



**GIG**  
CYMRU  
**NHS**  
WALES

Bwrdd Iechyd Prifysgol  
Betsi Cadwaladr  
University Health Board

# STANDING ORDERS

## Scheme of Reservation and Delegation of Powers

(Schedule 1 of the Standing Orders)

### **SCHEME OF RESERVATION AND DELEGATION OF POWERS**

**This Schedule forms part of, and shall have effect as if incorporated in the  
Local Health Board Standing Orders**

**Date approved by Health Board:**

# MODEL SCHEME OF RESERVATION AND DELEGATION OF POWERS

## Introduction

As set out in Standing Order 2, the Board, subject to any directions that may be made by the Welsh Ministers, shall make arrangements for certain functions to be carried out on its behalf so that the day to day business of the LHB may be carried out effectively, and in a manner that secures the achievement of its aims and objectives. The Board may delegate functions to:

- i) A Committee, e.g., Performance, Finance and Information Governance Committee (PFIG);
- ii) A sub-Committee, e.g., a locality based Performance, Finance and Information Governance (PFIG) Committee taking forward matters within a defined area. Any such delegation would, subject to the Board's authority, usually be via a main Committee of the Board;
- iii) A joint-Committee or joint sub-Committee, e.g., with other LHBs or Local Authorities established to take forward matters relating to services; and
- iv) Officers of the LHB (who may, subject to the Board's authority, delegate further to other officers and, where appropriate, other third parties, e.g., shared/support services, through a formal scheme of delegation)

and in doing so, must set out clearly the terms and conditions upon which any delegation is being made. These terms and conditions must include a requirement that the Board is notified of any matters that may affect the operation and/or reputation of the LHB.

The Board's determination of those matters that it will retain, and those that will be delegated to others are set out in the following:

- Schedule of matters reserved to the Board;
- Scheme of delegation to Committees and others; and
- Scheme of delegation to officers.

all of which must be formally adopted by the Board in full session and form part of the LHB's SOs.

## DECIDING WHAT TO RETAIN AND WHAT TO DELEGATE: GUIDING PRINCIPLES

The Board will take full account of the following principles when determining those matters that it reserves, and those which it will delegate to others to carry out on its behalf:

- Everything is retained by the Board unless it is specifically delegated in accordance with the requirements set out in Standing Orders or Standing Financial Instructions.
- The Board must retain that which it is required to retain (whether by statute or as determined by the Welsh Ministers) as well as that which it considers is essential to enable it to fulfil its role in setting the organisation's direction, equipping the organisation to deliver and ensuring achievement of its aims and objectives through effective performance management
- Any decision made by the Board to delegate functions must be based upon an assessment of the capacity and capability of those to whom it is delegating responsibility
- The Board must ensure that those to whom it has delegated powers (whether a Committee, partnership or individuals) remain equipped to deliver on those responsibilities through an ongoing programme of personal, professional and organisational development
- The Board must take appropriate action to assure itself that all matters delegated are effectively carried out
- The framework of delegation will be kept under active review and, where appropriate, will be revised to take account of organisational developments, review findings or other changes
- Except where explicitly set out, the Board retains the right to decide upon any matter for which it has statutory responsibility, even if that matter has been delegated to others
- The Board may delegate authority to act, but retains overall responsibility and accountability
- When delegating powers, the Board will determine whether (and the extent to which) those to whom it is delegating will, in turn, have powers to further delegate those functions to others.

## **HANDLING ARRANGEMENTS FOR THE RESERVATION AND DELEGATION OF POWERS: WHO DOES WHAT**

### **The Board**

The Board will formally agree, review and, where appropriate revise schedules of reservation and delegation of powers in accordance with the guiding principles set out earlier.

### **The Chief Executive**

The Chief Executive will propose a Scheme of Delegation to Officers, setting out the functions they will perform personally and which functions will be delegated to other officers. The Board must formally agree this scheme.

In preparing the scheme of delegation to officers, the Chief Executive will take account of:

- The guiding principles set out earlier (including any specific statutory responsibilities designated to individual roles);
- Their personal responsibility and accountability to the Chief Executive, NHS Wales in relation to their role as designated Accountable Officer; and
- Associated arrangements for the delegation of financial authority to equip officers to deliver on their delegated responsibilities (and set out in Standing Financial Instructions).

The Chief Executive may re-assume any of the powers they have delegated to others at any time.

### **The Director of Corporate Governance**

The Director of Corporate Governance will support the Board in its handling of reservations and delegations by ensuring that:

- A proposed schedule of matters reserved for decision by the Board is presented to the Board for its formal agreement;
- Effective arrangements are in place for the delegation of LHB functions within the organisation and to others, as appropriate; and
- Arrangements for reservation and delegation are kept under review and presented to the Board for revision, as appropriate.

### **The Audit Committee**

The Audit Committee will provide assurance to the Board of the effectiveness of its arrangements for handling reservations and delegations.

## **Individuals to who powers have been delegated**

Individuals will be personally responsible for:

- Equipping themselves to deliver on any matter delegated to them, through the conduct of appropriate training and development activity; and
- Exercising any powers delegated to them in a manner that accords with the LHB's values and standards of behaviour.

Where an individual does not feel that they are equipped to deliver on a matter delegated to them, they must notify the Chief Executive or the Director of Corporate Governance of their concern as soon as possible in so that an appropriate and timely decision may be made on the matter.

In the absence of an officer to whom powers have been delegated, those powers will be exercised by the individual to whom that officer reports, unless the Board has set out alternative arrangements.

If the Chief Executive is absent their nominated Deputy may exercise those powers delegated to the Chief Executive on their behalf. However, the guiding principles governing delegations will still apply, and so the Board may determine that it will reassume certain powers delegated to the Chief Executive or reallocate powers, e.g., to a Committee or another officer.

### **SCOPE OF THESE ARRANGEMENTS FOR THE RESERVATION AND DELEGATION OF POWERS**

The Scheme of Delegation to officers referred to here shows only the "top level" of delegation within the LHB. The Scheme is to be used in conjunction with the system of control and other established procedures within the LHB.

## SCHEDULE OF MATTERS RESERVED TO THE BOARD<sup>1</sup>

THE BOARD		AREA	DECISIONS RESERVED TO THE BOARD
1	FULL	GENERAL	Board may determine any matter for which it has statutory or delegated authority in accordance with SOs (except for those decisions delegated to the NHS Wales Joint Commissioning Committee (the JCC)).
2	FULL	GENERAL	The Board must determine any matter that will be reserved to the whole Board. These will be set out within Schedule of Matters Reserved to the Board.
3	FULL	GENERAL	Approve the LHB's Governance Framework
4	FULL	OPERATING ARRANGEMENTS	<p>Approve, vary and amend:</p> <ul style="list-style-type: none"> <li>▪ Standing Orders;</li> <li>▪ Standing Financial Instructions;</li> <li>▪ Schedule of matters reserved to the LHB;</li> <li>▪ Scheme of delegation to Committees and others; and</li> <li>▪ Scheme of delegation to officers.</li> </ul> <p>In accordance with any directions set by the Welsh Ministers.</p>
5	FULL	OPERATING ARRANGEMENTS	Ratify any urgent decisions taken by the Chair and the Chief Executive in accordance with Standing Order requirements
6	NO – Audit Committee	OPERATING ARRANGEMENTS	Formal consideration of report of Director of Corporate Governance on any non-compliance with Standing Orders, making proposals to the Board on any action to be taken.

<sup>1</sup> Any decision to reserve a matter, and the manner in which that retained responsibility is carried out will be in accordance with any regulatory and/or Welsh Government requirements.

7	FULL	OPERATING ARRANGEMENTS	Receive report and proposals regarding any non-compliance with Standing Orders, and where required ratify in public session any action required in response to failure to comply with SOs.
8	FULL	OPERATING ARRANGEMENTS	Authorise use of the LHB's official seal.
9	FULL	OPERATING ARRANGEMENTS	Approve the Standards of Business Conduct Policy.
10	NO - Chair on behalf of Joint Committee, Vice-Chair on behalf of Joint Committee if Chair is declaring interest	ORGANISATION STRUCTURE & STAFFING	Require, receive and determine action in response to the declaration of Board members' interests, in accordance with advice received, e.g. from Audit Committee or Director of Corporate Governance
11	FULL	STRATEGY & PLANNING	Determine the LHB's strategic aims, objectives and priorities
12	FULL	STRATEGY & PLANNING	Approve the LHB's key strategies and programmes related to: <ul style="list-style-type: none"> <li>▪ Population Health Needs Assessment and Commissioning Plan</li> <li>▪ The development and delivery of patient and population centred health and care/clinical services</li> <li>▪ Improving quality and patient safety outcomes</li> <li>▪ Workforce and Organisational Development</li> <li>▪ Infrastructure, including IM &amp;T, Estates and Capital (including major capital investment and disposal plans)</li> </ul>

13	FULL	STRATEGY & PLANNING	Approval of Joint Area Plan prepared under the direction of the Regional Partnership Board and in response to the population assessment
14	FULL	STRATEGY & PLANNING	Agreement of Well-being objectives in accordance with the requirements of the Well-being and Future Generations (Wales) Act 2015
15	FULL	STRATEGY & PLANNING	Approval of Well-being Plan prepared and agreed by the Public Service Board
16	FULL	STRATEGY & PLANNING	Approve the LHB's Integrated Medium Term Plan, including the balanced Medium-Term Financial Plan
17	FULL	STRATEGY & PLANNING	Approve the LHB's budget and financial framework (including overall distribution of the financial allocation and unbudgeted expenditure)
18	FULL	OPERATING ARRANGEMENTS	Approve the LHB's framework and strategy for performance management.
19	FULL	STRATEGY & PLANNING	Approve the LHB's framework and strategy for risk and assurance.
20	FULL	OPERATING ARRANGEMENTS	Ratify policies for dealing with raising concerns, complaints and incidents in accordance with the Putting Things Right and health and safety requirements.
21	FULL	OPERATING ARRANGEMENTS	Agree the arrangements for ensuring the adoption of standards of governance and performance (including the quality and safety of healthcare, and the patient experience) to be met by the LHB, including standards/ requirements determined by Welsh Government, regulators, professional bodies/others, e.g. National Institute of Health and Care Excellence (NICE)
22	FULL	STRATEGY & PLANNING	Approve the LHB's patient, public, staff, partnership and stakeholder engagement and co-production strategies.

23	FULL	OPERATING ARRANGEMENTS	Approve the introduction or discontinuance of any significant activity or operation. Any activity or operation shall be regarded as significant if the Board determines it so based upon its contribution/impact on the achievement of the LHB's aims, objectives and priorities
24	FULL	ORGANISATION STRUCTURE & STAFFING	Appointment of officer members of the Board (Chief Executive and Directors) in accordance with the provisions of the Regulations and in accordance with Ministerial Instructions
25	NO – Remuneration and Terms of Service Committee	ORGANISATION STRUCTURE & STAFFING	Termination of appointment and suspension officer members in accordance with the provisions of the Regulations and in accordance with Ministerial instructions
26	NO – Remuneration and Terms of Service Committee	ORGANISATION STRUCTURE & STAFFING	Consider appraisal of officer members of the Board (Chief Executive and Directors)

27	NO – Remuneration and Terms of Service Committee	ORGANISATION STRUCTURE & STAFFING	Approve the appointment, appraisal, discipline and dismissal of any other Board level appointments and other senior employees, in accordance with Ministerial Instructions e.g. the Director of Corporate Governance
28	NO – Remuneration and Terms of Service Committee	ORGANISATION STRUCTURE & STAFFING	Consider and approve redundancy and Early Release Applications, noting that where the settlement is £50,000 or above subsequent agreement of Welsh Government is required.
29	FULL	ORGANISATION STRUCTURE & STAFFING	Approve, [arrange the] review, and revise the LHB's top level organisation structure and corporate policies
30	FULL	ORGANISATION STRUCTURE & STAFFING	Appoint, [arrange the] review, revise and dismiss LHB Committees, including any joint-Committees directly accountable to the Board
31	FULL	ORGANISATION STRUCTURE & STAFFING	Appoint, equip, review and (where appropriate) dismiss the Chair and members of any Committee, joint-Committee or Group set up by the Board
32	FULL	ORGANISATION STRUCTURE & STAFFING	Appoint, equip, review and (where appropriate) dismiss individuals appointed to represent the Board on outside bodies and groups
33	FULL	ORGANISATION STRUCTURE & STAFFING	Approve the standing orders and terms of reference and reporting arrangements of all Committees, joint-Committees and groups established by the Board

34	NO – Audit Committee	OPERATING ARRANGEMENTS	Approve arrangements relating to the discharge of the LHB’s responsibility as a bailee for patients’ property
35	FULL - except where Chapter 6 specifies appropriate to delegate to a committee, Chief Executive or Officers	OPERATING ARRANGEMENTS	Approve individual compensation payments in line with the provisions of Annex 4 to Chapter 6 of the Welsh Government Manual for Accounts
36	FULL - except where Chapter 6 specifies appropriate to delegate to a committee, Chief Executive or Officers	OPERATING ARRANGEMENTS	Approve individual cases for the write off of losses or making of special payments above the limits of delegation to the Chief Executive and officers
37	FULL	OPERATING ARRANGEMENTS	Approve proposals for action on litigation on behalf of the LHB
38	FULL	ORGANISATION STRUCTURE & STAFFING	Approve the arrangements relating to the discharge of the LHB's responsibilities as a corporate trustee of funds held on trust in accordance with the provision of Paragraph 20 of the Standing Financial Instructions.

39	FULL	STRATEGY & PLANNING	Approve new contracts for the LHB to provide, or to secure provision from providers for Personal Medical; Dental; Pharmacy; Optometry services to some or all of the LHB's population where the value exceeds the delegated limit of the Chief Executive
40	FULL	STRATEGY & PLANNING	Approve individual contracts (other than NHS contracts) above the limit delegated to the Chief Executive set out in the Standing Financial Instructions
41	FULL	PERFORMANCE & ASSURANCE	Approve the LHB's audit and assurance arrangements
42	FULL	PERFORMANCE & ASSURANCE	Receive reports from the LHB's Executive on progress and performance in the delivery of the LHB's strategic aims, objectives and priorities and approve action required, including improvement plans, as appropriate
43	FULL	PERFORMANCE & ASSURANCE	Receive reports from the LHB's Committees, groups and other internal sources on the LHB's performance and approve action required, including improvement plans, as appropriate
44	FULL	PERFORMANCE & ASSURANCE	Receive reports on the LHB's performance produced by external regulators and inspectors (including, e.g., Audit Wales, HIW, etc) that raise significant issue or concerns impacting on the LHB's ability to achieve its aims and objectives and approve action required, including improvement plans, taking account of the advice of Board Committees (as appropriate)
45	FULL	PERFORMANCE & ASSURANCE	Receive the annual opinion of the LHB's Chief Internal Auditor and approve action required, including improvement plans
46	FULL	PERFORMANCE & ASSURANCE	Receive the annual management report from the Auditor General for Wales and approve action required, including improvement plans

47	FULL	PERFORMANCE & ASSURANCE	Receive assurance regarding the LHB's performance against the Health and Care Standards for Wales and the arrangements for approving required action, including improvement plans.
48	FULL	REPORTING	Approve the LHB's Reporting Arrangements, including reports on activity and performance locally, to citizens, partners and stakeholders and nationally to the Welsh Government where required
49	FULL	REPORTING	Receive, approve and ensure the publication of LHB reports, including its Annual Report and annual financial accounts in accordance with directions and guidance issued

DRAFT FOR BOARD

## DELEGATION OF POWERS TO COMMITTEES AND OTHERS<sup>2</sup>

Standing Order 2 provides that the Board may delegate powers to Committees and others. In doing so, the Board has formally determined:

- the composition, terms of reference and reporting requirements in respect of any such Committees; and
- the governance arrangements, terms and conditions and reporting requirements in respect of any delegation to others, in accordance with any regulatory requirements and any directions set by the Welsh Ministers.

