**SoRD for: CENTRAL AREA**

SECTION 2: SCHEME OF DELEGATION TO EXECUTIVE DIRECTORS,

OTHER DIRECTORS AND OFFICERS

The LHB Standing Orders and Standing Financial Instructions specify certain key responsibilities of the Chief Executive, the Executive Director of Finance and other officers.

The Chief Executive’s Job Description, together with their Accountable Officer

Memorandum sets out their specific responsibilities, and the individual job descriptions determined for Executive Director level posts also define in detail the specific responsibilities assigned to those post holders. These documents, together with the schedule of additional delegations below and the associated financial delegations set out in the Standing Financial Instructions form the basis of the LHB’s Scheme of Delegation to Officers.

|  |  |
| --- | --- |
| **Delegated Matter** | **Table**  **Reference No.** |
| STANDING ORDERS/STANDING FINANCIAL INSTRUCTIONS | 1 |
| MEETINGS | 2 |
| FINANCIAL PLANNING/BUDGETARY RESPONSIBILITY | 3 |
| BANK/PGO ACCOUNTS (EXCLUDING CHARITABLE FUND ACCOUNTS) | 4 |
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| NON PAY EXPENDITURE | 6 |
| STORES AND RECEIPT OF GOODS | 7 |
| CAPITAL INVESTMENT MANAGEMENT | 8 |
| QUOTATIONS, TENDERING & CONTRACT PROCEDURES | 9 |
| FIXED ASSETS | 10 |
| PERSONNEL & PAY | 11 |
| ENGAGEMENT OF STAFF (NOT ON THE ESTABLISHMENT) | 12 |
| CHARITABLE FUNDS HELD ON LHB | 13 |
| PRIMARY CARE PATIENT SERVICES/HEALTHCARE AGREEMENTS | 14 |
| INCOME SYSTEMS, FEES & CHARGES | 15 |
| DISPOSAL AND CONDEMNATIONS | 16 |
| LOSSES, WRITE-OFFS & COMPENSATION AND EX-GRATIA PAYMENTS | 17 |
| REPORTING INCIDENTS TO THE POLICE | 18 |
| FINANCIAL PROCEDURES | 19 |
| AUDIT ARRANGEMENTS | 20 |
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| CLINICAL AUDIT | 23 |
| PATIENTS’ PROPERTY | 24 |
| PATIENTS & RELATIVES COMPLAINTS | 25 |
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| GIFTS & HOSPITALITY | 27 |
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| INFORMATICS AND THE DATA PROTECTION ACT | 29 |
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| AUTHORISATION OF CLINICAL TRIALS | 33 |
| INFECTIOUS DISEASES & NOTIFIABLE OUTBREAKS | 34 |
| **Delegated Matter** | **Table**  **Reference No.** |
| REVIEW OF FIRE PRECAUTIONS | 35 |
| HEALTH & SAFETY | 36 |
| MEDICINES INSPECTORATE REGULATIONS | 37 |
| ENVIRONMENTAL REGULATIONS | 38 |
| LEGAL & RISK PAYMENTS | 39 |
| INVESTIGATION OF FRAUD/CORRUPTION OR FINANCIAL IRREGULARITIES | 40 |
| COMMERCIAL SPONSORSHIP | 41 |
| COSTS/NOTIONAL RENT/THIRD PARTY DEVELOPER/IMPROVEMENT GRANTS | 42 |
| FREEDOM OF INFORMATION | 43 |
| COMPLIANCE LEAD ROLES: CALDICOTT GUARDIAN, DPO, SIRO | 44 |
| EMERGENCY PLANNING | 45 |
| NHS ACT 2006 (WALES) SECTION 33 AGREEMENTS | 46 |
| STATUTORY COMPLIANCE WITH RESPECTIVE LEGISLATION | 47 |
| APPOINTMENT OF MEDICAL & DENTAL CONSULTANT POSTS | 48 |
| INDIVIDUAL PATIENT FUNDING REQUESTS | 49 |
| CARBON REDUCTION COMMITMENT ORDER | 50 |
| HUMAN TISSUE ACT 2004 | 51 |
| IONISING RADIATION (MEDICAL EXPOSURE) REGULATIONS 2017 [IR(ME)R] | 52 |
| NURSE STAFFING LEVELS (WALES) ACT 2016 | 53 |
| WELSH LANGUAGE STANDARD REPORTING | 54 |
| CONTROLLED DRUGS ACCOUNTABLE OFFICER | 55 |

