

SECTION 2: SCHEME OF DELEGATION TO EXECUTIVE DIRECTORS, OTHER DIRECTORS AND OPERATIONAL BUDGET MANAGERS

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

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Schedule 1

SCHEME OF RESERVATION AND DELEGATION OF POWERS

Table A – Scheme of Delegation to Officers

Board Member Responsible: in line with the Standing Orders, delegated approval to the relevant Board Member, Board Committee or Executive Director.

Specific Delegation Where Applicable : The intention within the Operating Model is to delegate to the Operational Divisions wherever possible, however some Matters are either delegated through a Director, Associate or Assistant then to the Operational Division, or they are not delegate beyond this secondary level. This column sets out the delegation flow where relevant.

Operational Responsibility – where Matters are delegated to the Operational Divisions, the generic term “*Service Director*” has been used to identify the Accountable Lead, for example IHC Director, Director of Mental Health, Cancer, and Support Functions. It is also recognised that these Matters are delegated within Health Board Policy and where relevant are directly supported by Finance, People Services and other Support Functions.

| DELEGATED MATTER | BOARD MEMBER RESPONSIBLE | SPECIFIC DELEGATION WHERE APPLICABLE | OPERATIONAL RESPONSIBILITY |
|--|---|--------------------------------------|---|
| 1. Standing Orders / Standing Financial Instructions | | | |
| a) Final authority in interpretation of Standing Orders | Chair | Not Delegated | Not Delegated |
| b) 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 | Direct to Operational Services → | Service Director** (**Generic Title used for the 'Accountable Lead' across IHC, Pan BCU, Regional Directors and Support Functions) |
| c) 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 | Direct to Operational Services → | Service Director |
| d) Ensuring Standing Orders are compatible with Welsh Government requirements re building and engineering contracts | Chief Executive | Executive Director of Finance | Not Delegated |
| | | | |
| 2. Meetings | | | |
| a) Calling meetings of the LHB | Chair | Board Secretary | Not Delegated |

| DELEGATED MATTER | BOARD MEMBER RESPONSIBLE | SPECIFIC DELEGATION WHERE APPLICABLE | OPERATIONAL RESPONSIBILITY |
|--|--|---|---|
| b) Chair all LHB Board meetings and associated responsibilities | Chair or Vice Chair in Chair's absence | Not Delegated | Not Delegated |
| 3. Financial Planning/Budgetary Responsibility | | | All Matters locally supported by CFO / FD |
| a) Setting: Submit Three Year Plan and Annual Operating Plan to the LHB Board | Chief Executive | Executive Director of Transformation and Planning | Not Delegated |
| Submit budgets to the LHB Board | Chief Executive | Executive Director of Finance | Not Delegated |
| Submit to Board financial estimates and forecasts | Chief Executive | Executive Director of Finance | Not Delegated |
| b) Implementing financial policies, plans and procedures, providing advice and co-ordinating any corrective action necessary | Executive Director of Finance | Director: Operational Finance | Service Director |
| c) Issuing Budgets | Executive Director of Finance | Finance Director: Operational Finance | Service Director |
| d) Monitoring: Monitor performance against budget | Executive Director of Finance | Executive and Associate Directors | Service Director |
| Submit monitoring returns | Chief Executive | Executive Director of Finance | Not Delegated |
| Effective budgetary control and a balanced budget | Executive Director of Finance | Executive and Associate Directors | Service Director |
| Preparation of annual accounts and returns | Executive Director of Finance | Executive Director of Finance | Not Delegated |
| Identifying and implementing cost improvements and income generation initiatives | Executive Director of Finance | Executive and Associate Directors | Service Director |
| e) 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 <u>or</u> from capital to revenue/revenue to capital. Virement <u>between</u> different budget holders (Service Directors) requires the agreement of <u>both</u> parties. | Executive Director of Finance | Please refer to Table B – Delegated Limits | Service Director |
| f) Maintaining an effective system of internal financial control | Chief Executive | Executive Director of Finance | Service Director |
| g) Delivery of financial training to budget holders (Directors) | Executive Director of Finance | Finance Director: Operational Finance | Service Director |

| DELEGATED MATTER | BOARD MEMBER RESPONSIBLE | SPECIFIC DELEGATION WHERE APPLICABLE | OPERATIONAL RESPONSIBILITY |
|---|-------------------------------|--|--|
| 4. Bank/PGO Accounts (Excluding Charitable Fund Accounts) | | | |
| a) Operation: Managing banking arrangements and operation of bank accounts | Executive Director of Finance | Finance Director: Operational Finance | Not Delegated |
| Opening bank accounts | Executive Director of Finance | Finance Director: Operational Finance | Not Delegated |
| Authorisation of transfers between LHB bank accounts | Executive Director of Finance | Finance Director: Operational Finance | Not Delegated |
| Authorisation of: -PGO/GBS Schedules -BACS Schedules -Automated cheque schedules -Manual cheques | Executive Director of Finance | Finance Director: Operational Finance | Not Delegated to Service Directors. <u>NOTING</u> that Senior Finance Staff (CFO / FD) authorise contract / SLA / RIF payments |
| 5. Non Pay Expenditure | | | |
| For details of Delegated Limits refer to Table B | | | |
| a) 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 | Executive and Associate Directors | Service Director |
| b) Obtain the best value for money when requisitioning goods/services | Executive Director of Finance | Executive and Associate Directors | Service Director |
| c) Ensuring expenditure is within budget | Chief Executive | Executive and Associate Directors | Service Director |
| d) 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 | Service Director |
| e) Orders exceeding 12 month period | Executive Director of Finance | Finance Director: Operational Finance | Service Director |
| f) Prompt payment of accounts | Executive Director of Finance | Executive Director of Finance | Not Delegated |
| g) Financial Limits | Executive Director of Finance | Direct to Operational Services → Refer to Table B for Delegated Limits | Service Director Per Table B |
| h) Maintenance of sufficient records to explain the LHB's transactions and report on the LHB's financial position | Executive Director of Finance | Finance Director: Operational Finance | Service Director |