The Board has delegated a range of its powers to the following Committees and others:

- Audit Committee
- Charitable Funds Committee
- Mental Health Legislation Committee
- Quality, Safety and Experience Committee
- Partnership, People and Population Health Committee
- Performance, Finance and Information Governance Committee
- Executive Committee
- Remuneration Committee

The scope of the powers delegated, together with the requirements set by the Board in relation to the exercise of those powers are as set out in i) Committee terms of reference, and ii) Formal arrangements for the delegation of powers to others. Collectively, these documents form the LHB's Scheme of Delegation to Committees.

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<sup>2</sup> As defined in Standing Orders

## **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. 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.

This element of the scheme of delegation only relates to matters delegated by the Board to the Chief Executive and the Executive Directors which are not covered by the Standing Financial Instructions.

DRAFT FOR BOARD

Delegated Matter	Table Reference No.
MEETINGS	1
PERSONNEL	2
ENGAGEMENT OF STAFF (NOT ON THE ESTABLISHMENT)	3
REPORTING INCIDENTS TO THE POLICE	4
LEGAL PROCEEDINGS	5
INSURANCE POLICIES AND RISK MANAGEMENT	6
CLINICAL AUDIT	7
PUTTING THINGS RIGHT REGULATIONS	8
SEAL	9
GIFTS & HOSPITALITY	10
DECLARATION OF INTERESTS	11
INFORMATICS AND THE DATA PROTECTION ACT	12
AUTHORISATION OF NEW DRUGS	13
AUTHORISATION OF RESEARCH PROJECTS	14
AUTHORISATION OF CLINICAL TRIALS	15
INFECTIOUS DISEASES & NOTIFIABLE OUTBREAKS	16
REVIEW OF FIRE PRECAUTIONS	17
HEALTH & SAFETY	18
MEDICINES INSPECTORATE REGULATIONS	19
ENVIRONMENTAL REGULATIONS	20
COSTS/NOTIONAL RENT/THIRD PARTY DEVELOPER/IMPROVEMENT GRANTS	21
COMPLIANCE LEAD ROLES: CALDICOTT GUARDIAN, DPO, SIRO	22
EMERGENCY PLANNING	23
STATUTORY COMPLIANCE WITH RESPECTIVE LEGISLATION	24
APPOINTMENT OF MEDICAL & DENTAL CONSULTANT POSTS	25
HUMAN TISSUE ACT 2004	26
IONISING RADIATION (MEDICAL EXPOSURE) REGULATIONS 2017 [IR(ME)R]	27
NURSE STAFFING LEVELS (WALES) ACT 2016	28
WELSH LANGUAGE STANDARD REPORTING	29
CONTROLLED DRUGS ACCOUNTABLE OFFICER	30
UPHOLDING PROFESSIONAL STANDARDS IN WALES (UPSW)	31

**Board Member Responsible (Tiers 2, 3 or 4):** in line with the Standing Orders, delegated approval to the relevant Board Member, Board Committee, **Executive Director or Executive Team member**. Where there is more than one **Executive Director Team member named** the applicable responsibility is in relation to their individual service area.

**Specific Delegation Where Applicable:** The intention 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 delegated beyond this secondary level. This column sets out the delegation flow where relevant. Where there is more than one 'Accountable Lead' named the applicable responsibility is in relation to their individual service area.

**Operational Responsibility (Tier 4):** – 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
<b>1. Meetings</b>			
a) Calling meetings of the LHB	Chair	Director of Corporate Governance	Not Delegated
b) Chair all LHB Board meetings and associated responsibilities	Chair or Vice Chair in Chair's absence	Not Delegated	Not Delegated
<b>2. Personnel</b>			
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 People and OD	Supported by Members of the Executive Committee	Service Director
b) Approve the commencement of employment prior to all pre-employment checks being completed.	Executive Director People and OD	Associate Director People Services	Not delegated
c) Authority to fill funded post on the establishment with permanent staff.	Executive Director People and OD	Deputy Director Workforce & OD / Associate Director of People Services (IHC / PAN BCU / Support Services)	Service Director
d) Travel & subsistence expenses			
Authority to authorise travel & subsistence expenses	Executive Director People and OD	Direct to Operational Services	(Tier 4)
Maintenance of a list of managers authorised to sign payroll and travel expense documentation (and via e-expense systems)	Executive Director People and OD	Deputy Director of Workforce & OD	Service Director

DELEGATED MATTER	BOARD MEMBER RESPONSIBLE	SPECIFIC DELEGATION WHERE APPLICABLE	OPERATIONAL RESPONSIBILITY
e) Leave			
Approval of annual leave in accordance with LHB policy	Executive Director People and OD	Direct to Operational Services	Service Director
Carry-over of annual leave in exceptional circumstances up to a maximum of 5 days	Executive Director People and OD	Direct to Operational Services	(Tier 4)
Compassionate leave	Executive Director People and OD	Direct to Operational Services	Service Director
Special leave arrangements (to be applied in accordance with All Wales Policy)	Executive Director People and OD	Direct to Operational Services	Service Director
Leave without pay	Executive Director People and OD	Direct to Operational Services	(Tier 4)
Medical Staff Leave of Absence – paid and unpaid	Executive Director People and OD	Direct to Operational Services	Service Director
Consultants Special Leave	Executive Medical Director	Direct to Operational Services	(Tier 4)
Time off in lieu	Executive Director People and OD	Direct to Operational Services	Service Director
Maternity / Paternity Leave – paid and unpaid	Executive Director People and OD	Direct to Operational Services	(Tier 4)
f) Annualised hours/flexible working hours system-maintenance of adequate records	Executive Director People and OD	Direct to Operational Services	Service Director

DELEGATED MATTER	BOARD MEMBER RESPONSIBLE	SPECIFIC DELEGATION WHERE APPLICABLE	OPERATIONAL RESPONSIBILITY
g) Sick Leave			
Extension of sick leave on half pay up to three months	Executive Director People and OD	Direct to Operational Services in conjunction with Associate Director of People Services	Not delegated
Return to work part-time on full pay to assist recovery	Executive Director People and OD	Direct to Operational Services in conjunction with Associate Director of People Services	Service Director (Tier 4)
Extension of sick leave on full pay	Executive Director People and OD	Direct to Operational Services in conjunction with Associate Director of People Services	Not delegated
h) Study Leave			
Study leave outside the UK (non-medical staff excluding clinical staff)	Executive Director People and OD	Direct to Operational Services	Service Director
Medical staff study leave (UK)	Executive Medical Director / Executive Director People and OD	Direct to Operational Services	(Tier 4)
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 (as per relevant professional lead)	Executive Medical Director / Executive Director of Nursing & Midwifery / Executive Director of Therapies & Health Science / Chief Operating Officer	Direct to Operational Services	(Tier 4)
All other study leave (UK)	Executive Director People and OD	Direct to Operational Services	Service Director

DELEGATED MATTER	BOARD MEMBER RESPONSIBLE	SPECIFIC DELEGATION WHERE APPLICABLE	OPERATIONAL RESPONSIBILITY
i) Removal Expenses			
Authorisation of payment of removal expenses incurred by officers taking up new appointments (providing consideration was promised at interview)	Executive Director People and OD	Direct to Operational Services → In accordance with BCUHB policy / approval from the Executive Director People and OD	Service Director
j) Respect & Resolution Procedure	Executive Director People and OD	Direct to Operational Services	(Tier 4)
k) Professional Misconduct/Competence-Medical and Dental Staff	Executive Medical Director / Executive Director People and OD	Deputy Responsible Officer / Deputy Medical Director / Deputy Director of Workforce & OD	Not Delegated
l) Suspension of Doctors employed directly by the LHB	Executive Medical Director	Deputy Responsible Officer / Deputy Medical Director / Deputy Director of Workforce & OD	Not Delegated
m) Formal actions as required under The Performers List	Chief Executive	Executive Medical Director supported Executive Director People and OD and Chief Operating Officer	Not Delegated to Operational Divisions, cover for Executive Medical Director provided through the Deputy Responsible Officer or Deputy Medical Director
n) Requests for new posts to be authorised as car users	Executive Director of Finance	Direct to Operational Services	Service Director
o) Renewal of Fixed Term Contract	Executive Director People and OD	Direct to Operational Services	(Tier 4)

DELEGATED MATTER	BOARD MEMBER RESPONSIBLE	SPECIFIC DELEGATION WHERE APPLICABLE	OPERATIONAL RESPONSIBILITY
p) Ill Health Retirement Decision to pursue retirement on the grounds of ill-health following advice from Workforce & OD Department	Executive Director People and OD	Associate Director of People Services	Service Director for local implementation:  Ultimate Approval is via NHS Pensions Agency
q) Disciplinary Procedure (excluding Executive Directors)	Executive Director People and OD	Executive Directors and Members of the Executive Committee	Service Director (Tier 4)
<b>3. Engagement of Staff Not On the Establishment</b>			
a) Non clinical Consultancy Staff	Executive Director of Finance	Supported by Executive Team	Service Director
b) Medical Locum staff	Executive Medical Director	Direct to Operational Services	(Tier 4)
c) Booking of Agency Nursing Staff	Executive Director of Nursing & Midwifery	Direct to Operational Services	Service Director (Tier 4)
d) Booking of Bank Staff:			
Nursing	Executive Director of Nursing & Midwifery	Direct to Operational Services	Service Director (Tier 4)
Other Staffing Groups	Executive Director People and OD	Direct to Operational Services	Service Director (Tier 4)

DELEGATED MATTER	BOARD MEMBER RESPONSIBLE	SPECIFIC DELEGATION WHERE APPLICABLE	OPERATIONAL RESPONSIBILITY
<b>4. Procedure to follow after reporting of incidents to the Police (refer to Standing Operating Process in relation to reporting requirement to Security Advisors)</b>			
a) Where a criminal offence is suspected	Executive Director of Finance and Executive Director of People and OD	Direct to Operational Services	Service Director for implementation and compliance
b) Criminal offence of a sexual or violent nature	Ex Executive Director of People and OD Executive Director of Workforce & OD	Direct to Operational Services	Service Director for implementation and compliance
c) Arson or theft	Executive Director of Finance and Executive Director of People and OD	Direct to Operational Services	Service Director for implementation and compliance
d) Other	Chief Executive and Executive Director of Finance and Executive Director of People and OD	Direct to Operational Services → dependent upon the nature of the suspected offence	Service Director for implementation and compliance
<b>5. Legal Proceedings</b>			
a) Engagement of the LHB's Legal Services	Director of Corporate Governance	Deputy Director for Legal Services	List of officers authorised to instruct Legal Services will be detailed in the Legal Services Policy  Out of Hours approval via Gold On-Call.

DELEGATED MATTER	BOARD MEMBER RESPONSIBLE	SPECIFIC DELEGATION WHERE APPLICABLE	OPERATIONAL RESPONSIBILITY
b) Approve and sign all documents on behalf of the LHB which will be necessary in legal proceedings	Director of Corporate Governance	Any Director of the Board or the Deputy Director for Legal Services provided such approval is in accordance with advice from a regulated legal professional – all contrary decisions are reserved for the Chief Executive	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
<b>6. Insurance Policies (incorporating Risk Management)</b>			
Insurance Policies (incorporating Risk Management)	Chief Executive	Executive Director of Finance and Director of Corporate Governance	Not Delegated except for matters relating to the Welsh Risk Pool where the Deputy Director for Legal Services may act
<b>7. Clinical Audit</b>			
Clinical Audit	Chief Executive	Executive Medical Director	Service Director (Tier 4)

DELEGATED MATTER	BOARD MEMBER RESPONSIBLE	SPECIFIC DELEGATION WHERE APPLICABLE	OPERATIONAL RESPONSIBILITY
<b>8. Putting Things Right Regulations (in line with WRP Policy &amp; Guidance)</b>			
a) Overall responsibility for ensuring that all concerns (as defined in PTR Regulations) are dealt with effectively	Chief Executive	Executive Director of Nursing & Midwifery / Director of Corporate Governance (for redress, personal injury claims and clinical negligence claims)	Service Director Patient Safety Team, and Patient and Carer Experience/Complaints Team/Legal Services Team for implementation
b) Responsibility for ensuring complaints are investigated thoroughly, and learning is embedded.	Chief Executive	Executive Director of Nursing & Midwifery	Service Director and Patient and Carer Experience/Complaints Team for implementation
c) Medico – Legal Matters - Co-ordination of their management (including redress, personal injury claims and clinical negligence claims)	Director of Corporate Governance	Deputy Director for Legal Services	Legal Services Team
<b>9. Seal</b>			
a) The keeping of a register of seal and safekeeping of the seal	Chief Executive	Director of Corporate Governance	Not Delegated
b) Attestation of seal in accordance with Standing Orders	Chief Executive and Chair	Director of Corporate Governance	Not Delegated
c) Signing and sealing documents in accordance with Standing Orders	Chief Executive and Chair	Director of Corporate Governance	Not Delegated

DELEGATED MATTER	BOARD MEMBER RESPONSIBLE	SPECIFIC DELEGATION WHERE APPLICABLE	OPERATIONAL RESPONSIBILITY
<b>10. Gifts and Hospitality</b>			
a) Keeping of gifts and hospitality register	Chief Executive	Director of Corporate Governance	Service Director for implementation and compliance
<b>11. Declaration of Interests</b>			
a) Maintaining a register of interests	Chief Executive	Director of Corporate Governance	Service Director for implementation and compliance
<b>12. Informatics and the Data Protection Act</b>			
a) Review of LHB's compliance with the Data Protection Act	Chief Executive	Chief Digital and Information Officer	Data Protection Officer
b) Responsibility for Informatics policy and strategy	Chief Executive	Chief Digital and Information Officer	Service Director
c) Responsibility for ensuring that adequate management (audit) trails exist in Informatics systems	Chief Executive	Chief Digital and Information Officer	(Tier 4)

DELEGATED MATTER	BOARD MEMBER RESPONSIBLE	SPECIFIC DELEGATION WHERE APPLICABLE	OPERATIONAL RESPONSIBILITY
<b>13. Authorisation of New Drugs</b>			
Authorisation of New Drugs	Chief Executive	Executive Medical Director on the advice of the appropriate professional bodies (Clinical approval via NICE Implementation Group and Drugs and Therapy Group for onward financial approval by Executive Committee)	Not Delegated
<b>14. Authorisation of Research Projects (individuals responsible for their own declaration of interest to UKPI and BCUHB)</b>			
Authorisation of Research Projects (individuals responsible for their own declaration of interest to UKPI and BCUHB)	Executive Medical Director	Director of Research & Development	Service Director (Tier 4)
<b>15. Authorisation of Clinical Trials</b>			
Authorisation of Clinical Trials	Chief Executive	Executive Medical Director	Service Director (Tier 4)
<b>16. Infectious Diseases &amp; Notifiable Outbreaks – outbreak control / public health monitoring and surveillance / provision of public health advice</b>			
	Chief Executive	Executive Director of Public Health	Not Delegated