**Schedule 1**

**SCHEME OF RESERVATION**

**AND DELEGATION OF POWERS**

***Central Area***

Table A – Scheme of Delegation to Officers

| **DELEGATED MATTER** | **DELEGATED TO** | **OPERATIONAL RESPONSIBILITY** | **Role responsible for implementing the delegated matter within the corporate function/Area/DGH** |
| --- | --- | --- | --- |
| 1. **Standing Orders / Standing**   **Financial Instructions** |  |  |  |
| 1. Final authority in interpretation of Standing Orders | Chair | Chair | Area Director |
| 1. Notifying Directors, employees and agents of their responsibilities within the Standing Orders and Standing Financial Instructions and ensuring that they understand the responsibilities | Executive Director of Finance/Board Secretary | Directors | Area Director |
| 1. Responsibility for the security of the LHB’s property, avoiding loss, exercising economy and efficiency in using resources and conforming with Standing Orders, Financial Instructions and financial procedures | Executive Director of Finance | Directors | Area Director |
| 1. Ensuring Standing Orders are compatible with Welsh Government requirements re building and engineering contracts | Chief Executive | Executive Director of Planning & Performance | Area Director |
|  |  |  |  |
| 1. **Meetings** |  |  |  |
| 1. Calling meetings of the LHB | Chair | Board Secretary | N/A |
| 1. Chair all LHB Board meetings and associated responsibilities | Chair or Vice Chair in Chair’s absence | Chair or Vice Chair in Chair’s absence | N/A |
| 1. **Financial Planning/Budgetary Responsibility** |  |  |  |
| 1. Setting:   Submit Three Year Plan and Annual Operating Plan to the LHB Board | Chief Executive | Executive Director of Planning & Performance | Area Director |
| Submit budgets to the LHB Board | Chief Executive | Executive Director of Finance | N/A |
| Submit to Board financial estimates and forecasts | Chief Executive | Executive Director of Finance | Area Director |
| 1. Implementing financial policies, plans and procedures, providing advice and co-ordinating any corrective action necessary | Executive Director of Finance | Finance Director (Operational) | Area Director / CFO |
| 1. Issuing Budgets | Executive Director of Finance | Finance Director (Operational) | Area Director / CFO |
| 1. Monitoring:   Monitor performance against budget | Executive Director of Finance | Directors | Area Director / CFO |
| Submit monitoring returns | Chief Executive | Executive Director of Finance | Area CFO |
| Effective budgetary control and a balanced budget | Executive Director of Finance | Directors | Area Director / CFO |
| Preparation of annual accounts and returns | Executive Director of Finance | Executive Director of Finance | Area CFO |
| Identifying and implementing cost improvements and income generation initiatives | Executive Director of Finance | Directors | Area Director / CFO |
| 1. Authorisation of Virement   It is not possible for any officer other than the Executive Director of Finance to vire from non-recurring headings to recurring budgets or from capital to revenue/revenue to capital. Virement between different budget holders (Directors) requires the agreement of both parties and the Executive Director of Finance | Executive Director of Finance | Please refer to Table B – Delegated Limits | Area Director / CFO |
| 1. Maintaining an effective system of internal financial control | Chief Executive | Executive Director of Finance | Area Director / CFO |
| 1. Delivery of financial training to budget holders (Directors) | Executive Director of Finance | Finance Director (Operational) | Area CFO |
| 1. **Bank/PGO Accounts (Excluding Charitable Fund Accounts)** |  |  |  |
| 1. Operation:   Managing banking arrangements and operation of bank accounts | Executive Director of Finance | Finance Director (Operational) | N/A |
| Opening bank accounts | Executive Director of Finance | Finance Director (Operational) | N/A |
| Authorisation of transfers between LHB bank accounts | Executive Director of Finance | Finance Director (Operational) | N/A |
| Authorisation of:  -PGO/GBS Schedules  -BACS Schedules  -Automated cheque schedules  -Manual cheques | Executive Director of Finance | Finance Director (Operational) | Area CFO  (for ICF and Voluntary Org Contract Payments) |
| 1. Investments:   Investment of surplus funds in accordance with the LHB’s investment policy | Executive Director of Finance | Finance Director (Operational) | N/A |
|  |  |  |  |
| 1. **External Borrowing** |  |  |  |
| 1. Advise LHB Board of the requirements to meet payment of interest and originating capital debt | Executive Director of Finance | Finance Director (Operational) | N/A |
| 1. Application for loan(s) and overdrafts | Executive Director of Finance | Finance Director (Operational) | N/A |
| 1. Preparation of procedural instructions | Executive Director of Finance | Finance Director (Operational) | N/A |
| 1. **Non Pay Expenditure** |  |  |  |
| For details of Delegated Limits please refer to Table B |  |  |  |
| 1. Completion of an Operational Scheme of Delegation and Authorisation by each Budget Holder ensuring maintenance of a list of officers authorised to place requisitions/orders (including emergency verbal orders) and record receipts within the E-Financials Business Suite. | Executive Director of Finance | Directors | Area Director  (See Table B for Detail) |
| 1. Obtain the best value for money when requisitioning goods/services | Executive Director of Finance | Directors | Area CFO |
| 1. Ensuring expenditure is within budget | Chief Executive | Directors | Area Director / CFO |
| 1. 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 | Executive Director of Finance | Area Director / CFO |
| 1. Orders exceeding 12 month period | Executive Director of Finance | Finance Director (Operational) | Area Director / CFO |
| 1. Prompt payment of accounts | Executive Director of Finance | Executive Director of Finance | Area CFO |
| 1. Financial Limits | Executive Director of Finance | Please refer to Table B – Delegated Limits | Area Director  (See Table B for Detail) |
| 1. Maintenance of sufficient records to explain the LHB’s transactions and report on the LHB’s financial position | Executive Director of Finance | Executive Director of Finance | Area CFO |
| 1. Approval of visits at a supplier’s expense | Executive Director of Finance | Executive Directors | Area CFO |
| 1. Provision of electronic signatures within the E-Financials Business Suite in accordance with each Budget Holder’s Operational Scheme of Delegation and Authorisation | Executive Director of Finance | Finance Director (Operational) | Area CFO |
| 1. **Stores and Receipt of Goods** |  |  |  |
| 1. Responsibility for the systems of financial control over all stores including receipt of goods and returns | Executive Director of Finance | Directors | Area CFO |
| 1. Responsibility for the control of stores and receipt of goods, issues and returns:   All stores (excluding pharmaceutical, fuel, oil and coal – see following) | Executive Director of Finance | Directors | Area Director / CFO |
| Pharmaceutical Stores | Executive Medical Director | Chief Pharmacist | Assistant Ares Director : Medicines Management |
| Fuel, oil and coal stocks | Executive Director of Planning & Performance | Director of Estates & Facilities | N/A  Director of Estates |
| 1. Stocktaking arrangements | Executive Director of Finance | Directors | Area CFO |
|  |  |  |  |
| 1. **Capital Investment Management**   For details of Delegated Limits for Delegated Matter 8d, please refer to Table B – Leases. In accordance with Welsh Government guidance: |  |  |  |
| 1. Programme: |  |  |  |
| Preparation of Capital Investment Programme | Chief Executive | Executive Director of Planning & Performance | Area Director |
| Completion and signing off of a business case for approval | Chief Executive/Executive Director of Finance | Executive Director of Planning & Performance | Area Director  (Assistant Area Directors submit to SLT) |
| Appointment of Project Directors | Chief Executive | Executive Director of Planning & Performance with support from relevant Directors | Area Director |
| Financial monitoring and reporting on all capital scheme expenditure including variations to contract | Executive Director of Planning & Performance | Executive Director of Finance/Executive Director of Planning & Performance with support from relevant Directors. | N/A  (issued via CPMT, shared with ALT via Area Director) |