| DELEGATED MATTER | BOARD MEMBER RESPONSIBLE | SPECIFIC DELEGATION WHERE APPLICABLE | OPERATIONAL RESPONSIBILITY |
|--|-------------------------------|---|--|
| i) Provision of electronic signature / approval 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 Finance | Service Director |
| 6. Stores and Receipt of Goods | | | |
| a) Responsibility for the systems of financial control over all stores including receipt of goods and returns | Executive Director of Finance | Direct to Operational Services → | Service Director |
| b) Responsibility for the control of stores and of goods, issues and returns: (excluding pharmaceutical stock: see below) | Executive Director of Finance | Direct to Operational Services → | Service Director |
| Pharmaceutical Stores | Executive Medical Director | Chief Pharmacist | Service Director Via Head of Medicines Management |
| c) Stocktaking arrangements | Executive Director of Finance | Direct to Operational Services → | Service Director |
| 7. Capital Investment Management For details of Delegated Limits for Delegated Matter 8d, please refer to Table B – Leases. In accordance with Welsh Government guidance: | | | |
| a) Programme: | | | |
| Preparation of Capital Investment Programme | Chief Executive | Executive Director of Finance | Service Director |
| Completion and signing off of a business case for approval | Executive Director of Finance | Director of Finance; Operations | Service Director |
| Appointment of Project Directors | Chief Executive | Executive Director of Finance with support from relevant Directors | Not Delegated |
| Financial monitoring and reporting on all capital scheme expenditure including variations to contract | Executive Director of Finance | Executive Director of Finance with support from relevant Directors. | Service Director |
| Issuing of guidance on management of capital schemes | Executive Director of Finance | Executive Director of Finance with support from relevant Directors. | Not Delegated |
| b) Contracting – Selection of 3 rd party developers, architects, quantity surveyors, consultant engineers and other professional advisors within EC regulations and LHB tender procedures | Chief Executive | Executive Director of Finance | Not Delegated |

| DELEGATED MATTER | BOARD MEMBER RESPONSIBLE | SPECIFIC DELEGATION WHERE APPLICABLE | OPERATIONAL RESPONSIBILITY |
|---|--|---|---|
| c) 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 | Not Delegated |
| d) Leases – Granting and termination of leases | Chief Executive | Executive Director of Finance | Refer to Table B |
| e) 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 | Not Delegated |
| 8. Quotations, Tendering & Contract Procedures For details of Delegated Limits, please refer to Table B – Quotations/Tenders. | | | All Matters locally supported by CFO / FD |
| a) Services: | | | |
| Best value for money is demonstrated for all services provided under contract or in-house | Chief Executive | Direct to Operational Services → | Service Director |
| Nominate officers to oversee and manage the contract on behalf of the LHB | Chief Executive | Direct to Operational Services → | Service Director |
| b) 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) | Direct to Operational Services → Refer to Table B for delegated limits | Service Director |
| Obtaining minimum of 3 written quotations for goods/services of value between £5,000 and £25,000 | Executive Director of Finance (per SFI 11.1.2) | Direct to Operational Services → Refer to Table B for delegated limits | Service Director |
| c) 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) | Executive Director of Finance | Direct to Operational Services → Refer to Table B for delegated limits | Service Director |
| 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) | Executive Director of Finance | Direct to Operational Services → Refer to Table B for delegated limits | Service Director |
| Receipt and custody of tenders prior to opening | Executive Director of Finance | Direct to Operational Services → Refer to Table B for delegated limits | Service Director |
| Opening Tenders and Quotations | Executive Director of Finance | Direct to Operational Services → Refer to Table B for delegated limits | Service Director |
| Decide if late tenders should be considered | Executive Director of Finance | Direct to Operational Services → Refer to Table B for delegated limits | Service Director |

| DELEGATED MATTER | BOARD MEMBER RESPONSIBLE | SPECIFIC DELEGATION WHERE APPLICABLE | OPERATIONAL RESPONSIBILITY |
|--|--------------------------------------|---|---|
| d) Waiving the requirement to request quotes or tenders – subject to SFI Schedule 1 Para. 4.2 & 4.3 – Formally reported to the Audit Committee | Executive Director of Finance | Finance Director: Operational Finance (escalation to the Executive Director of Finance or Chief Executive if necessary) The Chief Executive and Director of Finance cannot approve their own waiver and must seek approval from one other Executive Directors | Service Director All Single Tender Waivers (STW's) must be approved by NWSSP and by the Operational Finance Director before any commitment is made. |
| 9. Fixed Assets | | | |
| a) Maintenance of asset register | Executive Director of Finance | Finance Director (Operational Finance) | Service Director |
| b) Calculate and pay capital charges in accordance with Welsh Government requirements | Executive Director of Finance | Finance Director (Operational Finance) | Not Delegated |
| c) Responsibility for fixed assets – Land & Buildings | Executive Director of Finance | Director of Estates | Not Delegated |
| d) Responsibility for all other fixed assets (Plant, Machinery, Transport, IT assets including software, Furniture & Fittings) | Executive Director of Finance | Director of Estates and Director of Digital, Deputy CEO with support from relevant Directors. | Service Director |
| e) Responsibility for security of LHB assets including notifying discrepancies to the Director of Finance and reporting losses in accordance with LHB procedures | Chief Executive | Executive Director of Finance, with support from relevant Directors. | Service Director |
| 10. Personnel & Pay | | | All Matters locally supported by CFO / FD / People |
| a) 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. | Executive Director of Workforce & OD | Direct to Operational Services → | Service Director |
| b) Approve the commencement of employment prior to all pre-employment checks being completed. | Executive Director of Workforce & OD | Associate Director People Services | Service Director |
| c) Authority to fill funded post on the establishment with permanent staff. | Executive Director of Workforce & OD | Deputy Director Workforce & OD Associate Director of People Services (IHC/PAN) | Service Director |