DELEGATED MATTER	BOARD MEMBER RESPONSIBLE	SPECIFIC DELEGATION WHERE APPLICABLE	OPERATIONAL RESPONSIBILITY
<b>17. Review of Fire Precautions</b>			
Review of Fire Precautions	Chief Executive	Director of Environment and Estates	Not Delegated
<b>18. Health &amp; Safety</b>			
Review of all statutory compliance legislation and Health and Safety requirements (including associated mandatory staff awareness training).	Chief Executive	Director of Environment and Estates	Not Delegated
<b>19. Medicines Inspectorate Regulations</b>			
Review Regulations Compliance	Chief Executive	Executive Medical Director supported by Chief Pharmacist	Service Director via Head of Medicines Management
<b>20. Environmental Regulations</b>			
Review of compliance with environmental regulations, for example those relating to clean air and waste disposal	Chief Executive	Director of Estates and Environment	Not Delegated
<b>21. Cost/Notional Rent/Third Party Developer/Improvement Grants</b>		All Matters locally supported by CFO / FD	
Approval of all schedules of payments	Chief Executive	Chief Operating Officer	Service Director (Tier 4)
Submission to Welsh Government for all new GP premises or major extensions in accordance with BCU Strategy	Chief Executive	Chief Operating Officer and Director of Estates and Environment	Not Delegated

DELEGATED MATTER	BOARD MEMBER RESPONSIBLE	SPECIFIC DELEGATION WHERE APPLICABLE	OPERATIONAL RESPONSIBILITY
<b>22. Compliance Lead Roles:</b>			
<ul style="list-style-type: none"> <li>a) Caldicott Guardian</li> <li>b) Data Protection Officer</li> <li>c) Senior Information Risk Owner</li> </ul>	<ul style="list-style-type: none"> <li>Chief Executive</li> <li>Chief Executive</li> <li>Chief Executive</li> </ul>	<ul style="list-style-type: none"> <li>Executive Medical Director</li> <li>Data Protection Officer</li> <li>Chief Digital Information Officer</li> </ul>	<ul style="list-style-type: none"> <li>Deputy Medical Director</li> <li>Head of Information Governance</li> <li>Not Delegated</li> </ul>
<b>23. Emergency Planning &amp; Major Incidents – Civil Contingencies Act (Category 1 Responder)</b>			
<b>Emergency Planning &amp; Major Incidents – Civil Contingencies Act (Category 1 Responder)</b>	Chief Executive	Executive Director of Public Health	Head of Emergency Preparedness Response and Resilience
<b>24. Statutory compliance with respective Legislation</b>			
Individual Board Members responsible for the implementation of respective legislation	Chief Executive	Director of Corporate Governance	Service Director for implementation
<b>25. 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.</b>			
Appointment of all Medical and Dental Consultant posts	Board	Chair of ACC's and reported to the People and Culture Committee	Not Delegated

DELEGATED MATTER	BOARD MEMBER RESPONSIBLE	SPECIFIC DELEGATION WHERE APPLICABLE	OPERATIONAL RESPONSIBILITY
<b>26. Human Tissue Act 2004</b>			
Compliance with the Human Tissues Act	Chief Executive	Executive Medical Director	Service Director for implementation
<b>27. Ionising Radiation (Medical Exposure) Regulations 2017</b>			
Compliance Ionising Radiation (Medical Exposure) Regulations 2017	Chief Executive	Executive Director of Allied Health Professionals and Health Science / Executive Medical Director	Service Director for implementation
<b>28. Nurse Staffing Levels Act (Wales) 2016</b>			
Compliance with Nurse Staffing Levels Act (Wales) 2016	Chief Executive	Executive Director of Nursing & Midwifery	Service Director for implementation
<b>29. Welsh Language Standard Reporting</b>			
Compliance with the Welsh Language Standards	Chief Executive	Executive Director of Allied Health Professionals and Health Science	Service Director for implementation
<b>30. Controlled Drugs Accountable Officer</b>			
Controlled Drugs Accountable Officer	Chief Executive	Chief Pharmacist	Not Delegated

DELEGATED MATTER	BOARD MEMBER RESPONSIBLE	SPECIFIC DELEGATION WHERE APPLICABLE	OPERATIONAL RESPONSIBILITY
<b>31. Upholding Professional Standards in Wales (UPSW)</b>			
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 Committee	Not Delegated

DRAFT FOR BOARD

## SCHEME OF DELEGATION LINKED TO STANDING FINANCIAL INSTRUCTIONS

### Introduction

This Schedule of additional delegations identifies those specific areas within the Standing Financial Instructions which require additional delegations from the Board, Chief Executive and the Executive Director of Finance and other Officers.

This Schedule should not be read in isolation and needs to be used alongside the full set of Standing Financial Instructions at Schedule 3 of Standing Orders.

The following principles will apply:

- i. Financial limits are at the discretion of the Board;
- ii. Each cost centre must have a single approved budget holder who is accountable for ensuring budgets do not overspend and that expenditure is committed within the Health Board's delegated approved levels as detailed in the budget holder signed Accountability Agreement;
- iii. In an officer's absence, financial limits can be delegated in part or in total either generally or for specific items;
- iv. Directors can assign delegated budget holders with approval limits up to £150k at their discretion
- v. These limits apply to requisition authorisation, which is where the control lies;
- vi. In exceptional circumstances, the Chair may have delegated authority on behalf of the Board, and the use of the delegated authority to the Chair must be included in the minutes of the next meeting of the Board;
- vii. Each Director has the responsibility of cascading the delegation within their area and ensuring that authorised signatories are in place but will remain ultimately accountable for their budget. It may be appropriate for some areas of expenditure to be notified to the Board even if they are within the budget holder's limits;
- viii. The delegations and approval levels apply to all financial activity of the Health Board, irrespective of the income source relating to the expenditure, for example, any ringfenced income and expenditure must still follow this Scheme of Delegation.

Responsibility for **authorising contracts for the purchase of goods and services (including capital schemes)**, Service Level Agreements and Memorandum of Understandings, with **non-NHS bodies** are subject to the **maximum** delegated levels of authority **and also other approval requirements and delegations as detailed in the Scheme of Delegation**, as follows:

### Financial Delegations

Tier	Authority Delegated to Financial-delegation	Financial delegation Authority Delegated to	Oracle Approvers
0	Board	Above £1,000,000	Chief Executive following approval by Board and Welsh Government
1	Chief Executive	Up to £1,000,000	Chief Executive
2	Executive Director of Finance	Up to £500,000	Executive Director of Finance
3	Executive Directors	Up to £300,000	Executive Directors
4	Senior Officers ( <i>not included in tier 3 including Finance Director: Commissioning and Financial Planning; Director of Corporate Governance; Director of Performance and Commissioning; Director of Communications and Engagement; Chief Digital and Information Officer; and Director of Estates and Environment</i> )	Up to £250,000	Senior Officers ( <i>not included in tier 3 including Finance Director: Commissioning and Financial Planning; Director of Corporate Governance; Director of Performance and Commissioning; Director of Communications and Engagement; Chief Digital and Information Officer; and Director of Estates and Environment</i> )
5	Assistant / Associate / Deputy Directors or Heads of Service	Up to £150,000	Assistant / Associate / Deputy Directors or Heads of Service
6	Service Contract Manager or Head of Operations	Up to £50,000	Service Contract Manager or Head of Operations

7	Service Lead or Site / General Manager	Up to £30,000	Service Lead or Site / General Manager
8	Nominated Budget Holder for specific cost centres	Up to £25,000	Nominated Budget Holder for specific cost centres

DRAFT FOR BOARD

## 1. General Requirements, Overriding Financial Instructions and Financial Provisions and Obligations

Ref	SFI requirement	SFI Ref.	Accountability for delivery and compliance with the SFI sits with	Related responsibilities delegated to
1A	Health Board's must agree Standing Financial Instructions (SFIs) for the regulation of their financial proceedings and business. They shall have the effect as if incorporated in the Standing Orders (SOs).	1.1.1	Board	Director of Corporate Governance working with the Executive Director of Finance to ensure SFIs are in place and agreed by the full Board.
1B	All financial policies procedures must be approved by the Executive Director of Finance and Audit Committee.	1.1.3	Executive Director of Finance  Audit Committee	No further delegation
1C	Should any difficulties arise in the interpretation of any of the SFIs then advice of the Director of Corporate Governance <del>Board Secretary</del> and Executive Director of Finance should be sought before acting.  The users of SFIs should also be familiar with the provisions of the health boards SOs.	1.1.4	All Board Members and Officers of the Health Board	Director of Corporate Governance is responsible for ensuring all Board members are aware of this requirement  Executive Directors are responsible for ensuring that their teams are aware of this requirement.

Ref	SFI requirement	SFI Ref.	Accountability for delivery and compliance with the SFI sits with	Related responsibilities delegated to
1D	Full details of any non-compliance with SFIs and explanation of the reasons for non-compliance to be reported to the Executive Director of Finance and Director of Corporate Governance <del>Board Secretary</del> .	1.2.1	All Board Members and Officers of the Health Board	Director of Corporate Governance is responsible for ensuring all Board members are aware of this requirement  Members of the Executive Committee are responsible for ensuring that their teams are aware of this requirement.
1E	Executive Director of Finance and Director of Corporate Governance <del>Board Secretary</del> to refer any matters of non-compliance to the Audit Committee to formally consider the matter.  Audit Committee to make proposals to the Board on any action to be taken.	1.2.1	Executive Director of Finance/ Director of Corporate Governance  Audit Committee	Finance Director: Commissioning and Financial Planning in the absence of the Executive Director of Finance <u>and</u> the Head of Corporate Affairs in the absence of the Director of Corporate Governance.
1F	The Board as a whole and the Chief Executive in particular, in their role as the Accountable Officer must ensure that the health board meets its statutory obligation to perform its functions within the available financial resources.	1.3.1	Board  Chief Executive specifically	No further delegation.  Guidance on the responsibility of budget holders is set out later in this document.

## 2. Responsibilities and delegation

Ref	SFI requirement	SFI Ref.	Accountability for delivery and compliance with the SFI sits with	Related responsibilities delegated to
2A	<p>The Board exercises financial supervision and control by:</p> <p>a) Formulating the Medium-Term Financial Plan (MTFP) as part of the Integrated Medium-Term Plan (IMTP);</p> <p>b) Requiring the submission and approval of budgets within approved allocations/overall funding</p> <p>c) Defining and approving essential features in respect of important financial policies, systems and controls (including the need to obtain value for money and sustainability); and</p> <p>d) Defining specific responsibilities placed on Board members and Health Board officers, and Health Board committees and Advisory Groups as indicated in the 'Scheme of delegation' document.</p>	2.1.1	Board	<p>Coordination and management of the development of the IMTP - Executive Director of Transformation, Strategic Planning &amp; Commissioning</p> <p>Coordination and development of the MTFP – Executive Director of Finance</p>
2B	Responsibility for the health board's system of internal control.	2.2.2	Chief Executive	Executive Directors are responsible for ensuring adequate systems of internal control are in place across their areas of responsibility.

Ref	SFI requirement	SFI Ref.	Accountability for delivery and compliance with the SFI sits with	Related responsibilities delegated to
2C	It is the duty of the Chief Executive to ensure that Board members, health board officers, and all new appointees are notified of, and put in a position to understand their responsibilities within these SFIs	2.2.3	Chief Executive	<p>Director of Corporate Governance and Executive Director of Finance are responsible for ensuring all Board members understand their responsibilities.</p> <p>Executive Directors are responsible for ensuring that their teams understand their responsibilities.</p>
2D	<p>The Executive Director of Finance is responsible for:</p> <p>a) Implementing the health board’s financial policies and for coordinating any corrective action necessary to further these policies;</p> <p>b) Maintaining an effective system of internal financial control including ensuring that detailed financial procedures and systems incorporating the principles of separation of duties and internal checks are prepared, documented and maintained to supplement these instructions;</p>	2.3.1	Executive Director of Finance	<p>Finance Director: Commissioning and Financial Planning</p> <p>Finance Director: Commissioning and Financial Planning</p>

Ref	SFI requirement	SFI Ref.	Accountability for delivery and compliance with the SFI sits with	Related responsibilities delegated to
	<p>c) Ensuring that sufficient records are maintained to show and explain the health board's transactions, in order to disclose, with reasonable accuracy, the financial position of the health board at any time; and</p> <p>d) Without prejudice to any other functions of the health board, Board members and health board officers, the duties of the Executive Director of Finance include:</p> <ul style="list-style-type: none"> <li>(i) the provision of financial advice to other Board members and health board officers, and health board committees and Advisory Groups,</li> <li>(ii) the design, implementation and supervision of systems of internal financial control, and</li> <li>(iii) the preparation and maintenance of such accounts, certificates, estimates, records and reports as the health board may require for the purpose of carrying out its statutory duties.</li> </ul>			<p>Finance Director: Commissioning and Financial Planning</p> <p>No further delegation</p>
2E	The Executive Director of Finance is responsible for ensuring an ongoing training and communication programme is in place to affect these SFIs.	2.3.2	Executive Director of Finance	Finance Director: Commissioning and Financial Planning

Ref	SFI requirement	SFI Ref.	Accountability for delivery and compliance with the SFI sits with	Related responsibilities delegated to
2F	<p>All Board members and health board officers, and health board Committees and Advisory Groups, severally and collectively, are responsible for:</p> <p>a) The security of the property of the health board;  b) Avoiding loss;  c) Exercising economy, efficiency and sustainability in the use of resources; and  d) Conforming to the requirements of SOs, SFIs, Financial Control Procedures and the Scheme of delegation.</p>	2.4.1	All Board members, officers, Committees and Advisory Groups	No further delegation
2G	<p>Any contractor or employee of a contractor who is empowered by the health board to commit the health board to expenditure or who is authorised to obtain income shall be covered by the SFIs. It is the responsibility of the Chief Executive to ensure that such persons are made aware of this.</p>	2.5.1	Chief Executive	Executive Directors are responsible for ensuring this is understood by contractors working in their area.