| Issuing of guidance on management of capital schemes | Executive Director of Planning & Performance | Executive Director of Finance/Executive Director of Planning & Performance | N/A  (CPMT – shared by Area Director) |
| 1. Contracting – Selection of 3rd party developers, architects, quantity surveyors, consultant engineers and other professional advisors within EC regulations and LHB tender procedures | Chief Executive | Executive Director of Planning & Performance | Director of Estates / Capital  (local coordination via Area CFO) |
| 1. Private Finance – Demonstrate that the use of private finance represents best value for money and transfers risk to the private sector | Chief Executive | Executive Director of Finance | N/A |
| 1. Leases – Granting and termination of leases | Chief Executive | Executive Director of Planning & Performance/ Executive Director of Finance | Area Director – with Executive approval where necessary |
| 1. Financial control and audit-Arrangements are in place to review building and engineering contracts and property transactions comply with Welsh Government guidance. | Chief Executive | Executive Director of Finance with Executive Director of Planning & Performance responsible for the technical audit of the contracts. | Area Director / CFO |
| 1. **Quotations, Tendering & Contract Procedures**   For details of Delegated Limits, please refer to Table B – Quotations/Tenders. |  |  |  |
| 1. Services: |  |  |  |
| Best value for money is demonstrated for all services provided under contract or in-house | Chief Executive | Directors | Area CFO |
| Nominate officers to oversee and manage the contract on behalf of the LHB | Chief Executive | Directors | Area Director |
| 1. Quotations – Total value of the contract over its entire period: |  |  |  |
| Seeking quotations up to £5,000 in value | Executive Director of Finance (per SFI 11.7.1) | Directors -  For details of delegated limits, please refer to Table B | Area Director /  Area CFO  (see Table B) |
| Obtaining minimum of 3 written quotations for goods/services of value between £5,000 and £25,000 | Chief Executive (per SFI 11.1.2) | Directors -  For details of delegated limits. Please refer to Table B | Area Director /  Area CFO  (see Table B) |
| 1. Competitive Tenders – Total value of the contract over its entire period: |  |  |  |
| Obtaining a minimum of 4 written competitive tenders for goods/services of value between £25,000 and the OJEU threshold (in compliance with EC Directives as appropriate) | Chief Executive | Directors -  For details of delegated limits, please refer to Table B | Area Director /  Area CFO  (see Table B) |
| Obtaining a minimum of 5 written competitive tenders for goods/services of a value in excess of the OJEU threshold (in compliance with EC Directives as appropriate) | Chief Executive | Directors -  For details of delegated limits, please refer to Table B | Area Director /  Area CFO  (see Table B) |
| Receipt and custody of tenders prior to opening | Chief Executive | Executive Director of Finance | Area Director /  Area CFO  (see Table B) |
| Opening Tenders and Quotations | Chief Executive | Executive Director of Finance | Area Director /  Area CFO  (see Table B) |
| Decide if late tenders should be considered | Chief Executive | Executive Director of Finance | Area Director /  Area CFO  (see Table B) |
| 1. Waiving the requirement to request quotes or tenders – subject to SFI Schedule 1 Para. 4.2 & 4.3 – Formally reported to the Audit Committee | Chief Executive | Chief Executive/nominated deputy (Board Secretary or Executive Director of Finance). Where the budget holder requesting the waiver is the Chief Executive/Board Secretary/Executive Director of Finance, they cannot approve their own waiver and must seek approval from one of the other two delegated officers. | Area Director / CFO |
|  |  |  |  |
| 1. **Fixed Assets** |  |  |  |
| 1. Maintenance of asset register | Chief Executive | Executive Director of Finance supported by relevant Director | Area Director where relevant |
| 1. Calculate and pay capital charges in accordance with Welsh Government requirements | Executive Director of Finance | Executive Director of Finance | N/A  (DoF) |
| 1. Responsibility for fixed assets – Land & Buildings | Chief Executive | Executive Director of Planning & Performance | Director of Estates / Area Director |
| 1. Responsibility for all other fixed assets (Plant, Machinery, Transport, IT assets including software, Furniture & Fittings) | Chief Executive | Directors | Director of Estates / Area Director |
| 1. Responsibility for security of LHB assets including notifying discrepancies to the Director of Finance and reporting losses in accordance with LHB procedures | Chief Executive | Directors | Director of Estates / Area Director |
|  |  |  |  |
| 1. **Personnel & Pay** |  |  |  |
| 1. Nominate officers to enter into contracts of employment regarding staff, agency staff or consultancy service contracts in accordance with the “Policy for the Safe Recruitment and Selection Practices” together with accompanying guidance, particularly the need for pre-employment checks. | Chief Executive | Executive Director of Workforce & OD | Area Director/  Relevant Assistant Area Director (AAD) in line with Table B |
| 1. Approve the commencement of employment prior to all pre-employment checks being completed. | Executive Director of Workforce & OD | Executive Director of Workforce & OD | Area Director/  Relevant AAD in line with Table B |
| 1. Authority to fill funded post on the establishment with permanent staff. | Executive Director of Workforce & OD | Directors | Area Director/  Relevant AAD in line with Table B |
| 1. Authority to extend Locum appointments | Chief Executive | Interim Managing Directors, Director of Operations, Mental Health Director and Area Directors for appointments over 12 months to 24 months. Executive Director of Nursing & Midwifery, Executive Director of Primary Care & Community Services, Executive Director of Therapies & Health Sciences and Executive Director of Workforce & OD/Director of MHLD for appointments over 24 months to 36 months only. | Area Director/  Relevant AAD in line with Table B |
| 1. The granting of additional increments to staff within budget in accordance with Terms & Conditions of Service | Executive Director of Workforce & OD | Directors with advice from Executive Director of Workforce & OD | Area Director/  Relevant AAD in line with Table B |
| 1. All requests for upgrading/ regrading/ major skill mix changes shall be dealt with in accordance with LHB Procedure | Executive Director of Workforce & OD | Directors with advice from Executive Director of Workforce & OD | Area Director/  Relevant AAD in line with Table B |
| 1. Authority to agree acting up salaries for staff other than Executive Directors (Approval of acting up salaries for interim Executive Directors to be retained by Remuneration & Terms of Service Committee) | Chief Executive to agree acting up arrangements of Band 9 and above (Excluding Executive Directors) | Directors lead for acting up salaries up to Band 8d or equivalent. | Area Director/  Relevant AAD in line with Table B |
| 1. Establishments: |  |  |  |
| Additional staff to the agreed establishment with specifically allocated finance | Chief Executive | Directors with approval from Executive Director of Finance | Area Director/  Relevant AAD in line with Table B |
|  |  |  |  |
| Additional staff to the agreed establishment without specifically allocated finance. | Chief Executive | Executive Director of Finance | Area Director/  Relevant AAD in line with Table B |
| Variation to the funded establishment | Chief Executive | Directors with approval from Executive Director of Finance | Area Director/  Relevant AAD in line with Table B |
| 1. Pay |  |  |  |
| Authority to complete standing data forms effecting pay, new starters, changes and leavers | Executive Director of Workforce & OD | Directors | Area Director/  Relevant AAD in line with Table B |
| Authority to complete and authorise timesheets and payroll returns | Executive Director of Workforce & OD | Directors | Area Director/  Relevant AAD in line with Table B |
| Authority to authorise overtime | Executive Director of Workforce & OD | Directors | Area Director/  Relevant AAD in line with Table B |
| Authority to authorise travel & subsistence expenses | Executive Director of Workforce & OD | Directors | Area Director/  Relevant AAD in line with Table B |
| Maintenance of a list of managers authorised to sign payroll and travel expense documentation. | Executive Director of Workforce & OD | Directors | Area Director/  Relevant AAD in line with Table B |