| DELEGATED MATTER | BOARD MEMBER RESPONSIBLE | SPECIFIC DELEGATION WHERE APPLICABLE | OPERATIONAL RESPONSIBILITY |
|---|---|--|--|
| | | BCU/Support Services) | |
| d) The granting of additional increments to staff within budget in accordance with Terms & Conditions of Service | Executive Director of Workforce & OD | Executive Directors with advice from Associate Director of people Services | Service Director |
| e) All requests for upgrading/ regrading/ major skill mix changes shall be dealt with in accordance with LHB Procedure | Executive Director of Workforce & OD | Executive Directors with advice from Associate Director of people Services | Service Director |
| f) Authority to agree acting up salaries for staff other than Executive Directors, within budget (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) | Executive Directors lead for acting up salaries up to Band 9 or equivalent. | Service Director Up to Band 9 or equivalent only. |
| g) Establishments: | | | |
| Locum/additional staff to the agreed establishment with specifically allocated finance | Executive Director of Workforce & OD / Executive Director of Finance | Direct to Operational Services → | Service Director |
| Locum/additional staff to the agreed establishment without specifically allocated finance. | Chief Executive | Executive Director of Finance and Executive Director of Workforce & OD | Service Director (via ECR & Budget Virement) |
| Variation to the funded establishment | Executive Director of Workforce & OD and Executive Director of Finance | Direct to Operational Services → with Budget Virement approval in line with Executive Director of Finance Policy | Service Director (Via ECR & Budget Virement) |
| h) Pay | | | |
| Authority to complete standing data forms effecting pay, new starters, changes and leavers | Executive Director of Workforce & OD | Direct to Operational Services → | Service Director |
| Authority to complete and authorise timesheets and payroll returns | Executive Director of Workforce & OD | Direct to Operational Services → | Service Director |
| Authority to authorise overtime | Executive Director of Workforce & OD | Direct to Operational Services → | Service Director |
| Authority to authorise travel & subsistence expenses | Executive Director of | Direct to Operational Services → | Service Director |

| DELEGATED MATTER | BOARD MEMBER RESPONSIBLE | SPECIFIC DELEGATION WHERE APPLICABLE | OPERATIONAL RESPONSIBILITY |
|--|--|---|----------------------------|
| | Workforce & OD | | |
| Maintenance of a list of managers authorised to sign payroll and travel expense documentation. (and via e-expense systems) | Executive Director of Workforce & OD | Deputy Director of Workforce & OD | Service Director |
| i) Leave | | | |
| Approval of annual leave in accordance with LHB policy | Executive Director of Workforce & OD | Direct to Operational Services → | Service Director |
| Carry-over of annual leave in exceptional circumstances up to a maximum of 5 days | Executive Director of Workforce & OD | Direct to Operational Services → | Service Director |
| Compassionate leave | Executive Director of Workforce & OD | Direct to Operational Services → | Service Director |
| Special leave arrangements (to be applied in accordance with All Wales Policy) | Executive Director of Workforce & OD | Direct to Operational Services → | Service Director |
| Leave without pay | Executive Director of Workforce & OD | Direct to Operational Services → | Service Director |
| Medical Staff Leave of Absence – paid and unpaid | Executive Director of Workforce & OD | Direct to Operational Services → | Service Director |
| Consultants Special Leave | Executive Medical Director | Direct to Operational Services → | Service Director |
| Time off in lieu | Executive Director of Workforce and OD | Direct to Operational Services → | Service Director |
| Maternity / Paternity Leave – paid and unpaid | Executive Director of Workforce & OD | Direct to Operational Services → | Service Director |
| j) Annualised hours/flexible working hours system- maintenance of adequate records | Executive Director of Workforce & OD | Direct to Operational Services → | Service Director |
| k) Sick Leave | | | |
| Extension of sick leave on half pay up to three months | Executive Director of Workforce & OD | Direct to Operational Services → in conjunction with Associate Director of People Services | Service Director |

| DELEGATED MATTER | BOARD MEMBER RESPONSIBLE | SPECIFIC DELEGATION WHERE APPLICABLE | OPERATIONAL RESPONSIBILITY |
|---|--|--|----------------------------|
| Return to work part-time on full pay to assist recovery | Executive Director of Workforce & OD | Direct to Operational Services → in conjunction with Associate Director of People Services | Service Director |
| Extension of sick leave on full pay | Executive Director of Workforce & OD | Direct to Operational Services → in conjunction with Associate Director of People Services | Service Director |
| l) Study Leave | | | |
| Study leave outside the UK (non-medical staff excluding clinical staff) | Executive Director of Workforce & OD | Direct to Operational Services → | Service Director |
| Medical staff study leave (UK) | Executive Medical Director/ Executive Director of Workforce & OD/ Executive Director of Integrated Clinical Delivery | Direct to Operational Services → | Service Director |
| Consultant Medical Staff Leave (UK) | Executive Medical Director | Direct to Operational Services → | Service Director |
| All Medical and non-Medical Clinical Staff study leave outside the UK | Executive Medical Director/ Executive Director of Nursing & Midwifery/ Executive Director of Therapies & Health Science/ Executive Director of Integrated Clinical Delivery | Direct to Operational Services → | Service Director |
| All other study leave (UK) | Executive Director of Workforce & OD | Direct to Operational Services → | Service Director |
| m) Removal Expenses | | | |
| Authorisation of payment of removal expenses incurred by officers taking up new | Executive Director of | Direct to Operational Services → | Service Director |