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### 3. Audit, Fraud and Corruption, and Security Management

Ref	SFI requirement	SFI Ref.	Accountability for delivery and compliance with the SFI sits with	Related responsibilities delegated to
3A	In accordance with SOs the Board shall formally establish an Audit Committee with clearly defined terms of reference.	3.1.1	Board	No further delegation.  Director of Corporate Governance will support the establishment of the Committee and ensure clear terms of reference are in place.
3B	The Audit Committee will follow the guidance set out in the NHS Wales Audit Committee Handbook.  <i>Note: if new or revised guidance is issued in addition to / replacement of the Handbook, the Committee should follow the revised guidance.</i>	3.1.1	Chair of Audit Committee	No further delegation.  Chair of Audit Committee to be supported by Director of Corporate Governance.
3C	Ensuring there are arrangements in place to review, evaluate and report on the effectiveness of internal financial control, including the establishment of an effective Internal Audit function.	3.2.1 (a)	Chief Executive	Director of Corporate Governance
3D	Ensuring that the Internal Audit function meets the required standards and provides sufficient independent and objective assurance to the Audit Committee and the Accountable Officer.	3.2.1 (b)	Chief Executive	Chief Executive to be supported by Director of Corporate Governance  Head of Internal Audit

Ref	SFI requirement	SFI Ref.	Accountability for delivery and compliance with the SFI sits with	Related responsibilities delegated to
3E	Deciding at what stage to involve the police in cases of misappropriation and other irregularities not involving fraud or corruption	3.2.1 (c)	Chief Executive	Director of Corporate Governance and Executive Director of Finance or Executive Director of People Services and Organisational Development
3F	Ensuring that an annual Internal Audit report is prepared for the consideration of the Audit Committee and the Board.	3.2.1 (d)	Chief Executive	Head of Internal Audit and Director of Corporate Governance
3G	The health board's Audit Committee must ensure that a cost-effective external audit service is delivered.	3.4.1	Audit Committee	Director of Corporate Governance and Executive Director of Finance to support the Audit Committee.
3H	The Audit Committee should consider the annual audit plan prepared by the external auditors and the associated fees.  The Audit Committee should consider material changes to the annual audit plan.	3.4.3	Audit Committee	No further delegation.  Director of Corporate Governance to ensure review scheduled in to the Committee's work programme
3I	The Auditor General's representative should be invited to attend every Audit Committee.	3.4.4	Director of Corporate Governance	

Ref	SFI requirement	SFI Ref.	Accountability for delivery and compliance with the SFI sits with	Related responsibilities delegated to
3J	The health board will provide the Auditor General and his representatives with whatever facilities are necessary to facilities audits, including accommodation and access to IT facilities.	3.4.7	Executive Director of Finance	Finance Director: Commissioning and Financial Planning
3K	The Chief Executive and Executive Director of Finance shall monitor and ensure compliance with Directions issued by the Welsh Ministers on fraud and corruption.	3.5.1	Chief Executive and Executive Director of Finance	No further delegation  The Executive Director of Finance will be responsible for regular liaison with Counter Fraud Services
3L	The health board shall nominate a suitable person to carry out the duties of the Local Counter Fraud Specialist.	3.5.2	Board	Executive Director of Finance to put arrangements in place.  Audit Committee to review adequacy of arrangements.
3M	Local Counter Fraud Specialist to provide a written report to the Executive Director of Finance and Audit Committee at least annually, on counter fraud work within the health board	3.5.4	Local Counter Fraud Specialist	No further delegation.  Director of Corporate Governance to ensure report scheduled in to the work programme of the Audit Committee.

Ref	SFI requirement	SFI Ref.	Accountability for delivery and compliance with the SFI sits with	Related responsibilities delegated to
3N	<p>The health board must participate in the annual National Fraud Initiative.</p> <p>The Audit Committee should consider the health board's participation in additional dataset matching in order to support the detection of fraud across the whole public sector.</p>	3.5.5	<p>Executive Director of Finance</p> <p>Audit Committee</p>	<p>Director of Corporate Governance to ensure review scheduled in to the work programme of the Audit Committee.</p>
3O	<p>The Chief Executive will monitor and ensure compliance with Directions issued by the Welsh Ministers on NHS security management.</p>	3.6.1	<p>Chief Executive</p>	<p>Executive Director of Finance, with support from relevant Directors.</p>
3P	<p>The Chief Executive has overall responsibility for controlling and co-ordinating security.</p>	3.6.2	<p>Chief Executive</p>	<p>Executive Director of Finance, with support from relevant Directors.</p>

#### 4. Financial Duties

Ref	SFI requirement	SFI Ref.	Accountability for delivery and compliance with the SFI sits with	Related responsibilities delegated to
4A	<p>The Executive Director of Finance of the Health Board will:</p> <ul style="list-style-type: none"> <li>a) Prior to the start of each financial year, submit to the Board for approval a report showing the total allocations received, assumed in-year adjustments and their proposed distribution, including any sums to be held in reserve;</li> <li>b) Ensure that any ring-fenced or non-discretionary allocations are disbursed in accordance with Welsh Ministers' requirements;</li> <li>c) Periodically review any assumed in-year allocations to ensure that these are reasonable and realistic; and</li> <li>d) Regularly update the Board on significant changes to the initial allocation and the application of such funds.</li> </ul>	4.2.4	Executive Director of Finance	No further delegation
4B	<p>The Chief Executive has overall executive responsibility for the health board's activities and is responsible to the Board for ensuring that it meets its financial duty to breakeven.</p>	4.2.5	Chief Executive	Executive Directors

Ref	SFI requirement	SFI Ref.	Accountability for delivery and compliance with the SFI sits with	Related responsibilities delegated to
4C	The Chief Executive will compile and submit to the Board, on an annual basis, the rolling 3 year Integrated Medium Term Plan.	4.3.7	Chief Executive	Executive Director of Transformation and Strategic Planning
4D	The Board will: <ul style="list-style-type: none"> <li>a) Approve the Integrated Medium-Term Plan (IMTP) prior to the beginning of the financial year of implementation.</li> <li>b) Approve a balanced Medium Term Financial Plan (MTFP) as part of the Integrated Medium-Term Plan, which meets all probity and value for money requirements; and</li> <li>c) Prepare and agree with the Welsh Government a robust and sustainable recovery plan in accordance with Welsh Ministers' guidance where the health board plan is not in place or in balance.</li> </ul>	4.3.8	Board	Performance, Finance and Information Governance Committee and the Planning, Population and Health Partnership Committee will scrutinise the draft IMTP and MTFP and make recommendations to the Board.
4E	The Board approved Integrated Medium-Term Plan will be submitted to the Welsh Government in line with the requirements of the Integrated Planning Framework.	4.3.9	Board	Chief Executive on Board's behalf

## 5. Financial Management and Budgetary Control

Ref	SFI requirement	SFI Ref.	Accountability for delivery and compliance with the SFI sits with	Related responsibilities delegated to
5A	Prior to the start of the financial year the Executive Director of Finance will, on behalf of the Chief Executive, prepare and submit budgets for approval and delegation by the Board.	5.1.1	Executive Director of Finance	No further delegation
5B	Approval and Delegation of budgets	5.1.1	Board	No further delegation
5Bi	Approval of annual detailed budget for Directorates within budget approved by Board	Local	Executive and Associate Directors	No further delegation
5Bii	Delegation of budgets to budget holders including ensuring the appropriate documentation is completed and returned to the Finance Directorate	Local	Executive and Associate Directors	No further delegation
5Biii	Authorisation of expenditure above budget	Local	Chief Executive	Reported to Audit Committee See <a href="#">Table 5B (1) below</a>
5C	The Chief Executive may delegate, via the Executive Director of Finance, the management of a budget to permit the performance of a defined range of activities, including pooled budget arrangements under Regulations made in accordance with Section 33 of the NHS (Wales) Act 2006 (C.42).  This delegation must be in writing, in the form of a letter	5.2.1	Chief Executive	Executive Director of Finance

Ref	SFI requirement	SFI Ref.	Accountability for delivery and compliance with the SFI sits with	Related responsibilities delegated to
	of accountability, and be accompanied by a clear definition of: a) The amount of the budget; b) The purpose(s) of each budget heading; c) Individual or committee responsibilities; d) Arrangements during periods of absence; e) Authority to exercise virement; f) Achievement of planned levels of service; and g) The provision of regular reports.			
5D	Delegation to include the authority to exercise virement and budget transfers	5.2.1	Chief Executive	Executive Director of Finance See <a href="#">Table 5D (1) below</a>
5E	The Chief Executive, Executive Director of Finance and delegated budget holders must not exceed the budgetary total or virement limits set by the Board.	5.2.2	Chief Executive	Executive Director of Finance  Budget Holders
5F	Non-recurring budgets should not be used to finance recurring expenditure without the authority in writing of the Chief Executive, as advised by the Executive Director of Finance.	5.2.4	Chief Executive <i>[advised by Executive Director of Finance]</i>	No further delegation
5G	All budget holders must provide information as required by the Executive Director of Finance to enable budgets to be compiled and managed appropriately.	5.2.5	Budget Holders	No further delegation
5H	All budget holders are required to sign up to their allocated budgets at the start of the financial year.	5.2.6	Budget Holders	<a href="#">See Table 5H (1) below</a>

Ref	SFI requirement	SFI Ref.	Accountability for delivery and compliance with the SFI sits with	Related responsibilities delegated to
5l	The Executive Director of Finance has a responsibility to ensure that appropriate and timely financial information is provided to budget holders and that adequate training is delivered on an on-going basis to assist budget holders managing their budgets successfully.	5.2.7	Executive Director of Finance	Chief Finance Officers

**Table 5B (1) - Authority to commit resources above expenditure baselines set within delegated budgets**

Ref	Revenue Business Case Value (Total Value)	Approved by:
1	Up to £0.25m	Chief Executive and Executive Director of Finance  All approvals retrospectively reported to Executive Committee
2	Above £0.25m, up to £0.5m	Relevant Executive Director and Executive Director of Finance and then approval by Executive Committee
3	Above £0.5m, up to £1.0m	Relevant Executive Director and Executive Director of Finance and then approval by Executive Committee plus the Performance, Finance & Information Governance Committee
4	Above £1.0m	Relevant Executive Director and Executive Director of Finance and then approval by Executive Committee plus the Performance, Finance & Information Governance Committee plus approval by Board and Welsh Government

**Table 5D (1) -Approval of variation of budgets, including authority to vire**

Delegated Authority	Between budget lines	Capital to Revenue budgets & <i>vice versa</i>
Within own budget* a department	Budget manager*	Executive Director of Finance in liaison with Welsh Government
Within a directorate; between departments Between Area Teams, Hospital Teams or Corporate Departments*	Executive Director and Chief Finance Officer Relevant Tier 3 or 4 Officer(s)*	
Between Area Teams, Hospital Teams or Corporate Departments directorates: Above Tier 3 or 4 Officer's delegated limit and up to £0.5m	Relevant Tier 3 or 4 Officer(s) Executive Director of both directorates and the Finance Director – Commissioning and Financial Planning	
Between Area Teams, Hospital Teams or Corporate Departments directorates: Above £0.5m and up to £1.0m	Relevant Tier 3 or 4 Officer(s) Executive Director of both directorates and the Executive Director of Finance or Chief Executive	
Between Area Teams, Hospital Teams or Corporate Departments directorates: Above £1.0m	Board	
* Virement requests for increases in STAT (WTE)	*Also require approval of Finance Director: Commissioning and Financial Planning	
Budget transfers between Reserves and delegated budgets	Finance Director: Commissioning and Financial Planning	

Delegated Authority	Between budget lines	Capital to Revenue budgets & vice versa
Notification of virement to Directorate of Finance to ensure budget updated	Individual authorising the virement	

**Table 5H (1)**

Delegated Matter	Delegated to:	Agreed by:
Delegation of the management of defined Revenue budgets to budget holders: <ul style="list-style-type: none"> <li>i. Revenue budgets for Clinical Directorates</li> <li>ii. Revenue budgets for Corporate Directorates</li> <li>iii. Reserves</li> </ul>	<ul style="list-style-type: none"> <li>i. Budget Holders</li> <li>ii. Budget Holders</li> <li>iii. Finance Director: Commissioning and Financial Planning</li> </ul>	<ul style="list-style-type: none"> <li>i. Executive Directors</li> <li>ii. Executive Directors</li> <li>iii. Executive Director of Finance</li> </ul>

Ref	SFI requirement	SFI Ref.	Accountability for delivery and compliance with the SFI sits with	Related responsibilities delegated to
5J	<p>Monitor financial performance against budget and plans and report the current and forecast position, and financial risks, on a monthly basis and at every Board meeting.</p> <p>Any significant variances should be reported to the Board as soon as they come to light and the Board shall be advised on any action to be taken in respect of such variances.</p>	5.3.1	Executive Director of Finance	No further Delegation [Finance Director: Commissioning and Financial Planning supports preparation]
5K	Devise and maintain systems of financial management, performance reporting and budgetary control.	5.3.2	Executive Director of Finance	Finance Director: Commissioning and Financial Planning
5L	<p>Each Budget Holder is responsible for ensuring that:</p> <p>a) Any likely overspending or reduction of income that cannot be met by virement is not incurred without the prior consent of the Chief Executive subject to the Board's scheme of delegation;</p> <p>b) The amount provided in the approved budget is not used in whole or in part for any purpose other than that specifically authorised, subject to the rules of virement;</p> <p>c) No permanent employees are appointed without the approval of the Chief Executive other than those provided for within the available resources and workforce establishment as approved by the Board.</p>	5.3.4	Budget Holders	No further delegation

Ref	SFI requirement	SFI Ref.	Accountability for delivery and compliance with the SFI sits with	Related responsibilities delegated to
5M	The Chief Executive is responsible for identifying and implementing cost and efficiency improvements and income generation initiatives in accordance with the requirements of the Medium-Term Financial Plans.	5.3.5	Chief Executive	Executive Director of Finance with Executive and Associate Directors
5N	All monitoring returns must be supported by a detailed commentary signed by the Executive Director of Finance and Chief Executive. This commentary should also highlight and quantify any significant risks with an assessment of the impact and likelihood of these risks maturing.	5.5.2	Chief Executive and Executive Director of Finance	No further delegation <i>[if not available these are delegated to their deputies]</i>
5O	All information made available to the Welsh Ministers must be made available to the Board.	5.5.3	Chief Executive and Executive Director of Finance	Director of Corporate Governance

## 6. Annual Accounts and Reports

Ref	SFI requirement	SFI Ref.	Accountability for delivery and compliance with the SFI sits with	Related responsibilities delegated to
6A	The Board must approve the health board's annual accounts prior to submission to the Welsh Ministers and the Auditor General for Wales in accordance with the annual timetable.	6.1	Board	No further delegation  The Audit Committee will provide advice and make recommendations.
6B	The Chair and Chief Executive have responsibility for signing the accounts on behalf of the health board.  The Chief Executive has responsibility for signing the Performance Report, Accountability Report, Statement of Financial Position and the Governance Statement.	6.2	Chair and Chief Executive  Chief Executive	No further delegation  No further delegation
6C	Ensuring that financial reports and returns are prepared in accordance with the accounting policies, guidance and timetable determined by the Welsh Ministers and consistent with Financial Reporting Manual and International Financial Reporting Standards.	6.3	Executive Director of Finance	Finance Director: Commissioning and Financial Planning

Ref	SFI requirement	SFI Ref.	Accountability for delivery and compliance with the SFI sits with	Related responsibilities delegated to
6D	The health board's audited annual accounts must be adopted by the Board at a public meeting and made available to the public.	6.4	Board	No further delegation  <i>[Director of Corporate Governance responsible for ensuring arrangements for a public meeting are made]</i>
6E	The health board will publish an annual report, in accordance with guidelines on local accountability, and present it at its Annual General Meeting. The document will comply with the Welsh Government's Manual for Accounts.	6.5	Board	Director of Corporate Governance to prepare draft for Board consideration.