| 1. Leave |  |  |  |
| Approval of annual leave in accordance with LHB policy | Executive Director of Workforce & OD | Directors | Area Director/  Relevant AAD in line with Table B |
| Carry over of annual leave in exceptional circumstances up to a maximum of 5 days | Executive Director of Workforce & OD | Directors | Area Director/  Relevant AAD in line with Table B |
| Compassionate leave | Executive Director of Workforce & OD | Directors | Area Director/  Relevant AAD in line with Table B |
| Special leave arrangements (to be applied in accordance with All Wales Policy) | Executive Director of Workforce & OD | Directors | Area Director/  Relevant AAD in line with Table B |
| Leave without pay | Executive Director of Workforce & OD | Directors | Area Director/  Relevant AAD in line with Table B |
| Medical Staff Leave of Absence – paid and unpaid | Executive Director of Workforce & OD | Directors | Area Director/  Area Medical Director |
| Consultants Special Leave | Executive Medical Director | Directors | Area Director / Area Medical Director |
| Time off in lieu | Executive Director of Workforce and OD | Directors | Area Director/  Relevant AAD in line with Table B |
| Maternity / Paternity Leave – paid and unpaid | Executive Director of Workforce & OD | Directors | Area Director/  Relevant AAD in line with Table B |
| 1. Annualised hours/flexible working hours system- maintenance of adequate records | Executive Director of Workforce & OD | Directors | Area Director/  Relevant AAD in line with Table B |
| 1. Sick Leave |  |  |  |
| Extension of sick leave on half pay up to three months | Executive Director of Workforce & OD | Directors in conjunction with Executive Director of Workforce & OD | Area Director/  Relevant AAD in line with Table B |
| Return to work part-time on full pay to assist recovery | Executive Director of Workforce & OD | Directors in conjunction with Executive Director of Workforce & OD | Area Director/  Relevant AAD in line with Table B |
| Extension of sick leave on full pay | Executive Director of Workforce & OD | Directors in conjunction with Executive Director of Workforce & OD | Area Director/  Relevant AAD in line with Table B |
| 1. Study Leave |  |  |  |
| Study leave outside the UK (non-medical staff excluding clinical staff) | Executive Director of Workforce & OD | Directors | Area Director/  Relevant AAD in line with Table B |
| Medical staff study leave (UK) | Executive Medical Director/Executive Director of Workforce & OD/ Executive Director of Primary Care & Community Services | Directors | Area Director / Area Medical Director |
| Consultant Medical Staff Leave (UK) | Executive Medical Director | Directors | Area Director / Area Medical Director |
| All Medical and non-Medical Clinical Staff study leave outside the UK | Executive Medical Director/Exec-utive Director of Nursing & Midwifery/Exe-cutive Director of Therapies & Health Science/Exec-utive Director of Primary Care & Community Services | Directors | Area Director / Area Medical Director |
| All other study leave (UK) | Executive Director of Workforce & OD | Directors | Area Director/  Relevant AAD in line with Table B |
| 1. Removal Expenses |  |  |  |
| Authorisation of payment of removal expenses incurred by officers taking up new appointments (providing consideration was promised at interview) | Executive Director of Workforce & OD | Directors in accordance with BCU HB policy/approval from the Executive Director of Workforce & OD | Area Director/  Relevant AAD in line with Table B |
| 1. Grievance Procedure | Executive Director of Workforce & OD | Directors | Area Director |
| 1. Professional Misconduct/Competence-Medical and Dental Staff | Executive Medical Director/Exec-utive Director of Workforce & OD | Assistant Medical Directors supported by Workforce & OD | Area Director / Area Medical Director |
| 1. Suspension of Doctors employed directly by the LHB | Chief Executive | Executive Medical Director supported by Executive Director of Workforce & OD | Area Director / Area Medical Director |
| 1. Removal of Practitioner from the Performers List | Chief Executive | Executive Medical Director supported by Executive Director of Workforce & OD and Executive Director of Primary Care & Community Services | Area Director Area medical Dircetor |
| 1. Requests for new posts to be authorised as car users | Executive Director of Finance | Directors | Area Director/  Relevant AAD in line with Table B |
| 1. Renewal of Fixed Term Contract | Executive Director of Workforce & OD | Directors | Area Director/  Relevant AAD in line with Table B |
| 1. Voluntary Early Release Scheme | Executive Director of Workforce & OD | Executive Director of Workforce & OD, with Executive Director of Finance for sign off of financial viability | Area Director |
| 1. Settlement on termination of employment | Executive Director of Workforce & OD | Executive Director of Workforce & OD with approval from Welsh Government where the payment is Ex-gratia and exceeds the delegated limit of £50,000 | Area Director |
| 1. Ill Health Retirement   Decision to pursue retirement on the grounds of ill-health following advice from Workforce & OD Department | Executive Director of Workforce & OD | Executive Director of Workforce & OD | Area Director/  Relevant AAD in line with Table B |
| 1. Disciplinary Procedure(excluding Executive Directors) | Executive Director of Workforce & OD | Directors | Area Director, Nurse or Medical Director  (Relevant AAD in line with Table B) |
| 1. **Engagement of Staff Not On the Establishment** |  |  |  |
| For details of Delegated Limits, please refer to Table B |  |  |  |
| 1. Non clinical Consultancy Staff | Executive Director of Finance | Director accountable for relevant service | Area Director, Nurse or Medical Director  (Relevant AAD in line with Table B |
| 1. Medical Locum staff | Executive Medical Director | Director accountable for relevant service. | Area Director/ Area Medical Director /  Relevant AAD in line with Table B |
| 1. Booking of Agency Nursing Staff | Executive Director of Nursing & Midwifery | Director accountable for relevant service | Area Director/ Nurse Director  Relevant AAD in line with Table B |
| 1. Booking of Bank Staff: |  |  |  |
| Nursing | Executive Director of Nursing & Midwifery | Director accountable for relevant service | Area Director/ Nurse Director  Relevant AAD in line with Table B |
| Other | Executive Director of Workforce & OD | Director accountable for relevant service | Area Director/  Relevant AAD in line with Table B |
|  |  |  |  |
| 1. **Charitable Funds Held on Trust** |  |  |  |
| For details of Delegated Limits, Please refer to Table B |  |  |  |
| 1. Management:   Funds held on Trust are managed appropriately | Executive Director of Finance | Directors | Area Director / CFO |
| 1. Maintenance of authorised signatory list of Authorised Fund Holders | Executive Director of Finance | Executive Director of Finance | Area CFO |
| 1. Expenditure | Executive Director of Finance | Refer to Table B – Delegated limits | Area Director/  Relevant AAD in line with Table B |
| 1. Fundraising Appeals – Preparation/Monitoring/Reporting progress and performance | Executive Director of Finance | Executive Director of Finance | Area Director/  Relevant AAD in line with Table B |
| 1. Operation of Bank Accounts: |  |  |  |
| Managing banking arrangements and operation of bank accounts | Executive Director of Finance in conjunction with Corporate Trustees | Executive Director of Finance | N/.A |
| Opening bank accounts | Board | Executive Director of Finance | N/A |
| 1. Investments – Policy and Arrangements | Executive Director of Finance in conjunction with Corporate Trustees | Executive Director of Finance | N/A |
| 1. Authority to accept the discharge of a donor’s estate | Executive Director of Finance | Executive Director of Finance | N/A |
|  |  |  |  |
| 1. **Primary Care Patient Services/ Healthcare Agreements**   For details of Delegated Limits, please refer to Table B – Healthcare Agreements |  |  |  |
| 1. Contract negotiation and provision of service agreements | Executive Director of Finance / Executive Director of Primary Care & Community Services | Executive Director of Planning & Performance | Area Director/  Relevant AAD in line with Table B |
| 1. Reporting actual and forecast contract income | Executive Director of Finance | Executive Director of Finance | Area CFO |
| 1. Pricing of all contracts and SLAs | Executive Director of Finance | Executive Director of Finance with relevant Director | Area Director / CFO |