| DELEGATED MATTER | BOARD MEMBER RESPONSIBLE | SPECIFIC DELEGATION WHERE APPLICABLE | OPERATIONAL RESPONSIBILITY |
|--|---|--|--|
| appointments (providing consideration was promised at interview) | Workforce & OD | In accordance with BCUHB policy / approval from the Executive Director of Workforce & OD | |
| n) Respect & Resolution Procedure | Executive Director of Workforce & OD | Direct to Operational Services → | Service Director |
| o) Professional Misconduct/Competence-Medical and Dental Staff | Executive Medical Director/ Executive Director of Workforce & OD | Deputy Responsible Officer / Deputy Medical Director / Deputy Director of Workforce & OD | Not Delegated |
| p) Suspension of Doctors employed directly by the LHB | Executive Medical Director | Deputy RO / Deputy Medical Director / Deputy Director of Workforce & OD | Not Delegated |
| q) Formal actions as required under The Performers List | Chief Executive | Executive Medical Director supported by Executive Director of Workforce & OD and Executive Director of Integrated Clinical Delivery | Not Delegated to Operational Divisions, cover for Executive Medical Director provided through the Deputy RO or Deputy Medical Director |
| r) Requests for new posts to be authorised as car users | Executive Director of Finance | Direct to Operational Services → | Service Director |
| s) Renewal of Fixed Term Contract | Executive Director of Workforce & OD | Direct to Operational Services → | Service Director |
| t) Voluntary Early Release Scheme | Remuneration and Terms of Service Committee (supported by Executive Director of Workforce & OD) | Executive Director of Workforce & OD, with Executive Director of Finance for sign off of financial viability | Not Delegated |
| u) 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 | Not Delegated. Service Directors to operate within Policy as set through the Executive Director of Workforce & OD |

| DELEGATED MATTER | BOARD MEMBER RESPONSIBLE | SPECIFIC DELEGATION WHERE APPLICABLE | OPERATIONAL RESPONSIBILITY |
|--|--|---|---|
| v) Ill Health Retirement Decision to pursue retirement on the grounds of ill-health following advice from Workforce & OD Department | Executive Director of Workforce & OD | Associate Director of People Services | Service Director for local implementation : Ultimate Approval is via NHS Pensions Agency |
| w) Disciplinary Procedure (excluding Executive Directors) | Executive Director of Workforce & OD | Executive Directors | Service Director |
| 11. Engagement of Staff Not On the Establishment | | | |
| For details of Delegated Limits, please refer to Table B | | | All Matters locally supported by CFO / FD / People |
| a) Non clinical Consultancy Staff | Executive Director of Finance | Direct to Operational Services → | Service Director |
| b) Medical Locum staff | Executive Medical Director | Direct to Operational Services → | Service Director |
| c) Booking of Agency Nursing Staff | Executive Director of Nursing & Midwifery | Direct to Operational Services → | Service Director |
| d) Booking of Bank Staff: | | | |
| Nursing | Executive Director of Nursing & Midwifery | Direct to Operational Services → | Service Director |
| Other | Executive Director of Workforce & OD | Direct to Operational Services → | Service Director |
| | | | |
| 12. Charitable Funds Held on Trust | Overall the Health Board Charitable Funds are managed through Ayr Las and through the Charitable Funds Committee and its formal Trustee status | | |
| For details of Delegated Limits, Please refer to Table B | | | All Matters locally supported by CFO / FD |
| a) Management: Funds held on Trust are managed appropriately | Executive Director of Finance | Direct to Operational Services → | Service Director |
| b) Maintenance of authorised signatory list of Authorised Fund Holders | Executive Director of Finance | Executive Director of Finance | Service Director |
| c) Expenditure | Executive Director of Finance | Direct to Operational Services → Refer to Table B – Delegated limits | Service Director |

| DELEGATED MATTER | BOARD MEMBER RESPONSIBLE | SPECIFIC DELEGATION WHERE APPLICABLE | OPERATIONAL RESPONSIBILITY |
|---|--|--|--|
| d) Fundraising Appeals – Preparation/Monitoring/Reporting progress and performance | Director of Communications and Partnerships | Fundraising manager, | Service Director Via Awyr Las |
| e) 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 | Not Delegated |
| Opening bank accounts | Corporate Trustee | Executive Director of Finance | Not Delegated |
| f) Investments – Policy and Arrangements | Executive Director of Finance in conjunction with Corporate Trustees | Executive Director of Finance | Not Delegated |
| g) Authority to accept the discharge of a donor's estate | Executive Director of Finance | Executive Director of Finance | Not Delegated Via Awyr Las |
| | | | |
| 13. Primary Care Patient Services/ Healthcare Agreements For details of Delegated Limits, please refer to Table B – Healthcare Agreements | | | SEE TABLE B FOR SPECIFIC SENIOR POSTS & £ LIMITS |
| a) Contract negotiation and provision of service agreements | Executive Director of Finance / Executive Director of Integrated Clinical Delivery | Executive Director of Finance / Executive Director of Integrated Clinical Delivery | System Oversight |
| b) Reporting actual and forecast contract income | Executive Director of Finance | Executive Director of Finance | System Oversight (supported by Finance) |
| c) Pricing of all contracts and SLAs | Executive Director of Finance | Executive Director of Finance with relevant Director | Not Delegated |
| d) Signing agreements | Chief Executive | Chief Executive or Executive Director of Finance in Chief Executive's absence/Executive Director of Integrated Clinical Delivery for all primary care related agreements | Service Director (see Table B for specific limits and arrangements) |
| | | | |

| DELEGATED MATTER | BOARD MEMBER RESPONSIBLE | SPECIFIC DELEGATION WHERE APPLICABLE | OPERATIONAL RESPONSIBILITY |
|---|-------------------------------|--|---|
| 14. Income Systems, Fees and Charges | | | All Matters locally supported by CFO / FD |
| a) Private Patients, Overseas Visitors, Income Generation and other patient related services | Executive Director of Finance | Executive Director of Finance | Service Director |
| b) Pricing of NHS agreements | Executive Director of Finance | Assistant Directors of Finance | Not Delegated |
| c) Informing the Director of Finance of monies due to the LHB | Executive Director of Finance | Direct to Operational Services → | Service Director |
| d) Recovery of debt | Executive Director of Finance | Finance Director: Operational Finance. | Not Delegated |
| e) Security of cash and other negotiable instruments | Executive Director of Finance | Finance Director: Operational Finance. | Service Director |
| f) Designing, maintaining and ensuring compliance with systems for the proper recording, invoicing, collection and coding of all monies due | Executive Director of Finance | Finance Director: Operational Finance | Service Director |
| g) Non patient care income | Executive Director of Finance | Finance Director: Operational Finance. | Service Director |
| | | | |
| 15. Disposal and Condemnations | | | |
| Disposal of all property and land requires formal approval by the Minister for Health and Social Services | | | |
| a) 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 | Not Delegated |
| b) Notification to Director of Finance prior to disposal | Executive Director of Finance | Direct to Operational Services → | Service Director |
| | | | |
| 16. Losses, Write-offs & Compensation | | | |
| a) 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. | Executive Director of Finance | Finance Director: Operational Finance. | Service Director For Implementation and compliance with BCU Procedure |
| b) Losses of cash due to theft, fraud, overpayment of salaries, fees, allowances & other causes up to £50,000 | Chief Executive | Executive Director of Finance | Not Delegated |
| c) Fruitless payments (including abandoned Capital Schemes) up to £250,000 | Chief Executive | Executive Director of Finance | Not Delegated |