## 7. Banking arrangements

Ref	SFI requirement	SFI Ref.	Accountability for delivery and compliance with the SFI sits with	Related responsibilities delegated to
7A	<p>The Executive Director of Finance is responsible for managing the Health Board's banking arrangements and for advising the Board on the provision of banking services and operation of accounts. This advice will take into account guidance/ Directions issued from time to time by the Welsh Ministers.</p> <p>Health boards are required to use the Government Banking Service (GBS) for its banking services.</p>	7.1.1	Executive Director of Finance	Finance Director: Commissioning and Financial Planning
7B	Approval of banking arrangements	7.1.2	Board	Audit Committee
7C	<p>The Executive Director of Finance is responsible for:</p> <ul style="list-style-type: none"> <li>a) Establishing bank accounts;</li> <li>b) Establishing additional commercial accounts (exceptionally);</li> <li>c) Establishing separate bank accounts for the health board's non-exchequer funds;</li> <li>d) Ensuring payments made from bank accounts do not exceed the amount credited to the account except where arrangements have been made;</li> <li>e) ensuring accounts are not overdrawn except in exceptional and planned situations;</li> <li>f) Reporting to the Board all arrangements made with the</li> </ul>	7.2.1	Executive Director of Finance	Finance Director: Commissioning and Financial Planning

Ref	SFI requirement	SFI Ref.	Accountability for delivery and compliance with the SFI sits with	Related responsibilities delegated to
	health board's bankers for accounts to be overdrawn; g) Monitoring compliance with Welsh Ministers' guidance on the level of cleared funds.			
7D	All accounts should be held in the name of the health board. No officer other than the Executive Director of Finance shall open any account in the name of the health board or for the purposes of furthering health board activities	7.2.2	Executive Director of Finance	No further delegation
7E	The Executive Director of Finance will prepare detailed instructions on the operation of bank accounts which must include:  i) The conditions under which bank accounts are to be operated; ii) Those authorised to sign cheques or other orders drawn on the health board's accounts; iii) Authorised signatories are identified with sufficient seniority, and in the case of e-banking approvers, together with an appropriate approval hierarchy.	7.3.1	Executive Director of Finance	i) Finance Director: Commissioning and Financial Planning  ii) See <a href="#">Table 7E (1) below</a>
7F	The Executive Director of Finance must advise the Health Board's bankers in writing of the conditions under which each account will be operated.	7.3.2	Executive Director of Finance	No further delegation

Ref	SFI requirement	SFI Ref.	Accountability for delivery and compliance with the SFI sits with	Related responsibilities delegated to
7G	The Executive Director of Finance shall approve security procedures for any cheques issued without a hand-written signature	7.3.3	Executive Director of Finance	Finance Director: Commissioning and Financial Planning
7H	The Executive Director of Finance will review banking arrangements of the health board at regular intervals to ensure they reflect best practice, that they are efficient and effective and represent best value for money.	7.4.1	Executive Director of Finance	Finance Director: Commissioning and Financial Planning
7I	The results of the review should be reported to the Audit Committee.	7.4.1	Executive Director of Finance	Director of Corporate Governance to ensure that such reports go to the Committee.

**Table 7E (1)**

<p><b>Day to day operation of bank accounts:</b></p> <ul style="list-style-type: none"> <li>i. maintain list of approved signatories for manual payments</li> <li>ii. approval to authorise automated payments: <ul style="list-style-type: none"> <li>• accounts payable*</li> <li>• payroll</li> <li>• primary care contractors</li> </ul> </li> <li>iii. maintain list of bankline users and authorisers for internet banking transactions</li> </ul>	<ul style="list-style-type: none"> <li>i. Finance Director: Commissioning and Financial Planning</li> <li>ii. NHS Wales Shared Services Partnership</li> <li>iii. Finance Director: Commissioning and Financial Planning</li> </ul>
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**\*after confirmation from Head of Financial Control that sufficient funds are available in the bank account**

## 8. Cash, cheques, Payment Cards and other negotiable instruments

Ref	SFI requirement	SFI Ref.	Accountability for delivery and compliance with the SFI sits with	Related responsibilities delegated to
8A	<p>The Executive Director of Finance is responsible for:</p> <ul style="list-style-type: none"> <li>a) Approving the form of all receipt books, agreement forms, or other means of officially acknowledging or recording monies received or receivable;</li> <li>b) Ordering and securely controlling any such stationery with management responsibility given to a duly designated employee;</li> <li>c) The provision of adequate physical facilities and systems for officers whose duties include collecting and holding cash, including the provision of safes or lockable cash boxes, the procedures for keys, and for coin operated machines;</li> <li>d) establishing systems and procedures for handling cash and negotiable securities on behalf of the health board;</li> <li>e) Ensuring effective control systems are in place for the use of payment cards;</li> <li>f) Ensuring that there are adequate control systems in place to minimise the risk of cash/card misappropriation.</li> </ul>	8.1.1	Executive Director of Finance	Finance Director: Commissioning and Financial Planning

Ref	SFI requirement	SFI Ref.	Accountability for delivery and compliance with the SFI sits with	Related responsibilities delegated to
8B	Purchases from petty cash are restricted in value and by type of purchase in accordance with instructions issued by the Executive Director of Finance	8.2.1	Executive Director of Finance	Finance Director: Commissioning and Financial Planning

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## 9. Income, fees and charges

Ref	SFI requirement	SFI Ref.	Accountability for delivery and compliance with the SFI sits with	Related responsibilities delegated to
9A	Designing and maintaining procedures to ensure compliance with systems for the proper recording, invoicing, and collection and coding of all monies due.	9.2.1	Executive Director of Finance	Finance Director: Commissioning and Financial Planning
9B	Ensuring that systems are in place for the prompt banking of all monies received.	9.2.2	Executive Director of Finance	Finance Director: Commissioning and Financial Planning
9C	Approving and regularly reviewing the level of all fees and charges, other than those determined by the Welsh Ministers or by statute ( <i>Private patients, overseas visitors, income generation and other related services</i> )	9.3.1	Executive Director of Finance	Head of Healthcare Contracting - Finance
9D	All officers must inform the Executive Director of Finance promptly of money due arising from transactions which they initiate/deal with, including all contracts, leases, tenancy agreements, private patient undertakings and other transactions.	9.3.2	All Officers of the Health Board	Executive Directors are responsible for ensuring that all their teams are aware of this requirement. <b>Table 9D (1)</b> sets out details of delegations related to fees and charges.

**Table 9D (1)**

Fees and Charges:	Authority Delegated to
<p><b>Service Level Agreements / Contracts with other NHS bodies</b></p> <ul style="list-style-type: none"> <li>i. Up to £30,000</li> <li>ii. Up to £50,000</li> <li>iii. Up to £150,000</li> <li>iv. Up to £250,000</li> <li>v. Between £250,000 and £5 million</li> <li>vi. Between £5 million and £10 million</li> <li>vii. Over £10 million</li> </ul>	<p>Agreement to <b>provide</b> services with an <b>annual income value</b> up to £250,000 must be provided approved by the Chief Operating Officer and Executive Director of Finance.</p> <p>Above £250,000 must be approved by Executive Committee.</p> <p>SLA / Contracts to be signed in accordance:</p> <ul style="list-style-type: none"> <li>i. Specific Budget Holders as per operational Schemes of Delegation</li> <li>ii. Service Contract Manager</li> <li>iii. Director / Head of Service</li> <li>iv. Relevant IHC / Service Director</li> <li>v. Relevant Executive Director and Finance Director: Commissioning and Financial Planning</li> <li>vi. Executive Director of Finance or Chief Executive</li> <li>vii. Chief Executive (<b>following approval by the Executive Committee and the Board</b>)</li> </ul>
<p><b>Grant Funding Agreements</b></p> <p>Agreement to <b>receive</b> a grant with a <b>total income value</b>:</p>	

<ul style="list-style-type: none"> <li>i. up to £75,000</li> <li>ii. up to £250,000</li> <li>iii. up to £500,000</li>   <li>iv. up to £1 million</li>   <li>v. over £1 million</li> </ul>	<ul style="list-style-type: none"> <li>i. Assistant Directors Associate / Deputy Directors (Tier 5)</li> <li>ii. Service Directors (Tier 4)</li> <li>iii. An Executive Director and Finance Director: Commissioning and Financial Planning (following approval by the Executive Committee)</li> <li>iv. Executive Director of Finance or Chief Executive (following approval by the Executive Committee)</li> <li>v. Chief Executive (following approval by the Board and Welsh Government)</li> </ul>
<p><b>Healthcare Agreements / Contracts with Private and 3<sup>rd</sup> Sector Organisations</b></p> <p>Authority to sign Agreement to <b>provide</b> services with a <b>total income value</b> over life of contract (following relevant governance approvals):</p> <ul style="list-style-type: none"> <li>i. up to £75,000</li> <li>ii. up to £250,000</li> <li>iii. up to £500,000</li> <li>iv. up to £1 million</li> <li>v. over £1 million</li> </ul>	<ul style="list-style-type: none"> <li>i. Assistant / Associate / Deputy Directors (Tier 5)</li> <li>ii. Service Directors (Tier 4)</li> <li>iii. An Executive Director and Finance Director: Commissioning and Financial Planning (<b>following approval by the Executive Committee</b>)</li> <li>iv. Executive Director of Finance or Chief Executive (<b>following approval by the Executive Committee</b>)</li> <li>v. Chief Executive (<b>following approval by the Executive Committee and the Board and Welsh Government</b>)</li> </ul>
<p><b>Healthcare Agreements / Contracts with Local Authorities and Public Bodies</b></p> <p>Authority to sign Agreement to <b>provide</b> services with a <b>total income value</b> over life of contract (following relevant governance approvals):</p>	

<ul style="list-style-type: none"> <li>i. up to £75,000</li> <li>ii. up to £250,000</li> <li>iii. up to £1 million</li> <li>iv. up to £5 million</li> <li>v. over £5 million</li> </ul>	<ul style="list-style-type: none"> <li>i. Assistant / Associate / Deputy Directors (Tier 5)</li> <li>ii. Service Directors (Tier 4)</li> <li>iii. An Executive Director and Finance Director: Commissioning and Financial Planning (<b>following approval by the Executive Committee</b>)</li> <li>iv. Executive Director of Finance or Chief Executive (<b>following approval by the Executive Committee</b>)</li> <li>v. Chief Executive (<b>following approval by the Executive Committee and the Board and Welsh Government</b>)</li> </ul>
<p><b>Individual NHS patient treatment charges outside of Agreements / Contracts</b></p> <p>Agreement to provide treatment</p>	<p>Executive Director of Finance</p>
<p><b>Private Patients and overseas patients without reciprocal agreements</b></p> <ul style="list-style-type: none"> <li>i. pricing policy and price structure</li> <li>ii. payment policy, including use of deposits, income guarantees, arrangements with insurance companies</li> </ul>	<p>Executive Director of Finance with relevant Director</p>
<p><b>Commercial sponsorship offers (including funding contributions for staff &amp; non staff costs)</b></p> <p>Agreement to receive commercial sponsorship or funding (in accordance with the relevant Health Board Policy)</p>	<p>Chief Executive or Executive Director of Finance</p>

<p><b>Commercial and non-commercial research projects and trials</b></p> <p>Agreement to receive funding:</p> <ul style="list-style-type: none"> <li>i. up to £50,000</li> <li>ii. £50,000 to £100,000</li> <li>iii. Over £100,000</li> </ul>	<ul style="list-style-type: none"> <li>i. Executive Medical Director and Director of Finance – Commissioning &amp; Financial Planning</li> <li>ii. Executive Medical Director and Executive Director of Finance</li> <li>iii. Executive Director of Finance (following approval by Executive Committee)</li> </ul>

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Ref	SFI requirement	SFI Ref.	Accountability for delivery and compliance with the SFI sits with	Related responsibilities delegated to
9E	The Executive Director of Finance is responsible for recovering income due and for ensuring debt recovery procedures are in place.	9.4.3	Executive Director of Finance	Finance Director: Commissioning and Financial Planning
9F	Ensuring the Welsh Ministers' guidance on disputed debt arbitration is strictly adhered to.	9.4.6	Chief Executive & Executive Director of Finance	Finance Director: Commissioning and Financial Planning

## 10. Non-Pay expenditure

Ref	SFI requirement	SFI Ref.	Accountability for delivery and compliance with the SFI sits with	Related responsibilities delegated to
10A	The Chief Executive will approve the level of non-pay expenditure and operational scheme of delegation and authorisation to budget holders and managers within the parameters set out in the health board's scheme of delegation	10.1.2	Chief Executive	Executive and Service Directors  See Table Below for Oracle and non-Oracle requisitions

**ALL DIRECTORATES MUST HAVE A LOCAL / OPERATIONAL SCHEME OF DELEGATION LINKING ACTIVITIES TO THE MAXIMUM DELEGATED LIMITS SET OUT BELOW AT A GRANULAR LEVEL OF APPLICATION WITHIN THEIR SERVICE AREA.**

**All Financial Limits shown below are inclusive of VAT irrespective of recovery arrangements**

ORACLE REQUISITIONS	Authority Delegated to
Up to £25,000	Nominated Budget Holder for specific cost centres
Up to £30,000	Service Lead or Site / General Manager
Up to £50,000	Service Contract Manager or Head of Operations

ORACLE REQUISITIONS	Authority Delegated to
Up to £150,000	Assistant / Associate / Deputy Directors or Heads of Service
Up to £250,000	Service Director including Finance Director: Commissioning and Financial Planning
Up to £300,000	Executive Director
Up to £500,000	Executive Director of Finance
Up to £1 million	Chief Executive
Above £1 million	Chief Executive following approval by the Executive Committee, Board and Welsh Government

Expenditure commitments made outside of the ORACLE requisition process		Authority Delegated to
Contracts for HealthCare Services	See Section 12	See Section 12
Non-contracted activity for Healthcare Services	<ul style="list-style-type: none"> <li>i. Up to £15,000</li> <li>ii. Up to £30,000</li> </ul>	<ul style="list-style-type: none"> <li>i. Senior Finance Manager – Healthcare contracts</li> <li>ii. Principal Finance Manager – Healthcare contracts</li> </ul>

	<ul style="list-style-type: none"> <li>iii. Up to £75,000</li> <li>iv. Up to £500,000</li> <li>v. Above £500,000</li> </ul>	<ul style="list-style-type: none"> <li>iii. Head of Healthcare Contracting – Finance</li> <li>iv. Executive Director of Finance</li> <li>v. Chief Executive</li> </ul>
Staff Travel and Subsistence	TBC	TBC Line Managers
Pension Agency Invoices (Injury Benefit/Compensation)		Executive Director of Finance
Legal costs  All claims and defence costs to be supported by formal legal advice	<ul style="list-style-type: none"> <li>i. Up to £0.5 million</li> <li>ii. Up to £1 million</li> <li>iii. Above £1 million</li> </ul>	<ul style="list-style-type: none"> <li>i. Deputy Director of Legal Services</li> <li>ii. Director of Corporate Governance</li> <li>iii. Chief Executive (following Board approval unless otherwise delegated)</li> </ul>
Legal Advice Requests	Chief Executive	<p>Director of Corporate Governance (or Deputy Director of Legal Services)</p> <p>List of officers authorised to instruct approved Legal Services will be detailed in the Legal Services Policy</p>

Ref	SFI requirement	SFI Ref.	Accountability for delivery and compliance with the SFI sits with	Related responsibilities delegated to
10B	<p>The Chief Executive will set out in the operational scheme of delegation and authorisation:</p> <ul style="list-style-type: none"> <li>a) The list of managers who are authorised to place requisitions for the supply of goods, services and works and for the awarding of contracts; and</li> <li>b) The maximum level of each requisition and the system for authorisation above that level.</li> </ul>	10.1.3	Chief Executive	Executive and Service Directors
10C	<p>The Executive Director of Finance will:</p> <ul style="list-style-type: none"> <li>a) Advise the Board regarding the thresholds above which quotations (competitive or otherwise) or formal tenders must be obtained; and, once approved, the thresholds would be incorporated in SOs and SFIs;</li> <li>b) Preparation of instructions and guidance on non-pay expenditure;</li> <li>c) Ensure systems of authorisation are in place;</li> <li>d) Ensure Directors and officers strictly follow NHS Wales system and procedures of verification, recording and payment of all amounts payable;</li> <li>e) Maintain a list of Executive Directors and officers (including specimens of their signatures) authorised to certify invoices;</li> <li>f) Be responsible for ensuring compliance with the Public Sector Payment policy;</li> <li>g) Ensure that where consultancy advice is being obtained, the procurement of such advice must be in accordance with applicable procurement legislation,</li> </ul>	10.2.1	Executive Director of Finance	See <a href="#">Table 10C (1) below</a> for competition requirements for 'Goods and Non-Health Services Only' where there is no suitable procurement framework to source the required item(s)