| 1. Signing agreements | Chief Executive | Chief Executive or Executive Director of Finance in Chief Executive’s absence/Executive Director of Primary Care & Community Services for all primary care related agreements | Area Director  Or where applicable Relevant AAD in line with Table B |
|  |  |  |  |
| 1. **Income Systems, Fees and Charges** |  |  |  |
| 1. Private Patients, Overseas Visitors, Income Generation and other patient related services | Executive Director of Finance | Executive Director of Finance | Area CFO – Via Financial Services |
| 1. Pricing of NHS agreements | Executive Director of Finance | Assistant Directors of Finance | Area CFO – Via Financial Services |
| 1. Informing the Director of Finance of monies due to the LHB | Executive Director of Finance | Directors | Area CFO – Via Financial Services |
| 1. Recovery of debt | Executive Director of Finance | Executive Director of Finance | Area CFO – Via Financial Services |
| 1. Security of cash and other negotiable instruments | Executive Director of Finance | Executive Director of Finance and all Directors | Area CFO – Via Financial Services |
| 1. Designing, maintaining and ensuring compliance with systems for the proper recording, invoicing, collection and coding of all monies due | Executive Director of Finance | Director of Finance (Operational) | Area CFO – Via Financial Services |
| 1. Non patient care income | Executive Director of Finance | Executive Director of Finance | Area CFO – Via Financial Services |
|  |  |  |  |
| 1. **Disposal and Condemnations**   Disposal of all property and land require formal approval by the Cabinet Secretary for Health, Well-Being & Sport |  |  |  |
| 1. Issuing procedure for the disposal of assets obsolete, obsolescent, redundant, irreparable or cannot be repaired cost effectively | Executive Director of Finance | Executive Director of Finance/Executive Director of Planning & Performance | Area CFO – Via Financial Services |
| 1. Notification to Director of Finance prior to disposal | Executive Director of Finance | Directors | Area CFO – Via Financial Services |
|  |  |  |  |
| 1. **Losses, Write-offs & Compensation** |  |  |  |
| 1. Prepare procedures for recording and accounting for losses and special payments including preparation of a fraud response plan and informing Counter Fraud Operational Services of frauds. | Chief Executive | Executive Director of Finance | Area CFO – Via Financial Services |
| 1. Losses of cash due to theft, fraud, overpayment of salaries, fees, allowances & other causes up to £50,000 | Chief Executive | Executive Director of Finance | Area Director |
| 1. Fruitless payments (including abandoned Capital Schemes) up to £250,000 | Chief Executive | Executive Director of Finance | N/A |
| 1. Bad debts and claims abandoned: Private patients; overseas visitors & other cases up to £50,000 | Chief Executive | Executive Director of Finance | Area Director |
| 1. Damage to buildings, their fittings, furniture and equipment and loss of equipment and property in stores and in use due to: Culpable causes (e.g. fraud, theft, arson) or other up to £50,000 | Chief Executive | Executive Director of Finance | Area Director |
| 1. For personal and public liability claims, under the Legal & Risk scheme, authorisation from Legal & Risk is required before admissions may be made and monetary compensation offered. (Ex-gratia settlements offered by the LHB are by definition not payments based upon legal liability and are, therefore, not reimbursable under the WRP scheme) | Chief Executive | Executive Director of Nursing & Midwifery supported by the relevant Director after seeking appropriate legal advice, up to a max £150,000 | Area Director |
| 1. Compensation payments made under legal obligation: | Chief Executive | Chief Executive, Executive Director of Finance or Executive Director of Nursing & Midwifery | Area Director |
| 1. Extra contractual payments to contractors – Up to £50,000 as specified within the Losses and Special Payments Manual of Guidance | Chief Executive | Executive Director of Finance with reporting to the Audit Committee | Area Director |
|  |  |  |  |
| * 1. **Ex-Gratia Payments:** |  |  |  |
| 1. Patients and staff for loss of personal effects up to £50,000 | Chief Executive | Executive Director of Finance- Refer to Finance Policy on Losses and Special Payments | Area Director |
| 1. For clinical negligence up to £250,000 (negotiated settlements)\*. Report to Board > £50,000 (see also table B para.15) | Chief Executive | Executive Director of Finance/Executive Director of Nursing & Midwifery | N/A |
| 1. For clinical negligence over £250,000 and up to £1,000,000\* (negotiated settlements). Report to Board> £50,000 (see also table B para.15) | Chair | Chief Executive/ Executive Director of Finance/Executive Director of Nursing & Midwifery | Area Director |
| 1. For personal injury claims involving negligence where legal advice has been obtained and guidance applied up to £250,000 (including plaintiff’s costs) Report to Board > £50,000 | Chief Executive | Chief Executive/ Executive Director of Finance/Executive Director of Workforce & OD/ Executive Director of Nursing & Midwifery | N/A |
| 1. For personal injury claims involving negligence where legal advice has been obtained and guidance applied up to £1,000,000 Report to Board > £50,000\* | Board | Chief Executive/Executive Director of Finance/Executive Director of Nursing & Midwifery | N/A |
| 1. Other, except cases for maladministration where there was no financial loss by claimant, up to £50,000 | Chief Executive | Executive Director of Finance/Executive Director of Nursing & Midwifery | Area Director |
| **\* For all clinical negligence and personal injury cases(including Court cases) the use of structured settlements should be considered involving costs to the NHS of £250,000 or more – All structured settlements require approval from the Welsh Government** | | | |
|  |  |  |  |
| 1. **Reporting of Incidents to the Police** |  |  |  |
| 1. Where a criminal offence is suspected |  |  |  |
| Criminal offence of a sexual or violent nature | Chief Executive | Executive Director of Workforce & OD | Area Director |
| Arson or theft | Executive Director of Planning & Performance | Director of Estates & Facilities | Area Director |
| Other | Executive Director of Planning & Performance | Director of Estates & Facilities | Area Director |
|  |  |  |  |
| 1. **Financial Procedures** |  |  |  |
| 1. Maintenance & Update of LHB Financial Procedures | Executive Director of Finance | Executive Director of Finance | Area CFO |
|  |  |  |  |
| 1. **Audit Arrangements** |  |  |  |
| 1. Review, appraise and support in accordance with Internal Audit standards for NHS Wales and best practice | Chair of the Audit Committee | Board Secretary/Head of Internal Audit | Area Director |
| 1. Provide an independent and objective view on internal control and probity | Chief Executive | Head of Internal Audit/Wales Audit Office | Area Director |
| 1. Ensure Cost-effective external audit | Chair of Audit Committee | Executive Director of Finance | N/A - DoF |
| 1. Ensure an adequate internal audit service | Chief Executive | Board Secretary | N/A – Board Secretary |
| 1. Implement recommendations | Chief Executive | All relevant Directors | Area Director |
|  |  |  |  |
| 1. **Legal Proceedings** |  |  |  |
| 1. Engagement of LHB’s Solicitors | Chief Executive | Board Secretary for all Board related matters/Executive Director of Workforce & OD for all employment related matters/Executive Director of Planning & Performance for all estate related matters/Executive Director of Primary Care & Community Services for all Primary Care related matters. | Area Director |
| 1. Approve and sign all documents which will be necessary in legal proceedings | Chief Executive | Any Director of the Board or an officer formally nominated by the Chief Executive | Area Director |
| 1. Sign on behalf of the LHB any agreement or document not requested to be executed as a deed | Chief Executive | Any Director of the Board or an officer formally nominated by the Chief Executive | Area Director |
|  |  |  |  |
| 1. **Insurance Policies and Risk Management** | Chief Executive | Executive Director of Finance/ Deputy CEO | Area Director – where relevant |
|  |  |  |  |
| 1. **Clinical Audit** | Chief Executive | Executive Medical Director | Area Medical Director |
|  |  |  |  |
| 1. **Patients’ Property (in conjunction with financial advice)** |  |  |  |
| For details of Delegated Limits, please refer to Table B – Petty Cash/Patients Monies |  |  |  |