| DELEGATED MATTER | BOARD MEMBER RESPONSIBLE | SPECIFIC DELEGATION WHERE APPLICABLE | OPERATIONAL RESPONSIBILITY |
|---|--------------------------|---|---|
| d) Bad debts and claims abandoned: Private patients; overseas visitors & other cases up to £50,000 | Chief Executive | Executive Director of Finance | Not Delegated |
| e) 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 | Not Delegated |
| f) 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 | Service Director For Implementation and compliance with BCU Procedure |
| g) Compensation payments made under legal obligation: | Chief Executive | Chief Executive, Executive Director of Finance or Executive Director of Nursing & Midwifery | Not Delegated |
| h) 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 | Not Delegated |
| 16.1 Ex-Gratia Payments: (per Manual for Accounts Chapter 6) | | | |
| a) Patients and staff for loss of personal effects up to £50,000 Above £50k to Welsh Government | Chief Executive | Executive Director of Finance- Refer to Finance Policy on Losses and Special Payments | Service Directors to Implement: financial approval remains within Finance Department per Policy |
| b) For clinical negligence up to £250,000 (negotiated settlements)*. Report to Board > £50,000 (Table B) | Chief Executive | Executive Director of Finance/Executive Director of Nursing & Midwifery | Not Delegated |
| c) For clinical negligence over £250,000 and up to £1,000,000* (negotiated settlements). Report to Board > £50,000 (see Table B) | Chair Board | Chief Executive/ Executive Director of Finance/Executive Director of Nursing & Midwifery | Not Delegated |
| d) 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 | Board | Chief Executive/ Executive Director of Finance/Executive Director of Workforce & OD/ Executive Director of Nursing & Midwifery | Not Delegated |
| e) For personal injury claims involving negligence where legal advice has been obtained and guidance applied up to £1,000,000 (>£1m to Welsh Government) | Board | Chief Executive/Executive Director of Finance/Executive | Not Delegated |

| DELEGATED MATTER | BOARD MEMBER RESPONSIBLE | SPECIFIC DELEGATION WHERE APPLICABLE | OPERATIONAL RESPONSIBILITY |
|---|--------------------------------------|--|--|
| Report to Board > £50,000* | | Director of Nursing & Midwifery | |
| f) Other, except cases for maladministration where there was no financial loss by claimant, up to £50,000 Above £50k to Welsh Government | Chief Executive | Executive Director of Finance/Executive Director of Nursing & Midwifery | Not Delegated |
| * 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 | Board | Chief Executive Executive Director of Finance/Executive Director of Nursing & Midwifery | Not Delegated |
| 17. Procedure to follow after reporting of incidents to the Police | | | |
| a) Where a criminal offence is suspected | Executive Director of Finance | Direct to Operational Services → | Service Director For Implementation and compliance |
| b) Criminal offence of a sexual or violent nature | Executive Director of Workforce & OD | Direct to Operational Services → | Service Director For implementation and compliance |
| c) Arson or theft | Executive Director of Finance | Direct to Operational Services → | Service Director for implementation and compliance |
| d) Other | Chief Executive | Direct to Operational Services → dependent upon the nature of the suspected offence | Service Director for implementation and compliance |
| 18. Financial Procedures | | | |
| a) Maintenance & Update of LHB Financial Procedures | Executive Director of Finance | Finance Director : Operational Finance | Not Delegated |
| 19. Audit Arrangements | | | |
| a) 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 | Not Delegated |
| b) Provide an independent and objective view on internal control and probity | Board Secretary | Head of Internal Audit/ Audit Wales | Not Delegated |
| c) Ensure Cost-effective external audit | Chair of Audit Committee | Executive Director of Finance | Not Delegated |
| d) Ensure an adequate internal audit service | Chief Executive | Board Secretary | Not Delegated |
| e) Implement recommendations | Board Secretary | Direct to Operational Services → | Service Director |
| 20. Legal Proceedings | | | |

| DELEGATED MATTER | BOARD MEMBER RESPONSIBLE | SPECIFIC DELEGATION WHERE APPLICABLE | OPERATIONAL RESPONSIBILITY |
|---|---|---|--|
| a) 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 Finance for all estate related matters/Executive Director of Integrated Clinical Delivery for all Primary Care related matters. Associate Director of Quality for claims, inquest, MHA and COP matters. | Service Director (Associate Director People Services for employment matters). Out of Hours approval via Gold On-Call. |
| b) Approve and sign all documents which will be necessary in legal proceedings | Chief Executive | Any Executive Director of the Board or an officer formally nominated by the Chief Executive. Associate Director of Quality for claims, inquest, MHA and COP matters. | Not Delegated |
| c) Sign on behalf of the LHB any agreement or document not requested to be executed as a deed | Chief Executive | Any Executive Director of the Board or an officer formally nominated by the Chief Executive | Not Delegated |
| | | | |
| 21. Insurance Policies and Risk Management | Chief Executive | Executive Director of Finance and Executive Medical Director | Not Delegated (Service Director For Implementation) |
| | | | |
| 22. Clinical Audit | Chief Executive | Executive Medical Director | Not Delegated |
| | | | |
| 23. Patients' Property (in conjunction with financial advice) | | | |
| For details of Delegated Limits, please refer to Table B – Petty Cash/Patients Monies | | | |
| a) Ensuring patients and guardians are informed about patients' monies and property procedures on admission | Executive Director of Nursing & Midwifery | Direct to Operational Services → | Service Director |
| b) Prepare detailed written instructions for the administration of patients' property | Executive Director of Nursing & Midwifery | Direct to Operational Services → | Service Director |
| c) Informing staff of their duties in respect of patients' property | Executive Director of | Direct to Operational Services → | Service Director |