Ref	SFI requirement	SFI Ref.	Accountability for delivery and compliance with the SFI sits with	Related responsibilities delegated to
	<p>guidance issued by the Welsh Ministers and SFIs;</p> <p>h) Be responsible for Petty Cash system, procedures, authorisation and record keeping, and ensure purchases from petty cash are restricted in value and by type of purchase in accordance with procedures</p>			
10D	<p>Compliance with the requirements below:</p> <p>a) All contracts (except as otherwise provided for in the Scheme of Delegation), leases, tenancy agreements and other commitments which may result in a liability are notified to the Executive Director of Finance in advance of both any commitment being made and NWSSP Procurement Services being engaged;</p> <p>b) Contracts above specified thresholds are advertised and awarded, through NWSSP Procurement Services, in accordance with EU and HM Treasury rules on public procurement;</p> <p>c) Contracts above specified thresholds are approved by the Welsh Ministers prior to any commitment being made;</p> <p>d) goods have been duly received, examined and are in accordance with specification and order;</p> <p>e) work done or services rendered have been satisfactorily carried out in accordance with the order, and, where applicable, the materials used are of the requisite standard and the charges are correct;</p> <p>f) No requisition/order shall be issued for any item or items to any firm which has made an offer of gifts, reward or</p>	10.3.1	Budget Holders	<p>Executive Director of Finance to put arrangements to ensure compliance</p> <p>Executive Directors to ensure all budget holders within their Directorate are aware of the requirements</p>

Ref	SFI requirement	SFI Ref.	Accountability for delivery and compliance with the SFI sits with	Related responsibilities delegated to
	<p>benefit to Board members or LHB officers, other than:</p> <ul style="list-style-type: none"> <li>(i) Isolated gifts of a trivial character or inexpensive seasonal gifts, such as calendars,</li> <li>(ii) Conventional hospitality, such as lunches in the course of working visits;</li> <li>g) No requisition/order is placed for any item or items for which there is no budget provision unless authorised by the Executive Director of Finance on behalf of the Chief Executive;</li> <li>h) All goods, services, or works are ordered on official orders;</li> <li>i) Requisitions/orders are not split or otherwise placed in a manner devised so as to avoid the financial thresholds;</li> <li>j) Goods are not taken on trial or loan in circumstances that could commit the LHB to a future uncompetitive purchase.</li> </ul>			
10E	<p>The Chief Executive and Executive Director of Finance shall ensure that the arrangements for financial control and financial audit of building and engineering contracts and property transactions comply with the guidance issued by the Welsh Ministers.</p> <p>The technical audit of these contracts shall be the responsibility of the relevant Director.</p>	10.3.2	Chief Executive Executive Director of Finance	No further delegation
10F	Prepayments should be exceptional and are only permitted where either:	10.6.1	Executive Director of Finance	Executive Directors

Ref	SFI requirement	SFI Ref.	Accountability for delivery and compliance with the SFI sits with	Related responsibilities delegated to
	<ul style="list-style-type: none"> <li>▪ The financial advantages outweigh the disadvantages (i.e., cash flows must be discounted to Net Present Value (NPV) using the National Loans Fund (NLF) rate plus 2%);</li> <li>▪ It is the industry norm e.g., courses and conferences; There is specific Welsh Ministers' approval to do so e.g., voluntary services compact.</li> </ul>			
10G	<p>In exceptional circumstances prepayments can be made subject to:</p> <p>a) The appropriate Executive Director must provide, in the form of a written report, a case setting out all relevant circumstances of the purchase. The report must set out the effects on the Health Board if the supplier is at some time during the course of the prepayment agreement unable to meet their commitments;</p> <p>b) The Executive Director of Finance will need to be satisfied with the proposed arrangements before contractual arrangements proceed (taking into account the EU public procurement rules where the contract is above a stipulated financial threshold);</p>	10.6.2	Executive Director of Finance	Executive Directors
10H	<p>The budget holder is responsible for ensuring that all items due under a prepayment contract are received and they must immediately inform the appropriate Director or Chief Executive if problems are encountered.</p>	10.6.2 part c)	Budget Holders	No further delegation

Ref	SFI requirement	SFI Ref.	Accountability for delivery and compliance with the SFI sits with	Related responsibilities delegated to
10I	<p>Approval for all external consultancy support (total contract value for duration of service) to be approved by Executive Committee.</p> <p>Approvals above £0.5m to also be approved by Board and above £1.0m to be approved by Welsh Government</p>	Local	Executive Committee	As per Table below

Consultancy (Total contract value)	Contract to be signed by
Up to £0.25 million	An Executive Director and Finance Director: Commissioning and Financial Planning (2 to sign)
Up to £0.5 million	Executive Director of Finance or Chief Executive
Up to £1 million	Chief Executive (following Board approval)
Above £1 million	Chief Executive (following approval by Board and Welsh Government)

**Table 10C (1) 'Goods and Non-Health Services Only'**

Goods/Services/Works (Whole Life Cost Contract Value)	Minimum Competition	Lead	Waivers, or exceptions to tender rules
Below £5,000	Evidence of value for money has been achieved	Budget owners	-
£5,000 to £24,999	Evidence of 3 written quotations	Procurement Services	Executive Director of Finance and NWSSP Procurement Services
£25,000 plus to the prevailing Procurement Act 2023 threshold	Advertised open call for competition. Minimum of 4 tenders received if available	Procurement Services	Single Tender Action authorised by Executive Director of Finance and Chief Executive
Over the prevailing Procurement Act 2023 threshold	Advertised open call for competition. Minimum of 5 tenders received if available or appropriate to the procurement route	Procurement Services	Single Tender Action prohibited
Contracts above £1m	Welsh Gov approval required (approval to be obtained at the planning stage)	Procurement Services	-

**Notes:**

*Total value excluding VAT.*

*Subject to the existence of suitable suppliers*

## 11. Procurement and contracting for goods and services

Ref	SFI requirement	SFI Ref.	Accountability for delivery and compliance with the SFI sits with	Related responsibilities delegated to
11A	The health board shall maintain detailed policies and procedures for all aspects of procurement including tendering and contracting processes.	11.2.1	Board <i>[Chief Executive is ultimately responsible]</i>	NWSSP Procurement Services
11B	The Procurement Act 2023 and associated subordinate instruments, the Health Services (Provider Selection Regime) (Wales) Regulations 2025 and associated subordinate instruments, and the Welsh Procurement Policy Notices are the key pieces of legislation which governs public sector procurement in the UK. All Directors and their staff are responsible for ensuring that all legal requirements in the area of public procurement are understood and fully complied with.	11.3.5	Executive Directors	Officers of the Health Board
11C	To help towards ensuring that the LHB is compliant with the legislation governing public sector procurement in the UK, and Welsh Ministers' guidance and policy, the LHB shall, through Procurement Services, ensure that it shall have procedures that set out: a) requirements for, and exceptions to, formal competitive tendering ('Goods and Non-Health Services Only'); b) tendering processes including post tender discussions;	11.5.1	Board <i>[Chief Executive is ultimately responsible]</i>	Executive Director of Finance

	<p>c) requirements and exceptions to obtaining quotations ('Goods and Non-Health Services Only');</p> <p>d) evaluation and scoring methodologies; and</p> <p>e) approval of firms for providing goods and services.</p> <p>All procurement procedures must comply with all relevant legislation, the Welsh Ministers' guidance and the Health Board's delegation arrangements and approval processes. *</p>	11.5.2		
<b>Ref</b>	<b>SFI requirement</b>	<b>SFI Ref.</b>	<b>Accountability for delivery and compliance with the SFI sits with</b>	<b>Related responsibilities delegated to</b>
11D	<p>The health board shall develop sustainable procurement solutions consistent with the Wellbeing of Future Generations (Wales) Act 2015 (the WBFG Act 2015).</p> <p>The health board is required to consider the Welsh Government Guidance on Ethical Employment Practices in Public Sector Supply Chains and the Code of Practice on ethical employment in supply chains.</p>	11.7.1  11.7.5	Board	<p>No further delegation</p> <p>Executive Director of Transformation, Strategic Planning and Commissioning – to develop on behalf of Board</p>
11E	<p>The health board shall benchmark its performance in sustainable procurement against the Wellbeing of Future Generations (Wales) Act 2015 (WBFG Act 2015).</p> <p>For all contracts over £25,000, the health board shall take into account the social, economic, environmental and cultural goals in the WBFG Act 2015 using the Sustainable Risk Assessment Template (SRA).</p>	11.7.6	Board	Executive Director of Finance

Ref	SFI requirement	SFI Ref.	Accountability for delivery and compliance with the SFI sits with	Related responsibilities delegated to
11F	Minimum thresholds for quotes and competitive tendering arrangements for 'Goods and Non-Health Services' are to be complied with.	11.10.2	Executive Director of Finance	All Officers of the Health Board See <a href="#">Table 10(C)1</a>
11G	<p>In exceptional circumstances it may be necessary to secure goods/services/works from a single supplier. In these circumstances a Single Quote / Tender Application (Waiver) must be completed. The Executive Director of Finance must approve such applications up to £25,000; the Chief Executive or designated deputy, and Executive Director of Finance, are required to approve applications exceeding £25,000.</p> <p>This requirement for a Single Quote / Tender Application (Waiver) applies even if the award is a Single Supplier Direct Award under a 'procurement framework'.</p>	11.13	Executive Director of Finance	No further delegation
11H	The relevant budget holder shall oversee and manage each contract on behalf of the health board so as to ensure that obligations on delivery of business and operational objectives, and achieving value for money, are met	11.16.1	Budget Holders	No further delegation

Ref	SFI requirement	SFI Ref.	Accountability for delivery and compliance with the SFI sits with	Related responsibilities delegated to
11I	The budget manager in choosing the item to be supplied (or the service to be performed) shall always obtain the best value for money for the health board. In so doing, the health board's approved catalogue shall be used.  Where a required item is not included within the catalogue, advice must be sought from procurement services.	11.18.1	Budget Holders	All individuals authorised to requisition items
11J	Where a required item is not included within the catalogue or on a framework contract, the budget manager shall request procurement services to undertake quotation / tendering exercises ('Goods and Non-Health Services Only') on their behalf.	11.18.2	Budget Holders	All individuals authorised to requisition items
11K	Approval to commence with competition via procurement services (for example, going to tender) must be received in line with this Scheme of Delegation prior to commencement of the competition.	Local	Budget Holders	All individuals authorised to requisition items
11L	All orders for goods ('Goods and Non-Health Services Only') and services must be accompanied by an official order number, available from the Procurement Department. In no circumstances must a requisition number be used as an order number.	11.18.3	Budget Holders	All individuals authorised to requisition items

**\*Current delegated limit for contracts before requiring Ministerial approval is £1m**

## 12. Health Care Agreements and Contracts for Health Care Services

Ref	SFI requirement	SFI Ref.	Accountability for delivery and compliance with the SFI sits with	Related responsibilities delegated to
12A	<p>The Chief Executive is responsible for ensuring the health board enters into suitable Health Care Agreements, or Individual Patient Commissioning Agreements, where appropriate for the provision of health care services from external providers.</p> <p>All agreements must be in accordance with the functions conferred on the Health Board by the Welsh Ministers.</p>	<p>12.1.1</p> <p>12.1.3</p>	Chief Executive	See <b>Table 12A (1) – 12A (11)</b> below
12A (i)	All Continuing Health Care Pre-Placement Agreements (PPA) are to be approved by the Chief Operating Officer Executive	Local	Chief Executive	<del>No further delegation</del> Chief Operating Officer
12B	The Chief Executive will need to ensure that regular reports are provided to the Board detailing performance, quality and associated financial implications of all Health Care Agreements with external providers.	12.3	Chief Executive	<p>Executive Director of Finance and Director of Performance and Commissioning</p> <p>Director of Corporate Governance to ensure that such reports are built in to work programmes.</p>

	Agreements for the purchase of services	Authority delegated to
12A (1)	<p><b>Long Term Agreements / Contracts with other NHS bodies</b></p> <p>Approval and Signing of the Long-Term Agreements (annual renewal of contracts).</p> <p>New agreements / contracts, or any variations to agreement / contracts, are to be approved as per section 12A (2) below</p>	<p>Annual contract schedule approved via annual budget approval process</p>
12A (2)	<p><b>Service Level Agreements / Contracts with other NHS bodies</b></p> <p>i. up to £30,000</p> <p>ii. up to £50,000</p> <p>iii. up to £150,000</p> <p>iv. up to £250,000</p> <p>v. between £250,000 and £5 million</p> <p>vi. between £5 million and £10 million</p> <p>vii. above £10 million</p>	<p>Agreement to purchase services with an <b>annual value up to £250,000</b> must be approved provided by the Chief Operating Officer and Executive Director of Finance <del>Director of Performance and Commissioning.</del></p> <p><b>Annual contract value above £250,000 must be approved by the Executive Committee.</b></p> <p>Following approval required above, the Agreement / Contract can be signed in accordance:</p> <p>i. Specific Budget Holders as per operational Schemes of Delegation</p> <p>ii. Service Contract Manager</p> <p>iii. Directors / Heads of Service</p> <p>iv. Relevant IHC / Service Director</p> <p>v. Relevant Executive Director and Finance Director: Commissioning and Financial Planning</p> <p>vi. Executive Director of Finance or Chief Executive</p> <p>vii. Executive Director of Finance or Chief</p>

		<p><b>Executive (following approval at Executive Committee and the Board)</b></p> <p>All new contracts or variations over £1 million to be retrospectively reported to Board.</p>
	<b>Agreements for the purchase of services</b>	<b>Authority delegated to</b>
<p>12A (3)</p>	<p><b>Healthcare Agreements / Contracts with non-NHS bodies (Private / 3rd Sector / Grants / Primary Care / Local Authorities)</b></p> <p>i. up to £75,000  ii. up to £150,000  iii. up to £250,000  iv. between £250,000 and £500,000</p> <p>v. between £500,000 and £1 million  vi. above £1 million (contract on framework)  vii. above £1 million (not under any framework)</p>	<p><b>Agreement to purchase services with a total contract value up to £250,000 over the life of contract must be provided approved by the Executive Director (Tier 3) and Executive Director of Finance (Tier 2)</b></p> <p><b>Total contract value above £250,000 must be approved by the Executive Committee.</b></p> <p>Following approval required above, the Agreement / Contract can be signed in accordance:</p> <p>i. Assistant Directors  ii. Associate / Deputy Directors  iii. Service Directors  iv. Relevant Executive Director and Finance Director: Commissioning and Financial Planning  v. Executive Director of Finance or Chief Executive  vi. Chief Executive (<b>following approval at Executive Committee, PFIG and the Board</b>)  vii. Chief Executive (<b>following approval at Executive Committee, PFIG, Board and from Welsh Government</b>)</p> <p><i>Note: Welsh Government approval required in</i></p>