| 1. Ensuring patients and guardians are informed about patients’ monies and property procedures on admission | Executive Director of Nursing & Midwifery | Directors | Area Director/  Relevant AAD in line with Table B |
| 1. Prepare detailed written instructions for the administration of patients’ property | Executive Director of Nursing & Midwifery | Executive Director of Finance | Area Director/  Relevant AAD in line with Table B |
| 1. Informing staff of their duties in respect of patients’ property | Executive Director of Nursing & Midwifery | Directors | Area Director/  Relevant AAD in line with Table B |
| 1. Issuing property valued >£5,000 only on production of a probate letter of administration | Executive Director of Finance | Executive Director of Finance | Area Director/  Relevant AAD in line with Table B |
|  |  |  |  |
| 1. **Patients & Relatives Complaints** |  |  |  |
| 1. Overall responsibility for ensuring that all complaints are dealt with effectively | Chief Executive | Executive Director of Nursing & Midwifery | Area Director / Area Nurse Director |
| 1. Responsibility for ensuring complaints are investigated thoroughly | Chief Executive | Executive Director of Nursing & Midwifery | Area Director / Area Nurse Director |
| 1. Medical – Legal Complaints Co-ordination of their management | Chief Executive | Executive Director of Nursing & Midwifery | Area Director / Area Nurse Director |
|  |  |  |  |
| 1. **Seal** |  |  |  |
| 1. The keeping of a register of seal and safekeeping of the seal | Chief Executive | Board Secretary | N/A |
| 1. Attestation of seal in accordance with Standing Orders | Chief Executive/Chair | Board Secretary | N/A |
|  |  |  |  |
| 1. **Gifts and Hospitality** |  |  |  |
| 1. Keeping of gifts and hospitality register | Chief Executive | Board Secretary | Area CFO |
|  |  |  |  |
| 1. **Declaration of Interests** |  |  |  |
| 1. Maintaining a register | Chief Executive | Board Secretary | Area CFO |
|  |  |  |  |
| 1. **Informatics and the Data Protection Act** |  |  |  |
| 1. Review of LHB’s compliance with the Data Protection Act | Chief Executive | Deputy CEO | Area Director to ensure compliance |
| 1. Responsibility for Informatics policy and strategy | Executive Medical Director | Chief Information Officer | N/A |
| 1. Responsibility for ensuring that adequate management (audit) trails exist in Informatics systems | Executive Medical Director | Chief Information Officer | N/A |
|  |  |  |  |
| 1. **Records** |  |  |  |
| 1. Review LHB’s compliance with the Retention of Records Act and guidance | Chief Executive | Deputy CEO / Executive Medical Director | Area Director |
| 1. Approval for the destruction of records | Chief Executive | Deputy CEO / Executive Medical Director | Area Director |
| 1. Ensuring the form and adequacy of the financial records of all departments | Executive Director of Finance | Executive Director of Finance | Area Director |
|  |  |  |  |
| 1. **Authorisation of New Drugs** | Chief Executive | Executive Medical Director on the advice of the appropriate professional bodies | Area Director to Implement D&T Approvals |
|  |  |  |  |
| 1. **Authorisation of Research Projects** | Executive Medical Director | Director of Research & Development | Area Director / Area Medical Director |
|  |  |  |  |
| 1. **Authorisation of Clinical Trials** | Chief Executive | Executive Medical Director | Area Director / Are Medical Director |
|  |  |  |  |
| 1. **Infectious Diseases & Notifiable Outbreaks – outbreak control / public health monitoring and surveillance / provision of public health advice** | Chief Executive | Executive Director of Public Health | Area Medical Director |
|  |  |  |  |
| 1. **Review of Fire Precautions** | Chief Executive | Executive Director of Planning & Performance | Director of Estates to advise Area Dircetor |
|  |  |  |  |
| 1. **Health & Safety** |  |  |  |
| Review of all statutory compliance legislation and Health and Safety requirements including control of Substances Hazardous to Health Regulations | Chief Executive | Executive Director of Workforce & OD | Area Director to implement Corporate Review, Polilcy, Procedure, etc |
|  |  |  |  |
| 1. **Medicines Inspectorate Regulations** |  |  |  |
| Review Regulations Compliance | Chief Executive | Executive Medical Director supported by Chief Pharmacist | Area Medical Director |
| 1. **Environmental Regulations** |  |  |  |
| Review of compliance with environmental regulations, for example those relating to clean air and waste disposal | Chief Executive | Executive Director of Planning & Performance | Director of Estates |
|  |  |  |  |
| 1. **Legal & Risk Payments** | Chief Executive | Executive Director of Nursing & Midwifery/Executive Director of Finance | Area Director |
|  |  |  |  |
| 1. **Investigation of Fraud/Corruption or Financial Irregularities** | Executive Director of Finance | Lead Local Counter Fraud Specialist | Area Director |
|  |  |  |  |
| 1. **Commercial Sponsorship** |  |  |  |
| Agreement to proposal in accordance with BCU HB procedures | Chief Executive | Executive Director of Finance | Area Director / Area CFO |
|  |  |  |  |
| 1. **Cost/Notional Rent/Third Party Developer/Improvement Grants** |  |  |  |
| Approval of all schedules of payments | Chief Executive | Executive Director of Primary Care & Community Services | Area Director |
| Submission to Welsh Government for all new GP premises or major extensions in accordance with BCU HB Primary Care Estates Strategy | Chief Executive | Executive Director of Primary Care & Community Services | Area Director |
|  |  |  |  |
| 1. **Freedom of Information** | Chief Executive | Deputy CEO | Area Director |
|  |  |  |  |
| 1. **Compliance Lead Roles:** 2. **Caldicott Guardian** 3. **Data Protection Officer** 4. **Senior Information Risk Owner** | Executive Medical Director  Chief Executive  Chief Executive | Senior Associate Medical Director  Assistant Director of Information Governance and Assurance  Executive Director of Finance | Area Medical Director |
|  |  |  |  |
| 1. **Emergency Planning & Major Incidents – Civil Contingencies Act (Category 1 Responder)** | Chief Executive | Executive Director of Planning & Performance | Area Director |
|  |  |  |  |
| 1. **National Health Services (Wales) Act 2006 Section 33 Agreements: Arrangements between NHS Bodies and Local Authorities** | Chief Executive | Executive Director of Finance | Area Director |
|  |  |  |  |
| 1. **Statutory compliance with respective Legislation** | Chief Executive | Board Secretary | Area Director |
| 1. **National Health Service (Appointment of Consultants) (Wales) (Amendment) Regulations 2005 (Statutory Instrument 2005: 3039) Appointment of all Medical and Dental Consultant posts. Consultant posts within Public Health that are open to both medically qualified and those qualified in other disciplines other than medicine should follow this process, even though they fall outside of the requirements of the Statutory Instrument.** | Chief Executive | Executive Directors / Director of MHLD / Director of Operations | Area Medical Director |
|  |  |  |  |
| 1. **All Wales Policy: Making Decisions on Individual Patient Funding Requests (IPFR)** | Chief Executive | WHSSC IPFR Panel £300,000 to £1,000,000;  Chief Executive up to £299,999; Chair and Vice Chair of Health Board IPFR Panel together sign up to £125,000 | Area Medical Director / Area Nurse Director |
| \* The IPFR Panel cannot make policy decisions for the health board. Any policy proposals arising from their considerations and decisions must be reported to the Health Board Quality, Safety & Experience Committee |  |  |  |
|  |  |  |  |
| 1. **Carbon Reduction Commitment Order (Phase 2) Agency Registration** | Chief Executive | Executive Director of Planning and Performance | N/A Director of Estates |
|  |  |  |  |
| 1. **Human Tissue Act 20014** | Chief Executive | Executive Director of Therapies & Health Sciences | Area Director |
|  |  |  |  |
| 1. **Ionising Radiation (Medical Exposure) Regulations 2017** | Chief Executive | Executive Director of Therapies & Health Sciences | Area Director |
|  |  |  |  |
| 1. **Nurse Staffing Levels Act (Wales) 2016** | Chief Executive | Executive Director of Nursing & Midwifery | Area Director / Area Nurse Director |
|  |  |  |  |
| 1. **Welsh Language Standard Reporting** | Chief Executive | Executive Director of Public Health | Area Director |
| 1. **Controlled Drugs Accountable Officer** | Chief Executive | Chief Pharmacist | Area Director and AAD Medicines Mgt as guided by the Chief Pharmacists |