| DELEGATED MATTER | BOARD MEMBER RESPONSIBLE | SPECIFIC DELEGATION WHERE APPLICABLE | OPERATIONAL RESPONSIBILITY |
|---|-------------------------------|---|--|
| | Nursing & Midwifery | | |
| d) Issuing property valued >£5,000 only on production of a probate letter of administration | Executive Director of Finance | Director: Operational Finance. | Not Delegated |
| | | | |
| 24. Putting Things Right Regulations (in line with WRP Policy & Guidance) | | | |
| a) Overall responsibility for ensuring that all concerns (as defined in PTR Regulations) are dealt with effectively | Chief Executive | Executive Director of Nursing & Midwifery. Associate Director of Quality (PTR Deputy Responsible Officer and Senior Investigations Officer) | Service Director For Implementation |
| b) Responsibility for ensuring complaints are investigated thoroughly, and learning is embedded. | Chief Executive | Executive Director of Nursing & Midwifery. Associate Director of Quality (PTR Deputy Responsible Officer and Senior Investigations Officer) | Service Director For implementation |
| c) Medical – Legal Complaints Co-ordination of their management | Chief Executive | Executive Director of Nursing & Midwifery. Associate Director of Quality (PTR Deputy Responsible Officer and Senior Investigations Officer) | Service Director For implementation |
| | | | |
| 25. Seal | | | |
| a) The keeping of a register of seal and safekeeping of the seal | Chief Executive | Board Secretary | Not Delegated |
| b) Attestation of seal in accordance with Standing Orders | Chief Executive/ Chair | Board Secretary | Not Delegated |
| | | | |
| 26. Gifts and Hospitality | | | |
| a) Keeping of gifts and hospitality register | Chief Executive | Board Secretary | Service Director for implementation and compliance |
| | | | |
| 27. Declaration of Interests | | | |
| a) Maintaining a register of interests | Chief Executive | Board Secretary | Service Director for implementation and compliance |
| | | | |
| 28. Informatics and the Data Protection Act | | | |
| a) Review of LHB's compliance with the Data Protection Act | Chief Executive | Director of Digital | Not Delegated |

| DELEGATED MATTER | BOARD MEMBER RESPONSIBLE | SPECIFIC DELEGATION WHERE APPLICABLE | OPERATIONAL RESPONSIBILITY |
|--|-------------------------------|---|---|
| b) Responsibility for Informatics policy and strategy | Executive Medical Director | Director of Digital | Not Delegated |
| c) Responsibility for ensuring that adequate management (audit) trails exist in Informatics systems | Executive Medical Director | Director of Digital | Not Delegated |
| 29. Records | | | |
| a) Review LHB's compliance with the Retention of Records Act and guidance | Chief Executive | Director of Digital / Executive Medical Director | Not Delegated |
| b) Approval for the destruction of records | Chief Executive | Director of Digital / Executive Medical Director | Service Director |
| c) Ensuring the form and adequacy of the financial records of all departments | Executive Director of Finance | Director: Operational Finance | Service Director |
| 30. Authorisation of New Drugs | Chief Executive | Executive Medical Director on the advice of the appropriate professional bodies | Not Delegated |
| 31. Authorisation of Research Projects | Executive Medical Director | Director of Research & Development | Service Director |
| 32. Authorisation of Clinical Trials | Chief Executive | Medical Director | Service Director |
| 33. Infectious Diseases & Notifiable Outbreaks – outbreak control / public health monitoring and surveillance / provision of public health advice | Chief Executive | Executive Director of Public Health | Not Delegated |
| 34. Review of Fire Precautions | Chief Executive | Executive Director of Finance | Not Delegated |
| 35. Health & Safety | | | |
| Review of all statutory compliance legislation and Health and Safety requirements. | Chief Executive | Executive Director of Workforce & OD | Not Delegated |
| 36. Medicines Inspectorate Regulations | | | |
| Review Regulations Compliance | Chief Executive | Executive Medical Director supported by Chief Pharmacist | Service Director via Head of Medicines Management |
| 37. Environmental Regulations | | | |
| Review of compliance with environmental regulations, for example those relating to clean air and waste disposal | Executive Director of Finance | Director of Estates | Not Delegated |

| DELEGATED MATTER | BOARD MEMBER RESPONSIBLE | SPECIFIC DELEGATION WHERE APPLICABLE | OPERATIONAL RESPONSIBILITY |
|--|-------------------------------|---|--|
| 38. Legal & Risk Payments | Chief Executive | Executive Director of Nursing & Midwifery/Executive Director of Finance | Not Delegated See Table B |
| 39. Investigation of Fraud/Corruption or Financial Irregularities | Executive Director of Finance | Lead Local Counter Fraud Specialist | Not Delegated |
| 40. Commercial Sponsorship | | | |
| Agreement to proposal in accordance with BCU HB procedures | Chief Executive | Executive Director of Finance | Not Delegated |
| 41. Cost/Notional Rent/Third Party Developer/Improvement Grants | | | All Matters locally supported by CFO / FD |
| Approval of all schedules of payments | Chief Executive | Executive Director of Integrated Clinical Delivery | Service 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 Integrated Clinical Delivery | Not Delegated |
| 42. Freedom of Information | Chief Executive | Director of Digital | Service Director |
| 43. Compliance Lead Roles: | | | |
| a) Caldicott Guardian | Executive Medical Director | Deputy Medical Director | Not Delegated |
| b) Data Protection Officer | Chief Executive | Director of Digital | Not Delegated |
| c) Senior Information Risk Owner | Chief Executive | Executive Director of Finance | Not Delegated |
| 44. Emergency Planning & Major Incidents – Civil Contingencies Act (Category 1 Responder) | Chief Executive | Executive Director of Integrated Clinical Delivery | Not Delegated |
| 45. National Health Services (Wales) Act 2006 Section 33 Agreements: Arrangements between NHS Bodies and Local Authorities | Chief Executive | Executive Director of Finance | Service Director (CFO / FD Supported) See also Table B |
| 46. Statutory compliance with respective Legislation | Chief Executive | Board Secretary | Service Director for implementation |
| 47. National Health Service (Appointment of Consultants) (Wales) (Amendment) Regulations 2005 (Statutory Instrument | Board | Chair of ACC's | Not Delegated |

