCE	Will advise the Board on investments and report, periodically, on performance of same.
SFI 11.2.3	DIRECTOR OF FINANCE & BUSINESS INTELLIGENCE	Prepare detailed procedural instructions on the operation of investments held.
SFI 12	DIRECTOR OF FINANCE & BUSINESS INTELLIGENCE	Ensure that Board members are aware of the all relevant financial guidance and ensure compliance.
SFI 13.1.2	DIRECTOR OF FINANCE & BUSINESS INTELLIGENCE	Certify professionally the costs and revenue consequence detailed in the business case for capital investment.
SFI 13.1.4	DIRECTOR OF FINANCE & BUSINESS INTELLIGENCE	Assess the requirement for the operation of the construction industry taxation deduction scheme.
SFI 13.1.5	DIRECTOR OF FINANCE &	Issue procedures for the regular reporting of expenditure and commitment against authorised

	BUSINESS INTELLIGENCE	capital expenditure.
SFI 13.1.7	DIRECTOR OF FINANCE & BUSINESS INTELLIGENCE	Issue procedures governing financial management, including variation to contract, of capital investment projects and valuation for accounting purposes.
SFI 13.2.1	DIRECTOR OF FINANCE & BUSINESS INTELLIGENCE	Demonstrate that the use of private finance represents value for money and genuinely transfers significant risk to the private sector.
SFI 13.3.5	DIRECTOR OF FINANCE & BUSINESS INTELLIGENCE	Approve procedures for reconciling balances on fixed assets accounts in ledgers against balances on fixed asset registers.
SFI 13.3.8	DIRECTOR OF FINANCE & BUSINESS INTELLIGENCE	Calculate and pay capital charges in accordance with Department of Health requirements.
SFI 13.4.2	DIRECTOR OF FINANCE & BUSINESS INTELLIGENCE	Approval of fixed asset control procedures.
SFI 14.2.1	DIRECTOR OF FINANCE & BUSINESS INTELLIGENCE	Responsible for systems of control over stores and receipt of goods.
SFI 14.2.3	DIRECTOR OF FINANCE & BUSINESS INTELLIGENCE	Set our procedures and systems to regulate the stores.
SFI 14.2.4	DIRECTOR OF FINANCE & BUSINESS INTELLIGENCE	Agree stocktaking arrangements.
SFI 14.2.5	DIRECTOR OF FINANCE & BUSINESS INTELLIGENCE	Approve alternative arrangements where a complete system of stores control is not justified.
SFI 14.2.6	DIRECTOR OF FINANCE & BUSINESS INTELLIGENCE	Approve system for review of slow moving and obsolete items and for condemnation, disposal and replacement of all unserviceable items.
SFI 15.1.1	DIRECTOR OF FINANCE & BUSINESS INTELLIGENCE	Prepare detailed procedures for disposal of assets including condemnation and ensure that these are notified to managers.
SFI 15.2.1	DIRECTOR OF FINANCE & BUSINESS	Prepare procedures for recording and accounting for losses, special payments and informing police in cases of suspected arson or

	INTELLIGENCE	theft.
SFI 15.2.2	DIRECTOR OF FINANCE & BUSINESS INTELLIGENCE	Where a criminal offence is suspected, DoF must inform the Police if theft or arson is involved. In cases of fraud and corruption DoF must inform the relevant LCFS and NHS Counter Fraud Authority in line with SoS directions.
SFI 15.2.2	DIRECTOR OF FINANCE & BUSINESS INTELLIGENCE	Notify NHS Counter Fraud Authority and External Audit of all frauds.
SFI 15.2.3	DIRECTOR OF FINANCE & BUSINESS INTELLIGENCE	Notify Board and External Auditor of losses caused theft, arson, neglect of duty or gross carelessness (unless trivial).
SFI 15.2.6	DIRECTOR OF FINANCE & BUSINESS INTELLIGENCE	Consider whether any insurance claim can be made.
SFI 15.2.7	DIRECTOR OF FINANCE & BUSINESS INTELLIGENCE	Maintain losses and special payments register.
SFI 16.1.1	DIRECTOR OF FINANCE & BUSINESS INTELLIGENCE	Responsible for accuracy and security of computerised financial data.
SFI 16.1.2	DIRECTOR OF FINANCE & BUSINESS INTELLIGENCE	Satisfy him/herself that new financial systems and amendments to current financial systems are developed in a controlled manner and thoroughly tested prior to implementation. Where this is undertaken by another organisation assurances of adequacy must be obtained from them prior to implementation.
SFI 16.3	DIRECTOR OF FINANCE & BUSINESS INTELLIGENCE	Ensure that contracts with other bodies for the provision of computer services for financial applications clearly define responsibility of all parties for security, privacy, accuracy, completeness and timeliness of data during processing, transmission and storage, and allow for audit review. Seek periodic assurances from the provider that adequate controls are in operation.
SFI 16.4	DIRECTOR OF FINANCE & BUSINESS INTELLIGENCE	Ensure that risks to the Trust from use of IT are identified and considered and that disaster recovery plans are in place.