**Table B – Scheme of Financial Delegation**

*Financial Limits are subject to funding available within relevant budget(s) and are inclusive of VAT irrespective of recovery arrangements.*

*All purchases must ensure compliance with Standing Financial Instruction Schedule 1 -*

*Procurement of Works, Goods and Services with regard to the required quotation or Tendering exercise.*

|  | **Budget changes** | **General expenditure** | **Healthcare agreements** | **Capital (Business Case and Contractual Commitment approvals)** | | | **Specialist** | | | | **Charitable Funds** | | **Procurement waivers** | **Staffing** | |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
|  |  | **Any expenditure approval must be within funding limits of approved budgets.**  **Approval limits are cumulative, and therefore higher level approval limits must be supported by lower level approvals.**  **Executive Directors and Directors, Area Directors, and Hospital Care Directors to determine scheme of delegation within their structures.** | | | | | | | | | | | | | |
|  | Budget transfers between Corporate Departments, Area Teams or Hospital Teams(Virements) | Individual orders / requisitions / annual order value or total contract value (unless otherwise noted) | Healthcare agreements (NHS and Private sector)(annual value)  (Primary Care contracts approved by Board) | Building and engineering orders; related consultancy support(individual contractual commitment) | Medical devices; plant; machinery; related consultancy support(individual contractual commitment) | IM&T; telecoms systems; software; related consultancy (individual contractual commitment) | Property or equipment leases(granting or termination of leases; annual value) | External consultancy support (total contract value for duration of service) | Losses / Special Payments  (Terminations approved by Exec.Director of W&OD; VERS by RATS C’ttee) | New drugs (value based on annual costs) | Locally held funds(total funding bid value) | General funds(total funding bid value) | All values | New posts (additional establishm’t) | Agency and Waiting List Initiatives (all values) |
| WG (In advance of contract planning) | No requirement | £1m plus | £1m plus (Private sector) | £1m plus | £1m plus | £1m plus | No requirement | £1m plus | See Manual of Guidance for losses and SFIs, as special rules apply for certain losses and ex gratia payments. | No requirement | No requirement | No requirement | No requirement | No requirement | No requirement |
| Board following Chief Executive approval | £1m plus | £1m plus | Over £10m approved in advance, below £10m retrospectively reported.  Over £1m for Private sector. | £1m plus | £1m plus | £1m plus | £0.5m plus or any which need signing under seal (Reservation of Power, Number 33) | £0.5m plus | £1m plus | No requirement | No requirement | No requirement | No requirement | No requirement |
| Audit Committee |  |  |  |  |  |  |  |  |  |  |  |  | Retrospective reporting |  |  |
| Charitable Funds Committee (all Executives can authorise use of charitable funds up to £5k) |  |  |  |  |  |  |  |  |  |  | Over £5k  (Up to £25k scrutinised by CF Advisory Group) | Over £5k  (Up to £25k scrutinised by CF Advisory group) |  |  |  |
| CEO through Executive Team | £0.5m to £1m | £0.5m to £1m | New or contract variation to £10.0m. | £0.5m to £1m | £0.5m to £1m | £0.5m to £1m | £250k to £0.5m | £250k to £0.5m | £0.5m to £1.0m | £0.5m to £1.0m | Up to £5k | Up to £5k | As escalated by DoF | Can approve new posts across LHB | No requirement |
| Any 2 of CEO, Director of P&P and DoF  (must include DoF) |  | Up to £0.5m | New or contract variation to £5.0m  (to £1m for Private sector). |  |  |  |  | Up to £250k |  | Up to £0.5m |  |  | As escalated by DoF |  |  |
| Executive Director of Finance | Up to £0.5m | Up to £250k |  | Up to £0.5m | Up to £0.5m | Up to £0.5m | Up to £250k | Up to £100k | Up to £0.5m |  | Up to £5k | Up to £5k | As escalated by FD: OF | Can approve new posts within own structure. | Must approve in advance in own structure. |
| Executive Directors, Board Secretary, Director of Mental Health and Learning Disabilities, Interim Director of Operations (unless noted below) |  | Up to £250k |  |  |  |  |  | Up to £100k |  |  |  |  | Waivers must be approved by FD: OF and Exec.Director of Finance or Chief Executive if escalated by FD: OF | Can approve new posts within own structure. | Must approve in advance in own structure. |
| Executive Director of Primary Care & Cty Services |  | Up to £250k |  |  |  |  |  | Up to £100k |  |  |  |  | Can approve new posts within own structure. | Must approve in advance in own structure. |
| Executive Director of Planning & Performance |  | Up to £250k |  | Up to £0.5m | Up to £0.5m |  | Up to £250k | Up to £100k |  |  |  |  | Can approve new posts within own structure. | Must approve in advance in own structure. |
| Executive Medical Director |  | Up to £250k |  |  |  | Up to £0.5m |  | Up to £100k |  |  |  |  | Can approve new posts within own structure. | Must approve in advance in own structure. |
| Executive Director of W&OD |  | Up to £250k |  |  |  |  |  | Up to £100k | Terminations up to £50k (over this to WG) |  |  |  | Can approve new posts within own structure. | Must approve in advance in own structure. |
| Executive Director of Nursing & Midwifery  Executive Director of Therapies & Health Sciences |  | Up to £250k  Up to 250k |  |  | Up to £150k |  |  | Up to £100k  Up to £100k | Up to £150k  ------------------ |  |  |  | Can approve new posts within own structure. | Must approve in advance in own structure. |