| DELEGATED MATTER | BOARD MEMBER RESPONSIBLE | SPECIFIC DELEGATION WHERE APPLICABLE | OPERATIONAL RESPONSIBILITY |
|--|----------------------------------|---|-------------------------------------|
| 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. | | | |
| 48. 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 | Not Delegated |
| * 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 | | | |
| 49. Carbon Reduction Commitment Order (Phase 2) Agency Registration | Chief Executive | Executive Director of Finance | Not Delegated |
| 50. Human Tissue Act 20014 | Chief Executive | Executive Medical Director | Service Director for implementation |
| 51. Ionising Radiation (Medical Exposure) Regulations 2017 | Chief Executive | Executive Director of Therapies & Health Sciences / Executive Medical Director | Service Director for implementation |
| 52. Nurse Staffing Levels Act (Wales) 2016 | Chief Executive | Executive Director of Nursing & Midwifery | Service Director for implementation |
| 53. Welsh Language Standard Reporting | Chief Executive | Executive Director of Public Health | Service Director for implementation |
| 54. Controlled Drugs Accountable Officer | Chief Executive | Chief Pharmacist | Not Delegated |
| 55. Upholding Professional Standards in Wales (UPSW): | | | |
| Responsible Officer | Executive Medical Director (SRO) | Deputy Medical Director (Deputy Responsible Officer) | Service Director for implementation |
| Appointing a Designated Board Member | Health Board Chair | Remuneration & Terms of Service Committee | Not Delegated |

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 | Revenue and 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, Integrated Health Care 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 establishment) | 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 WRP and 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 |
| Performance, Finance and Information Governance Committee | | | | Up to £1m | Up to £1m | Up to £1m | | | | | | | | | |
| 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 | £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 (>£1m to Board) | £0.5m to £1.0m | Up to £5k | Up to £5k | As escalated by DoF | Can approve new posts across LHB | No requirement |
| Deputy CEO | £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 (>£1m to Board) | £0.5m to £1.0m | Up to £5k | Up to £5k | As escalated by DoF | Can approve new posts across LHB | No requirement |

| | Budget changes | General expenditure | Healthcare agreements | Revenue and 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, Integrated Health Care 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 establishment) | Agency and Waiting List Initiatives (all values) |
| Any 2 of CEO, Executive Director of Integrated Clinical Delivery 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 | £0.5m to £1m | £0.5m to £1m | New / 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 |
| Executive Directors, (not noted below) | | Up to £300k | | | | | | Up to £100k | | | | | All Single Tender Waivers are created within the Services and approved by the relevant Service Director, however all STW's must be approved by FD: OF and Executive 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 Transformation & Improvement | Within own delegated budget | Up to £300k | | | | | | Up to £100k | | | | | | Can approve new posts within own structure. | Must approve in advance in own structure. |
| Executive Medical Director | Within own delegated budget | Up to £300k | | | | Up to £0.5m | | Up to £100k | | | | | | Can approve new posts within own structure. | Must approve in advance in own structure. |
| Executive Director of Public Health | Within own delegated budget | Up to £300k | | | | | | Up to £100k | | | | | | Can approve new posts within own structure. | Must approve in advance in own structure. |
| Executive Director of W & OD | Within own delegated budget | Up to £300k | | | | | | Up to £100k | Terminations up to £50k (>£50k = WG) | | | | | Can approve new posts within own structure. | Must approve in advance in own structure. |
| Executive Director of Nursing & Midwifery | Within own delegated budget | Up to £300k | | | | | | Up to £100k | Up to £150k | | | | | Can approve new posts within own structure. | Must approve in advance in own structure. |
| Executive Director of Therapies & Health Sciences | Within own delegated budget | Up to £300k | | | Up to £150k | | | Up to £100k | Up to £150k | | | | | Can approve new posts within own structure. | Must approve in advance in own structure. |
| Director of Digital & CDIO | Within own delegated budget | Up to £250k | | | | | | Up to £100k | | | | | | Can approve new posts within own structure. | Must approve in advance in own structure. |

| | Budget changes | General expenditure | Healthcare agreements | Revenue and 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, Integrated Health Care 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 establishment) | Agency and Waiting List Initiatives (all values) |
| Director of Partnerships, Engagement & Communications | Within own delegated budget | Up to £250k | | | | | | Up to £100k | | | | | | Can approve new posts within own structure. | Must approve in advance in own structure |
| Board Secretary | Within own delegated budget | Up to £250k | | | | | | Up to £100k | | | | | | Can approve new posts within own structure. | Must approve in advance in own structure. |
| Other Directors (or Associate Directors) | Within own delegated budget | Up to £250k | | | | | | Up to £100k | | | | | | 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, Integrated Health Care 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) |
| Regional Directors / Systems Oversight Directors | Within own delegated budgets | Up to £250k | New or contract variation to £1.5m | | Up to £250k | | | Up to £100k | | Up to £100k, following Med Mgt Group | Up to £5k | | | Can approve new posts within own team. | As escalated by Direct Reports* |
| Integrated Health Care Directors , Health Community Director of Operations, Director of Mental Health & Learning Disabilities | Within own delegated budget | Up to £250k | New or contract variation to £1.5m | | Up to £250k | | | Up to £100k | | Up to £100k, following Med Mgt Group | Up to £5k | | | Can approve new posts within own team. | As escalated by Direct Reports* |
| Associate Directors | Within own delegated budget | Up to £150k | | | Up to £150k | | | Up to £150k | | | Up to £5k | | | Can approve new posts within own structure | Must approve in advance in own structure. |
| Assistant Directors | Within own delegated budget | Up to £75k | Up to £75k | | Up to £75k | | | Up to £75k | | | Up to £5k | | | Can approve new posts within own structure | Must approve in advance in own structure. |
| Head of Investigations and Redress | | | | | | | | | Up to £20k | | | | | Can approve new posts within own structure | |
| Claims Managers | | | | | | | | | Up to £5k | | | | | | |
| Authorised fund holder (Charitable Funds) | | | | | | | | | | | Up to £5k | | | | |
| Medicines Management Group(s) | | | | | | | | | | All new drugs and treatments | | | | | |
| * 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. | | | | | | | | | | | | | | | |

* 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, in line with Table B2 below.