		<i>advance of contract planning</i>
	<b>Agreements for the purchase of services</b>	<b>Authority delegated to</b>
12A (4)	<p><b>Individual Continuing Health Care (CHC) Placements/Packages -</b> Authorisation of individual placements/packages following recommendation from the 'Local' CHC Panel.</p> <p><b>APPROVAL REQUIREMENTS EXCLUDES 'FAST TRACK' PROCESS AS PER THE WALES NATIONAL FRAMEWORK</b></p> <p>Agreement to purchase services with an <b>annual value:</b></p> <ul style="list-style-type: none"> <li>i. Up to £125,000</li> <li>ii. Between £125,000 and £200,000</li> <li>iii. Between £200,000 and £1 million</li> <li>iv. Above £1 million</li> </ul>	<p>For placements above £200,000 per annum, recommendation is required from the Complex, Value for Money and High Risk CHC Panel prior to approval by the Executive Committee</p> <ul style="list-style-type: none"> <li>i. Service Director and Chief Operating Officer</li> <li>ii. Chief Operating Officer and Executive Director of Finance</li> <li>iii. Executive Director of Finance (<b>following approval at Executive Committee</b>)</li> <li>iv. Chief Executive (<b>following approval at Executive Committee and Board</b>)</li> </ul>
12A (5)	<p><b>Individual Patient Commissioning Agreements (for example, Mental Health Out of Area Placements)</b></p> <p>Agreement to purchase services with an <b>annual value:</b></p> <ul style="list-style-type: none"> <li>i. Up to £125,000</li> <li>ii. Between £125,000 and £250,000</li> </ul>	<ul style="list-style-type: none"> <li>i. Service Director and Chief Operating Officer</li> <li>ii. Chief Operating Officer and Executive Director of Finance</li> <li>iii. Executive Director of Finance (<b>following approval at Executive Committee</b>)</li> </ul>

	<ul style="list-style-type: none"> <li>iii. Between £250,000 and £1 million</li> <li>iv. Above £1 million</li> </ul>	<ul style="list-style-type: none"> <li>iv. Chief Executive (<b>following approval at Executive Committee and Board</b>)</li> </ul>
	<b>Agreements for the purchase of services</b>	<b>Authority delegated to</b>
<b>12A (6)</b>	<b>NHS Funded Nursing Care (FNC)</b> <ul style="list-style-type: none"> <li>i. Authorisation of individual placements/packages following recommendation from a Nurse Assessor</li> <li>ii. Agreement of changes to annual standard rates</li> </ul>	<ul style="list-style-type: none"> <li>i. IHC Director/Relevant Service Director (Tier 4)</li> <li>ii. Board (following recommendation from Executive Committee)</li> </ul>
<b>12A (7)</b>	<b>Individual Patient Funding Requests (IPFR) - Authorisation of individual agreements following recommendation from the IPFR Panel:</b> <ul style="list-style-type: none"> <li>i. Up to £125,000</li> <li>ii. Between £125,000 and £299,000</li> <li>iii. Between £300,000 and £1 million</li> <li>iv. Above £1 million</li> </ul>	<ul style="list-style-type: none"> <li>i. Chair and Vice-chair of BCUHB IPFR Panel</li> <li>ii. Chief Executive</li> <li>iii. Wales IPFR Panel</li> <li>iv. Welsh Government</li> </ul>
<b>12A (8)</b>	<b>Primary Care Contracts – General Medical Services (excluding enhanced services)</b> <ul style="list-style-type: none"> <li>i. Approval and Signing of the GMS contracts with practices</li> <li>ii. Variations to the Agreement</li> <li>iii. Payments under the contracts</li> </ul>	<ul style="list-style-type: none"> <li>i. Authority delegated as per Table 12A (3)</li> <li>ii. Authority delegated as per Table 12A (3)</li> <li>iii. Delegated to NWSSP</li> </ul>
<b>12A (9)</b>	<b>Primary Care Contracts – General Medical Services (Enhanced services)</b>	

	<ul style="list-style-type: none"> <li>i. Approval and Signing of agreements to provide Enhanced services</li> <li>ii. Variations to the Agreement</li> <li>iii. Payments under the Agreements</li> </ul>	<ul style="list-style-type: none"> <li>i. Authority delegated as per Table 12A (3)</li> <li>ii. Authority delegated as per Table 12A (3)</li> <li>iii. Delegated to NWSSP</li> </ul>
	<b>Agreements for the purchase of services</b>	<b>Authority delegated to</b>
<b>12A (10)</b>	<b>Primary Care Contracts – General Dental Services</b> <ul style="list-style-type: none"> <li>i. Approval and Signing of the GDS contracts with practices</li> <li>ii. Amendments to the Agreement</li> <li>iii. Payments under the contracts</li> </ul>	<ul style="list-style-type: none"> <li>i. Authority delegated as per Table 12A (3)</li> <li>ii. Authority delegated as per Table 12A (3)</li> <li>iii. Delegated to NWSSP</li> </ul>
<b>12A (11)</b>	<b>Primary Care Contracts – Pharmaceutical Services (including enhanced and advanced services)</b> <ul style="list-style-type: none"> <li>i. Payments under the contracts or enhanced service agreements</li> <li>ii. Approval and signing of agreements to provide enhanced services</li> </ul>	<ul style="list-style-type: none"> <li>i. Delegated to NWSSP</li> <li>ii. Authority delegated as per Table 12A (3)</li> </ul>
<b>12A (12)</b>	<b>Primary Care Contracts – General Ophthalmic Services</b> <ul style="list-style-type: none"> <li>i. Payments under the contracts or enhanced service agreements</li> <li>ii. Approval and signing of agreements to provide enhanced services</li> </ul>	<ul style="list-style-type: none"> <li>i. Delegated to NWSSP</li> <li>ii. Authority delegated as per Table 12A (3)</li> </ul>
<b>12A (13)</b>	<b>Providing services jointly with Local authorities under Section 32 and 33 of NHS (Wales) Act 2006.</b> <ul style="list-style-type: none"> <li>i. Approval and Signing of the pooled budget arrangements</li> </ul>	As per Table 12A (3) above

	ii. Amendments to the Agreement	
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### 13. Grant funding

Ref	SFI requirement	SFI Ref.	Accountability for delivery and compliance with the SFI sits with	Related responsibilities delegated to
13A	Maintaining detailed policies and procedures for all aspects of grant funding- i.e., awarding of grants. Where appropriate these should comply with the Welsh Government's Code of Practice to funding the third sector.	13.2.1	Board <i>[Chief Executive is ultimately responsible]</i>	Executive Director of Finance
13B	Health Boards are responsible for ensuring that appropriate procedures exist in relation to all the grants and funding for which they are accountable.  They are also responsible for ensuring that any grant provided to an entity that engages in economic activity complies with the State aid rules.	13.4.3	Board <i>[Chief Executive is ultimately responsible]</i>	Executive Director of Finance
13C	Health Boards are required to undertake due diligence checks on all potential delivery organisations to determine the economic and financial viability of any organisation(s) to administer public funds, and the reliability of the	13.4.4	Board <i>[Chief Executive is ultimately responsible]</i>	Executive Director of Finance

Ref	SFI requirement	SFI Ref.	Accountability for delivery and compliance with the SFI sits with	Related responsibilities delegated to
13D	<p>The health board must enter into legally binding funding agreements</p> <p>The health board is responsible for ensuring that all third-party delivery organisations comply with and adhere to the terms and conditions of the Funding Agreement.</p>	<p>13.4.5</p> <p>13.4.6</p>	<p>Board</p> <p><i>[Chief Executive is ultimately responsible]</i></p>	<p>Executive Director of Finance</p>

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## 14. Pay expenditure

Ref	SFI requirement	SFI Ref.	Accountability for delivery and compliance with the SFI sits with	Related responsibilities delegated to
14A	In accordance with SOs the Board shall establish a Remuneration Committee, with clearly defined terms of reference and operating arrangements that specify which posts fall within its area of responsibility.	14.1.1	Board	Director of Corporate Governance to ensure Committee in place
14B	<p>The Remuneration Committee shall report in writing to the Board the basis for its recommendations.</p> <p>The Board shall use the report as the basis for their decisions, but remain accountable for taking decisions on the remuneration and terms of service of Directors and other senior employees, in accordance with the framework set by the Welsh Ministers.</p> <p>Minutes of the Board's meetings should record such decisions.</p>	14.1.2	<p>Remuneration Committee Chair</p> <p>Board</p> <p>Chair supported by Director of Corporate Governance</p>	<p>Director of Corporate Governance to ensure reports from the Committee go to the Board</p> <p>No further delegation</p> <p>No further delegation</p>
14C	The Board will, after due consideration and amendment, if appropriate approve proposals presented by the Chief Executive for the setting of remuneration and terms of service for those employees and officers not covered by the Committee.	14.1.3	Board	People and Culture Committee

Ref	SFI requirement	SFI Ref.	Accountability for delivery and compliance with the SFI sits with	Related responsibilities delegated to
14D	The workforce plans incorporated within the approved Integrated Medium-Term Plan will form the funded establishment, i.e., the budget for all approved posts.	14.2.1	Board to approve	Executive Director of People and Organisational Development All Executive Directors to contribute
14E	The funded establishment of any department may not be varied without the approval of the Chief Executive or an officer with delegated authority.	14.2.2	Chief Executive	Executive Director of People and Organisational Development and Executive Director of Finance
14F	No Board member or health board official may engage, re-engage, or re-grade employees, either on a permanent or temporary nature, or hire agency staff, or agree to changes in any aspect of remuneration outside the limit of their approved budget and funded establishment unless authorised to do so by the Chief Executive.	14.3.2	Chief Executive	Executive Director of People and Organisational Development and Executive Director of Finance
14F (i)	Agree acting up salaries for staff  a) Staff up to Band 9, within budget. b) Staff Band 9 and above excluding Executive Directors c) Interim Executive Directors	Local	Chief Executive	a) Service Director (Tier 4) supported by Local People Services Team b) Chief Executive c) Remuneration Committee

Ref	SFI requirement	SFI Ref.	Accountability for delivery and compliance with the SFI sits with	Related responsibilities delegated to
14G	Procedures to be presented by the Chief Executive for Board approval for the determination of commencing pay rates, condition of service, etc. for employees in accordance with pay, terms and conditions set out in Agenda for Change and other pay review bodies.	14.4.1	Chief Executive	Executive Director of People and Organisational Development
14H	The Executive Director of People and Organisational Development has responsibility for securing an efficient, well controlled payroll service.	14.5.1	Executive Director of People and Organisational Development	No further delegation
14I	The Executive Director of People and Organisational Development is responsible for: a) The control framework and detailed procedures which are in place to: <ul style="list-style-type: none"> <li>• ensure all payments comply with HMRC, Pensions Agency and other regulation in relation to the deduction and payment of tax, national insurance, pension or other payments,</li> <li>• reduce the risk of fraud and error within the payroll function.</li> </ul> b) Specifying timetables for submission of properly authorised time records and other notifications;	14.5.2	Executive Director of People and Organisational Development	No further delegation

Ref	SFI requirement	SFI Ref.	Accountability for delivery and compliance with the SFI sits with	Related responsibilities delegated to
	<p>c) The final determination of pay and allowances including verification that the rate of pay and relevant conditions of service are in accordance with current agreements;</p> <p>d) Agreeing the timing and method of payment with the payroll service;</p> <p>e) Authorising the release of payroll data where in accordance with the applicable Data Protection Legislation;</p> <p>f) Verification and documentation of data;</p> <p>g) The timetable for receipt and preparation of payroll data and the payment of employees and allowances;</p> <p>h) Maintenance of subsidiary records for superannuation, income tax, social security and other authorised deductions from pay;</p> <p>i) Security and confidentiality of payroll information;</p> <p>j) Checks to be applied to completed payroll before and after payment; and</p> <p>k) A system to ensure the recovery from those leaving the employment of the Health Board of sums of money and property due by them to the Health Board.</p>			
14J	<p>The Chief Executive is responsible for:</p> <p>a) Ensuring that any shared or hosted service arrangement is supported by appropriate Service Level Agreements, terms and conditions, adequate internal controls and audit review procedures;</p> <p>b) Ensuring a sound system of internal control and audit review of any internally provided payroll service;</p>	14.5.3	Chief Executive	<p>a) Director of Corporate Governance</p> <p>b) Finance Director: Commissioning and Financial Planning</p>

Ref	SFI requirement	SFI Ref.	Accountability for delivery and compliance with the SFI sits with	Related responsibilities delegated to
	c) Maintenance and/or the authorisation of regular and independent reconciliation of pay control accounts.			c) Finance Director: Commissioning and Financial Planning
14K	<p>Appropriately nominated managers have delegated responsibility for:</p> <p>a) Submitting time records, and other notifications in accordance with agreed timetables;  b) Completing time records and other notifications in accordance with the Service Level Agreements; and  c) Submitting termination forms in the prescribed form immediately upon knowing the effective date of an employee's or officer's resignation, termination or retirement.</p> <p>Where an employee fails to report for duty or to fulfil obligations in circumstances that suggest they have left without notice, the Executive Director of People and Organisational Development and/or Chief Executive must be informed immediately. In circumstances where fraud is suspected, this must be reported to the Executive Director of Finance.</p>	14.5.4	Line Managers	No further delegation

Ref	SFI requirement	SFI Ref.	Accountability for delivery and compliance with the SFI sits with	Related responsibilities delegated to
14L	Ensuring that all employees are issued with a Contract of Employment in a form approved by the Board and which complies with employment legislation; and dealing with variations to, or termination of, contracts of employment	14.6.1	Executive Director of People and Organisational Development	No further delegation

<p><b>Approve departure under compromise agreement (VERs)</b></p> <ul style="list-style-type: none"> <li>○ Up to £50k (i &amp; ii)</li> <li>○ Above £50k (i, ii &amp; iii)</li> </ul>	<p>i. All applications to be approved by Executive Director of People and Organisation Development, Chief Executive and Executive Director of Finance.</p> <p>ii. All applications also need to be approved by the Remuneration Committee</p> <p>iii. Any VER payments over £50k also need to be approved by Welsh Government.</p>
<p><b>Approve redundancy</b></p>	<p>Chief Executive and Executive Director of Finance and Remuneration Committee (subject to any Welsh Government approval mechanisms)</p>
<p><b>Approve departure under compromise agreement (other than VERs)</b></p>	<p>Executive Director of People and Organisation Development (subject to any Welsh Government approval mechanisms), Chief Executive and Executive Director of Finance</p>

***\*Note: Any agreements that are deemed contentious to be referred to Remuneration Committee***

## 15. Capital Plan, Capital Investment, Fixed Asset Registers and Security of Assets

Ref	SFI requirement	SFI Ref.	Accountability for delivery and compliance with the SFI sits with	Related responsibilities delegated to
15A	<p>The Chief Executive is responsible for:</p> <ul style="list-style-type: none"> <li>(i) ensuring that there is an adequate appraisal and approval process in place for determining capital expenditure priorities and the effect of each proposal upon plans;</li> <li>(ii) the management of all stages of capital schemes and for ensuring that schemes are delivered on time and to cost;</li> <li>(iii) ensuring that any capital investment above the Welsh Ministers' delegated limit is not undertaken without approval of the Welsh Ministers and that confirmation of capital resources has been received;</li> <li>(iv) ensuring that the three-year Capital Plan and detailed annual Capital Programme is approved by the Board, as part of the IMTP, prior to the commencement of the financial year;</li> <li>(v) ensuring the availability of resources to finance all revenue consequences of the investment, including capital charges; and</li> <li>(vi) ensuring that any 3rd party use of NHS estate is properly controlled, reimbursed and reported.</li> </ul>	15.4.1	Chief Executive	<ul style="list-style-type: none"> <li>(i) Executive Director of Transformation and Strategic Planning</li> <li>(ii) Director of Environment and Estates</li> <li>(iii) Executive Director of Finance</li> <li>(iv) Executive Director of Transformation and Strategic Planning</li> <li>(v) Executive Director of Finance</li> <li>(vi) Director of Environment and Estates</li> </ul>