SFI 16.5	DIRECTOR OF FINANCE & BUSINESS INTELLIGENCE	<p>Where computer systems have an impact on corporate financial systems satisfy him/herself that:</p> <p>a) Systems acquisition, development and maintenance are in line with corporate policies;</p> <p>b) Data assembled for processing by financial systems is adequate, accurate, complete and timely, and that a management rail exists.</p> <p>c) DoF and staff have access to such data</p> <p>Such computer audit reviews are being carried out as are considered necessary.</p>
SFI 17.3	DIRECTOR OF FINANCE & BUSINESS INTELLIGENCE	<p>Provide detailed written instructions on the collection, custody, investment, recording, safekeeping, and disposal of patients' property (including instructions on the disposal of the property of deceased patients and of patients transferred to other premises) for all staff whose duty it is to administer, in any way, the property of.</p>
SFI 18.1	DIRECTOR OF FINANCE & BUSINESS INTELLIGENCE	<p>Shall ensure that each trust fund within the Charity is managed appropriately.</p>
SFI 19	DIRECTOR OF FINANCE & BUSINESS INTELLIGENCE	<p>Ensure all staff are made aware of the Trust policy on the acceptance of gifts and other benefits in kind by staff.</p>
SFI 21.2.2	DIRECTOR OF FINANCE & BUSINESS INTELLIGENCE	<p>Where the Board decides to use the risk pooling schemes administered by the NHS Resolution the Director of Finance & Business Intelligence shall ensure that the arrangements entered into are appropriate and complementary to the risk management programme. The Director of Finance & Business Intelligence shall ensure that documented procedures cover these arrangements.</p>
SFI 21.2.2	DIRECTOR OF FINANCE & BUSINESS INTELLIGENCE	<p>Ensure documented procedures cover management of claims and payments below the deductible.</p>

2.5 Duties delegated by the Board to the Board Members

REFERENCE	DELEGATED TO	DUTIES DELEGATED
COCA 1.3.2.9 & 1.3.2.2	ALL BOARD MEMBERS	Subscribe to Code of Conduct
COCA 1.3.2.4	ALL BOARD MEMBERS	Board members share corporate responsibility for all decisions of the Board.
COCA1.3.2.4	CHAIR AND NON-EXECUTIVE DIRECTORS	Chair and Non-Executive Directors are responsible for monitoring the executive management of the organisation and are responsible to the SofS for the discharge of those responsibilities.
COCA1.3.2.6	NON-EXECUTIVE DIRECTORS	Non-Executive Directors are appointed by NHS Improvement to bring independent judgment to bear on issues of strategy, performance, key appointments and accountability through the Department of Health to Ministers and to the local community.
COCA 1.3.2.8	CHAIR AND DIRECTORS	Declaration of conflict of interests.
SO 8.4	CEO/EXECUTIVE DIRECTOR	Approve and sign all documents which will be necessary in legal proceedings.
SFI 1.1.6	ALL MEMBERS OF THE BOARD AND EMPLOYEES	Have a duty to disclose any non-compliance with these Standing Financial Instructions to the Director of Finance & Business Intelligence as soon as possible.
SFI 1.2.6	ALL MEMBERS OF THE BOARD AND EMPLOYEES	Responsible for security of the Trust's property, avoiding loss, exercising economy and efficiency in using resources and conforming to Standing Orders, Financial Instructions and financial procedures.
SFI 10.2.4	APPROPRIATE EXECUTIVE DIRECTOR	Make a written case to support the need for a prepayment.