|  | **Budget changes** | **General expenditure** | **Healthcare agreements** | **Capital** | | | **Specialist** | | | | **Charitable Funds** | | **Procurement waivers** | **Staffing** | |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
|  |  | **Any expenditure approval must be within funding limits of approved budgets.**  **Approval limits are cumulative, and therefore higher level approval limits must be supported by lower level approvals.**  **Executive Directors and Directors, Area Directors, and Hospital Care Directors to determine scheme of delegation within their structures.** | | | | | | | | | | | | | |
|  | Budget transfers between Corporate Departments, Area Teams or Hospital Teams(Virements) | Individual orders / requisitions / annual order value or total contract value (unless otherwise noted) | Healthcare agreements (NHS and Private sector)(annual value)  (Primary Care contracts approved by Board) | Building and engineering orders; related consultancy support(individual contractual commitment) | Medical devices; plant; machinery; related consultancy support(individual contractual commitment) | IM&T; telecoms systems; software; related consultancy (individual contractual commitment) | Property or equipment leases(granting or termination of leases; annual value) | External consultancy support (total contract value for duration of service) | Losses / Special Payments  (Terminations only approved by Exec Director of W&OD; VERS require RATS Committee) | New drugs (value based on annual costs) | Locally held funds(total funding bid value) | General funds(total funding bid value) | All values | New posts (additional establishm’t) | Agency and Waiting List Initiatives (all values) |
| Area Directors , Director of Mental Health & Learning Disabilities, Interim Director of Operations | **Co-sign all budget changes In /Out of Area bottom line** | Up to £250k | New or contract variation to £1.5m |  | Up to £250k |  |  | Up to £100k | up to £50k subject to Executive Team Review | Up to £100k, following Med Mgt Group | Up to £5k |  |  | Can approve new posts within own team. | As escalated by Direct Reports\* |
| Area Medical Director | Changes within own delegated budget |  |  |  |  |  |  |  |  |  | Up to £5k |  |  | Can approve new posts within own team. | Medical staff\* |
| Area Nurse Directors | Changes within own delegated budget |  | Up to £150k |  | Up to £150k |  |  | Up to £50k |  |  | Up to £5k |  |  | Can approve new posts within own team. | Nurse or other staff\* |
| Secondary Care Medical Director |  | Up to £150k |  |  | Up to £150k |  |  | Up to £150k |  |  | Up to £5k |  |  |  | Medical staff\* |
| Secondary Care Nurse Director |  | Up to £150k |  |  | Up to £150k |  |  | Up to £150k |  |  | Up to £5k |  |  |  | Nurse or other staff\* |
| Interim Managing Directors |  | Up to £150k |  |  | Up to £150k |  |  | Up to £50k |  |  | Up to £5k |  |  | Can approve new posts within own team. | As escalated by Direct Reports\* |
| Director of Estates & Facilities |  | Up to £150K |  | Up to £150K | Up to £150K |  |  | Up to £50K |  |  |  |  |  |  |  |
| Hospital: Site Medical Director |  | Up to £100k |  |  | Up to £100k |  |  |  |  |  |  |  |  | Can approve new posts within own team. | As escalated by Direct Reports\* |
| Hospital: Site Nurse Director |  | Up to £100k |  |  | Up to £100k |  |  |  |  |  |  |  |  | Can approve new posts within own team. | As escalated by Direct Reports\* |
| Hospital Directors |  | Up to £100k |  |  | Up to £100k |  |  |  |  |  |  |  |  | Can approve new posts within own team. | As escalated by Direct Reports\* |
| Procurement (NWSSP) |  |  |  |  |  |  |  |  |  |  |  |  | All signed off by Procurement |  |  |
| Assistant Director of Service User Experience |  | Up to £75k |  |  |  |  |  |  | Up to £75k |  |  |  |  |  |  |
| Deputy / Assistant Director to the Board Secretary |  | Up to £75k |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Assistant Director Primary Care |  | Up to £75k | Up to £75k |  | Up to £75k |  |  | Up to £75k |  |  | Up to £5k |  |  |  |  |
| Assistant Director Secondary Care |  | Up to £75k | Up to £75k |  | Up to £75k |  |  | Up to £75k |  |  | Up to £5k |  |  |  |  |
| Head of Investigations and Redress |  |  |  |  |  |  |  |  | Up to £20k |  |  |  |  |  |  |
| Claims Managers |  |  |  |  |  |  |  |  | Up to £5k |  |  |  |  |  |  |
| Authorised fund holder (Charitable Funds) |  |  |  |  |  |  |  |  |  |  | Up to £5k |  |  |  |  |
| Medicines Management Group |  |  |  |  |  |  |  |  |  | All new drugs, unless cheaper than existing |  |  |  |  |  |
| Area CFO | Co-sign all budget changes In /Out of Area bottom line | Up to £100k | Up to £100k |  | Up to £100k |  |  | Up to £25k |  |  | Up to £5k |  |  | Can approve new posts within own Area. |  |
| Clinical Director of Therapies **(NOTE – SEE TABLE C BELOW)** | Changes within Therapies budgets | Up to £100k | Up to £100k |  | Up to £100k |  |  | Up to £25k |  |  | Up to £5k |  |  | Can approve new posts within own Area. | Within own Service Area – up to £5k per individual item |
| Area AAD : Head of Therapies | Changes within own delegated budget | Up to £50k | Up to £50k |  | Up to £50k |  |  | Up to £15k |  |  | Up to £5k |  |  | Can approve new posts within own Service. | Within own Service Area – up to £5k per individual item |
| Area AAD : Head of Medicines Management | Changes within own delegated budget | Up to £100k | Up to £100k |  | Up to £50k |  |  | Up to £15k |  |  | Up to £5k |  |  | Can approve new posts within own Service. | Within own Service Area – up to £5k per individual item |
| Area AAD : Head of Primary Care & Community Services | Changes within own delegated budget | Up to £50k | Up to £50k |  | Up to £50k |  |  | Up to £15k |  |  | Up to £5k |  |  | Can approve new posts within own Service. | Within own Service Area – up to £5k per individual item |
| Area AAD : Head of Medical Specialties & Community Hospitals | Changes within own delegated budget | Up to £50k | Up to £50k |  | Up to £50k |  |  | Up to £15k |  |  | Up to £5k |  |  | Can approve new posts within own Service. | Within own Service Area – up to £5k per individual item |
| Area AAD : Head of Children’s Services | Changes within own delegated budget | Up to £50k | Up to £50k |  | Up to £50k |  |  | Up to £15k |  |  | Up to £5k |  |  | Can approve new posts within own Service. | Within own Service Area – up to £5k per individual item |
| Area AAD : Head of Dental Services | Changes within own delegated budget | Up to £50k | Up to £50k |  | Up to £50k |  |  | Up to £15k |  |  | Up to £5k |  |  | Can approve new posts within own Service. | Within own Service Area – up to £5k per individual item |
| \* Agency and Waiting List Initiatives must generally be approved in advance. However, in exceptional circumstances when staff are required out of hours, they can be approved retrospectively. | | | | | | | | | | | | | | | |

This scheme only relates to matters delegated by the Board to the Chief Executive and Directors, together with certain other specific matters referred to in Standing Financial Instructions. Each Director is responsible for delegation within their department. They should produce an Operational Scheme of Delegation and Authorisation for matters within their department, which should also set out how departmental budget and procedures for approval of expenditure are delegated.

[From Updated Master SoRD ratified at January 2020 Board Meeting v22.0]

**Table C –Specific Scheme of Financial Delegation for: *Clinical Director of Therapies***

**This specific section formally recognises the Role of the Clinical Director of Therapies (CDoT) and the authority and responsibility for Therapy Services and Resources cutting across all 3 Area Divisions.**

| **Delegated Matter** | **Authority level** |
| --- | --- |
| Budget (and Service) Accountability | The CDoT will be issued for signature, a single consolidated Budget Accountability Agreement for ALL Therapy Budgets, whether they sit within an individual Area (West, Centre, East) or are held Corporately (currently within Other North Wales)  The CDoT will be will be held accountable through the individual Area Finance and Performance meeting or equivalent and through accountability meetings with the individual Area Directors  The CDoT will also be held jointly accountable alongside the Area and Hospital Directors, as appropriate, at the Executive Accountability Performance Reviews |
| Budget Reporting | The CDoT will receive a consolidated Monthly Report for All Therapy Budgets |
| CRES Targets & Cost Pressures | The CDoT will be consulted on in respect of all Savings and Cost Pressures within the Divisional Therapy Budgets |
| Budget Virement | AAD Therapies retain operational budget virement responsibilities as set out within Table B, however the CDoT must approve any and all Budget Virements either **a)** that are above the AAD delegated limits, **b)** involve the movement of Budget in or out of Therapies at the Divisional level, **c)** involve the movement of Therapies Budgets between and across Area Divisions |
| Non-Pay Expenditure | AAD Therapies retain authorisation responsibilities and levels as set out within Table B, however the CDoT must approve any and all non-pay expenditure (Oracle requisitions, Contracts, Tenders, etc) that are above the AAD Therapy limits set out in Table B, up to the £100k, £25k and £5k limits as set out in table B for the CDoT |
| Pay Expenditure | AAD Therapies retain authorisation responsibilities and levels as set out within Table B, however the CDoT **must** approve all Establishment Control (EC) requests as the “DMT Approver”, alongside the Area Director, CFO and Head of WOD.  The CDoT will sit on all 3 Divisional Vacancy Panels as required by the DToC. |
|  |  |
| Signed off by Board Secretary: APPROVED | |