Updated Master SoRD ratified at January 2020 Board Meeting v22.0 DRAFT Master SoRD November 2021 LJ TW v0.03

Table B.2 – Scheme of Financial Delegation, Divisional Level Posts

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, Integrated Health Care Directors, and Hospital Care Directors to determine scheme of delegation within their structures.

| | Budget changes | General expenditure | Healthcare agreements | Capital (Business Case and Contractual Commitment approvals) | | | Specialist | | | | Charitable Funds | | Procurement waivers | Staffing | |
|--|--|--|---|---|---|---|---|---|---|---|---|--|---|-------------------------------------|--|
| | Budget Virements (cross-divisional virements need appropriate reciprocal approval) | 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 (authorised within local Delegation but ultimate Approval is with the DoF) | New posts (additional establishm't) | Agency and Waiting List Initiatives (all values) |
| IHC Director MHL and Pan-BCU equivalent | Up to the Delegated Budget limit | Up to £250k | New or contract variation to £1.5m | | Up to £250k | | | Up to £100k | | Up to £100k, following Med Mgt Group | Up to £5k | | Up to £250k | Within Delegated Budget. | Within Delegated Budget |
| Director of Operations, MHL and Pan-BCU equivalent | Up to the Delegated Budget limit | Up to £250k | New or contract variation to £1.5m | | Up to £250k | | | Up to £100k | | Up to £100k, following Med MGT Group | Up to £5k | | Up to £250k | Within Delegated Budget. | Within Delegated Budget |
| CFO / FD ^{"note1"} | Within Budget | Up to £200k | Up to £200k | | Up to £200k | | | Up to £80k | | | Up to £5k | | Up to £250k | Within Delegated Budget | Within Delegated Budget |
| Director: Nursing MHL and Pan-BCU equivalent | Up to the Delegated Budget limit | Up to £150k | Up to £150k | | Up to £150k | | | Up to £75k | | | Up to £5k | | Up to £150k | Within own Delegated Budget. | Within own Delegated Budget |
| Director: 'Doctor' MHL and Pan-BCU equivalent | Up to the Delegated Budget limit | Up to £150k | Up to £150k | | Up to £150k | | | Up to £75k | | Up to £100k, following Med MGT Group | Up to £5k | | Up to £150k | Within own Delegated Budget. | Within own Delegated Budget |
| Head of Medicines Mgt | Up to Delegated Budget limit | Up to £150k (within Meds Mgt) | Up to £150k (within Meds Mgt) | | Up to £150k | | | Up to £75k | | Up to £100k, following Med Mgt Group | Up to £5k | | Up to £75k | Within own Delegated Budget. | Within own Delegated Budget |

Table B.2 – Scheme of Financial Delegation, Divisional Level Posts

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, Integrated Health Care Directors, and Hospital Care Directors to determine scheme of delegation within their structures.

| | Budget changes | General expenditure | Healthcare agreements | Capital (Business Case and Contractual Commitment approvals) | | | Specialist | | | | Charitable Funds | | Procurement waivers | Staffing | |
|----------------------------------|--|--|---|---|---|---|---|---|---|---|---|--|---|-------------------------------------|--|
| | Budget Virements (cross-divisional virements need appropriate reciprocal approval) | 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 (authorised within local Delegation but ultimate Approval is with the DoF) | New posts (additional establishm't) | Agency and Waiting List Initiatives (all values) |
| Head of Therapies | Up to Delegated Budget limit | Up to £150k (within Therapies) | Up to £150k (Within Therapies) | | Up to £150k | | | Up to £75k | | | Up to £5k | | Up to £75k | Within own Delegated Budget. | Within own Delegated Budget |
| Deputy Director (equivalent) | Up to Delegated Budget limit | Up to £150k | Up to £150k | | Up to £150k | | | Up to £75k | | | Up to £5k | | Up to £150k | Within own Delegated Budget. | Within own Delegated Budget |
| Associate Directors (equivalent) | Up to Delegated Budget limit | Up to £150k | Up to £150k | | Up to £150k | | | Up to £75k | | | Up to £5k | | Up to £150k | Within own Delegated Budget. | Within own Delegated Budget |
| Assistant Directors (equivalent) | Up to Delegated Budget limit | Up to £75k | Up to £75k | | Up to £75k | | | Up to £75k | | | Up to £5k | | Up to £75k | Within own Delegated Budget. | Within own Delegated Budget |
| etc | | | | | | | | | | | | | | | |
| etc | | | | | | | | | | | | | | | |
| etc | | | | | | | | | | | | | | | |
| Etc | | | | | | | | | | | | | | | |
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| Etc | | | | | | | | | | | | | | | |
| Etc | | | | | | | | | | | | | | | |

****NOTES****

1. The CFO / FD (Job Title to be defined within the New OM) is a key role within the Financial Governance arrangements, however their role is to “review” and “ratify” Oracle Requisitions, Contracts, Establishment Control Requests, and other such financial instruments within the limits of their particular IHC / Division, not to “approve” them; Approval sits with the delegated Budget Manager. As such their financial limit within Oracle will technically be set at £0, to reflect this context. There may be specific items or instances where the CFO/FD does need to “approve” and these will be listed separately.