SFI 13.4.4	BOARD, EXECUTIVE MEMBERS AND ALL SENIOR STAFF	Responsibility for security of Trust assets including notifying discrepancies to DoF, and reporting losses in accordance with Trust procedures.
SFI 16.1.3	DIRECTOR WITH LEAD FOR INFORMATION GOVERNANCE	Shall publish and maintain a Freedom of Information Scheme.

2.6 Duties delegated by the Board to All Staff

REFERENCE	DELEGATED TO	DUTIES DELEGATED
SO 5.6	ALL	Disclosure of non-compliance with Standing Orders to the Chief Executive as soon as possible.
SO 7.4	ALL	Disclose relationship between self and candidate for staff appointment. (CE to report the disclosure to the Board.)
SFI 1.1.6	ALL MEMBERS OF THE BOARD AND EMPLOYEES	Have a duty to disclose any non-compliance with these Standing Financial Instructions to the Director of Finance & Business Intelligence as soon as possible.
SFI 1.2.6	ALL MEMBERS OF THE BOARD AND EMPLOYEES	Responsible for security of the Trust's property, avoiding loss, exercising economy and efficiency in using resources and conforming to Standing Orders, Financial Instructions and financial procedures.
SFI 6.2.3	ALL EMPLOYEES	Duty to inform DoF of money due from transactions which they initiate/deal with.
SFI 15.2.2	ALL STAFF	Discovery or suspicion of loss of any kind must be reported immediately to either head of department or nominated officer. The head of department/nominated officer should then inform the CE and DoF.

2.7 Duties delegated by the Board to Others

REFERENCE	DELEGATED TO	DUTIES DELEGATED
SFI 2.3	HEAD OF INTERNAL AUDIT	Review, appraise and report in accordance with Public Sector Internal Audit Standards and best practice.
SFI 3.3.2	CEO & BUDGET HOLDERS	Must not exceed the budgetary total or virement limits set by the Board.
SFI 3.3.2	BUDGET HOLDERS	Ensure that <ul style="list-style-type: none"> a) no overspend or reduction of income that cannot be met from virement is incurred without prior consent of Board; b) approved budget is not used for any other than specified purpose subject to rules of virement; c) no permanent employees are appointed without the approval of the CE other than those provided for within available resources and manpower establishment.
SFI 9.4.3	NOMINATED MANAGERS*	Submit time records in line with timetable. Complete time records and other notifications in required form. Submitting termination forms in prescribed form and on time.
SFI 9.5	NOMINATED MANAGER*	Ensure that all employees are issued with a Contract of Employment in a form approved by the Board and which complies with employment legislation and deal with variations to, or termination of, contracts of employment.
SFI 10.2.1	REQUISITIONER*	In choosing the item to be supplied (or the service to be performed) shall always obtain the best value for money for the Trust. In so doing, the advice of the Trust's adviser on supply shall be sought.
SFI 10.2.4	BUDGET HOLDER	Ensure that all items due under a prepayment contract are received (and immediately inform DoF if problems are encountered).

REFERENCE	DELEGATED TO	DUTIES DELEGATED
SFI 10.2.6	MANAGERS AND OFFICERS	Ensure that they comply fully with the guidance and limits (in respect of non-pay expenditure) specified by the Director of Finance & Business Intelligence.
SFI 14.2.2	DESIGNATED PHARMACEUTICAL OFFICER	Responsible for controls of pharmaceutical stocks.
SFI 14.2.1	DESIGNATED ESTATES OFFICER	Responsible for control of stocks of fuel oil and coal.
SFI 14.2.2	NOMINATED OFFICERS*	Security arrangements and custody of keys.
SFI 14.2.6	NOMINATED OFFICERS*	Operate system for slow moving and obsolete stock, and report to DoF evidence of significant overstocking.
SFI 16.2.1	RELEVANT OFFICERS	Send proposals for general computer systems to DoF.
SFI 17.6	DEPARTMENTAL MANAGERS	Inform staff of their responsibilities and duties for the administration of the property of patients.

* Nominated officers and the areas for which they are responsible should be incorporated into the Trust's Scheme of Delegation document.