Ref	SFI requirement	SFI Ref.	Accountability for delivery and compliance with the SFI sits with	Related responsibilities delegated to
15B	<p>For every capital expenditure proposal, the Chief Executive shall ensure:</p> <p>a) That a business case is produced in line with Welsh Ministers' guidance and where appropriate the 5-case Model;</p> <p>b) That the Executive Director of Finance has certified professionally to the costs and revenue consequences detailed in the business case and involved appropriate Health Board personnel and external agencies in the process.</p>	15.4.2	Chief Executive	Executive Director of Finance
15C	For capital schemes where the contracts stipulate stage payments, the Chief Executive will issue procedures for their management in accordance with the Welsh Ministers' guidance.	15.4.3	Chief Executive	Director of Environment and Estates and Executive Director of Finance
15D	<p>The Chief Executive shall issue to the manager responsible for any scheme:</p> <p>a) Specific authority to commit expenditure;</p> <p>b) Authority to proceed to tender;</p> <p>c) Approval to accept a successful tender.</p>	15.4.5	Chief Executive	Executive Director of Finance

Ref	SFI requirement	SFI Ref.	Accountability for delivery and compliance with the SFI sits with	Related responsibilities delegated to
15D(i)	Professional advice on recoverable VAT is to be sought on all major Capital Expenditure Programmes. Advice to be sought for the conclusion of each project decision gateway to validate assumptions included within the Business Cases and Plans.	Local	Executive Director of Finance	Head of Capital Finance
15D(ii)	Any movement in contract retention values included in the original contract conditions and award criteria are to be approved by the Executive Committee (unless otherwise delegated)	Local	Executive Committee (unless otherwise delegated)	As delegated by Executive Committee
15E	The Chief Executive will issue a scheme of delegation for capital investment management in accordance with the Welsh Ministers' guidance and the health board's SOs.	15.4.6	Chief Executive <i>[with advice from Executive Director of Finance]</i>	See below <b>Table 15E (1)</b>  Detailed procedures are contained in the Health Board's Capital Manual

**Table 15E (1) - Capital Schemes funded by Discretionary Allocation**

Discretionary Capital Programme Approvals		Gross Expenditure on Whole Project	
Approval / Sign Off by:	Initial Annual Discretionary Programme	New Approvals Schemes under £500k	Scheme over £500K to £1m
Strategic Planning and Service Change Group (SPSC)			Agree project mandate and priority
Tier 4	Sign Abbreviated Business Case up to £50K	Sign Abbreviated Business Case up to £50K	-
Tier 3 or 4	Sign Abbreviated Business Case over £50K	Sign Abbreviated Business Case over £50K	Sign Abbreviated Business Case and Business Justification Case
Executive Director / Senior Responsible Officer (Tier 3 or 4)	-	-	Sign Business Justification Case
Executive Director of Finance (Tier 3)	-	-	Review and agreement
Capital Investment Group (CIG)	Recommend	Recommend	Recommend
Strategic Planning and Service Change Group (SPSC)	Recommend for onward consideration for board governance	Approve	Approve Business Justification Case
Performance, Finance and Information Governance Committee (PFIG)	Recommend	-	-
Health Board	Approve	-	-

## Capital Schemes funded by Welsh Government

Strategic Planning and Service Change Group (SPSC) considers overall priorities and project mandates in advance of submission to Welsh Government for consideration (Executive approval required). For all-Wales capital schemes, the nature of the business case will be determined in discussion with Welsh Government.

Scheme under £1m	Scheme over £1m
Executive Committee considers overall priorities and project mandates (unless otherwise delegated)	
↓	↓
Scoping document submitted to Welsh Government (WG) followed by a scoping meeting with WG to jointly sign off	Scoping document submitted to WG followed by a scoping meeting with WG to jointly sign off
↓	↓
Business Justification Template signed off by lead Senior Responsible Officer and Executive Director	Strategic Outline Case signed off by Strategic Planning and Service Change Group (SPSC), Performance, Finance and Information Governance (PFIG) Committee and the Board
↓	↓
Capital Investment Group Recommend	Outline Business Case signed off by Executive Committee, PFIG Committee and the Board
↓	↓
Strategic Planning and Service Change Group Approve	Full Business Case signed off by Executive Committee, PFIG Committee and the Board
↓	↓
Submission to WG for approval	Final approval required from WG at each stage of Business Case process

Ref	SFI requirement	SFI Ref.	Accountability for delivery and compliance with the SFI sits with	Related responsibilities delegated to
15F	The Executive Director of Transformation & Strategic Planning and Executive Director of Finance shall issue detailed procedures governing the project, financial management including variations to contract, of capital investment projects and valuation for accounting purposes.	15.4.7	Executive Director of Transformation & Strategic Planning and Executive Director of Finance	See <a href="#">Table 15F (1) below</a>
15G	The Director of Finance shall issue procedures for the regular reporting of expenditure and commitment against authorised expenditure.	15.4.7	Executive Director of Finance	Finance Director: Commissioning and Financial Planning
15H	Approval for any new capital financing arrangements with the private sector, including Private Financing Initiatives, Mutual Investment Model and Third-party Developments, without the consent of the Welsh Ministers.	15.5.1	Welsh Ministers	No further delegation

**Table 15F (1)- Capital orders and payment authorisation**

**ALL CAPITAL SCHEMES TO BE APPROVED AS PER TABLE 15E (1)**

Leases over £250,000 are to be approved by the Executive Committee and reported to Performance, Finance and Information Governance (PFIG) committee.

Delegated authority	Variations to Discretionary Schemes	Variations to Capital Schemes funded by WG (within Approved Sum) *	Financial monitoring and reporting responsibility	Enter lease arrangement (all types) total value**
Up to £75k	Head of Capital	Head of Capital	Head of Capital	Executive Director (Tier 3 or 4) and the Executive Director of Finance
Up to £250k	Director of Environment and Estates	Director of Environment and Estates	Director of Environment and Estates	Executive Director (Tier 3 or 4) and the Executive Director of Finance
Up to £500k	Executive Director of Finance	Executive Director of Finance	Executive Director of Finance	Executive Director of Finance <b>(following approval by the Executive Committee)</b>
Up to £1 million	Chief Executive	Chief Executive	Chief Executive	Chief Executive <b>(following approval by the Executive Committee)</b>
Above £1 million	Board and Welsh Government (following consideration by PFIG)	Board and Welsh Government	Board and Welsh Government	Chief Executive <b>(following approval by the Executive Committee, PFIG, Board and Welsh Government)</b>

**\*Any variations to Capital Schemes funded by Welsh Government that exceed the approved sum require further approval from WG**

**\*\*All property leases are to be signed under Seal**

Ref	SFI requirement	SFI Ref.	Accountability for delivery and compliance with the SFI sits with	Related responsibilities delegated to
15I	<p>The Chief Executive is responsible for the maintenance of registers of assets, taking account of the advice of the Executive Director of Transformation &amp; Strategic Planning and Executive Director of Finance, concerning the form of any register and the method of updating, and arranging for a physical check of assets against the asset register to be conducted periodically.</p> <p>The Health Board shall maintain an asset register recording fixed assets. The minimum data set to be held within these registers shall be in accordance with the Welsh Ministers' guidance.</p> <p>Additions to the fixed asset register must be clearly identified to the delegated budget holder and be validated by reference to appropriate documentation.</p>	15.6.1 – 15.6.3	Chief Executive	Executive Director of Finance
15J	The Executive Director of Finance shall approve procedures for reconciling balances on fixed assets accounts in ledgers against balances on fixed asset registers.	15.6.5	Executive Director of Finance	Finance Director: Commissioning and Financial Planning

Ref	SFI requirement	SFI Ref.	Accountability for delivery and compliance with the SFI sits with	Related responsibilities delegated to
15K	The overall control of fixed assets is the responsibility of the Chief Executive.	15.7.1	Chief Executive	Executive Director of Finance
15L	All discrepancies revealed by verification of physical assets to fixed asset register shall be notified to the Executive Director of Transformation & Strategic Planning and Executive Director of Finance.	15.7.3	Executive Director of Finance, with support from relevant Directors.	Officers of health board
15M	Approval of routine security practices in relation to NHS property as may be determined by the Board.  Any breach of agreed security practices must be reported in accordance with agreed procedures.	15.7.4	Board  All officers of health board	No further delegation

## 16. Stores and receipt of goods

Ref	SFI requirement	SFI Ref.	Accountability for delivery and compliance with the SFI sits with	Related responsibilities delegated to
16A	<p>i) overall responsibility for the control of stores shall be delegated to a senior officer by the Chief Executive.</p> <p>(ii) The control of any pharmaceutical stocks shall be the responsibility of a designated Pharmaceutical Manager</p> <p>(iii) the control of any fuel, oil and coal shall be the responsibility of a designated Estates Manager.</p>	16.2.1	Chief Executive	<p>Executive Director of Finance</p> <p>Chief Pharmacist</p> <p>Director of Environment and Estates</p>
16B	The responsibility for security arrangements and the custody of keys for any stores and locations shall be clearly defined in writing by the designated manager/Pharmaceutical Manager. Wherever practicable, stocks should be marked as health service property.	16.2.2	Executive Director of Finance	Service Directors
16C	Stocktaking arrangements shall be agreed with the Executive Director of Finance and there shall be a physical check covering all items in store at least once a year.	16.2.4	Executive Director of Finance	Direct to Operational Services

Ref	SFI requirement	SFI Ref.	Accountability for delivery and compliance with the SFI sits with	Related responsibilities delegated to
16D	Where a complete system of stores control is not justified, alternative arrangements shall require the approval of the Executive Director of Finance	16.2.5	Executive Director of Finance	No further delegation
16E	<p>For goods supplied via NHS Wales Shared Services Partnership – Procurement Services (NWSSP-PS) or any other NHS purchasing and supplies agency central warehouses, the Chief Executive shall identify those authorised to requisition and accept goods from the store.</p> <p>The authorised person shall check receipt against the delivery note before forwarding this to the Executive Director of Finance or authorised officer who shall satisfy themselves that the goods have been received before accepting the recharge.</p>	16.3.1	Chief Executive	Executive Director of Finance

## 17. Disposals and condemnations, losses and special payments

Ref	SFI requirement	SFI Ref.	Accountability for delivery and compliance with the SFI sits with	Related responsibilities delegated to
17A	The Executive Director of Finance must prepare detailed procedures for the disposal of assets, including condemnations, and ensure that these are notified to managers.	17.1.1	Executive Director of Finance	Finance Director: Commissioning and Financial Planning
17B	All unserviceable assets shall be condemned or otherwise disposed of by an officer authorised for that purpose by the Executive Director of Finance. The assets should be recorded on a form indicating whether they are to be converted, destroyed or otherwise disposed of. The form should be countersigned by a second officer authorised for that purpose by the Executive Director of Finance	17.1.3	Executive Director of Finance	Following advice from appropriate heads of service (e.g. IM&T, Estates, etc.) items with original value obsolete, obsolescent, redundant, irreparable or cannot be repaired cost effectively may be condemned or otherwise disposed of in accordance with the delegations set out in <a href="#">Table 17B (1)</a>

**Table 17B (1)**

<b>Asset value:</b>	<b>Approved by:</b>
With current/estimated purchase price below < £499	Budget Manager
with current purchase new price above ≥£500, up to <£5000	Relevant Executive Director
With current purchase new price above ≥£5,000, up to <£250,000	Executive Director of Finance following approval by the Executive Committee
With current purchase new price above ≥£250,000	Performance, Finance and Information Governance (PFIG) Committee
Disposal of property or land (all values)	Board and Welsh Government

<b>Ref</b>	<b>SFI requirement</b>	<b>SFI Ref.</b>	<b>Accountability for delivery and compliance with the SFI sits with</b>	<b>Related responsibilities delegated to</b>
17C	The Executive Director of Finance shall ensure procedural instructions on the recording of and accounting for losses and special payments are in place; and that all losses and special payments cases are properly managed in accordance with the guidance set out in the Welsh Government's Manual for Accounts.	17.2.2	Executive Director of Finance	Finance Director: Commissioning and Financial Planning

Ref	SFI requirement	SFI Ref.	Accountability for delivery and compliance with the SFI sits with	Related responsibilities delegated to
17D	The Executive Director of Finance shall ensure all financial aspects of losses and special payments cases are properly registered and maintained on the centralised Losses and Special Payments Register and that 'case write off' action is recorded on the system.	17.2.8	Executive Director of Finance	Finance Director: Commissioning and Financial Planning
17E	The Audit Committee shall approve the writing off of losses or the making of special payments within delegated limits determined by Welsh Ministers and as set out in Schedule 3 of the SOs.	17.2.9	17.2.9	See <a href="#">Table 17E (1) Below</a>

Ref	SFI requirement	SFI Ref.	Accountability for delivery and compliance with the SFI sits with	Related responsibilities delegated to
17F	The Executive Director of Finance shall ensure that all losses and special payments are reported to the Audit Committee at every meeting	17.2.13	Executive Director of Finance	Finance Director: Commissioning and Financial Planning / Director of Corporate Governance

**Table 17E (1)**

<b>Ratify fruitless payments (including abandoned Capital Schemes)</b>	<i>Audit Committee to regularly receive Schedule of Losses and Special Payments</i>
Up to £250,000	Chief Executive and Executive Director of Finance
Above £250,000	Chief Executive, Executive Director of Finance and Welsh Government (following Executive Committee approval)

<b>Ratify payment for clinical negligence and personal injury claims where legal advice has been obtained and guidance applied (negotiated settlements) *</b>	<i>Audit Committee to regularly receive Schedule of Losses and Special Payments</i>
Up to £500,000	Deputy Director for Legal Services
Up to £1 million	Director of Corporate Governance
Above £1 million	Chief Executive (following Board approval unless otherwise delegated) and Welsh Government
<b>Other clinical negligence and personal injury claims where legal advice has not been obtained</b>	<i>Audit Committee to regularly receive Schedule of Losses and Special Payments</i>
Up to £50,000	Director of Corporate Governance
Above £50,000	Welsh Government
<b>Authority to write off losses and authorise special payments for bad debts and claims abandoned - private patients, overseas visitors and others.</b>	<i>Audit Committee to regularly receive Schedule of Losses and Special Payments</i>
Up to £50,000	Chief Executive or Executive Director of Finance

Above £50,000	Welsh Government
<b>Authority to write off damage to buildings, fittings, furniture and equipment, loss of equipment and property in stores and in use due to culpable causes (e.g., fraud, theft, arson) or other.</b>	<i>Audit Committee to regularly receive Schedule of Losses and Special Payments</i>
Up to £50,000	Chief Executive or Executive Director of Finance
Above £50,000	Welsh Government
<b>Authorise compensation payments made under legal obligation (excluding Clinical Negligence and Personal Injury)</b>	<i>Audit Committee to regularly receive Schedule of Losses and Special Payments</i>
Up to £500,000	Deputy Director for Legal Services
Up to £1 million	Director of Corporate Governance
Above £1 million	Chief Executive (following Board approval unless otherwise delegated) and Welsh Government

<b>Authorise extra contractual payments to contractors.</b>	<i>Audit Committee to regularly receive Schedule of Losses and Special Payments</i>
Up to £50,000	Chief Executive or Executive Director of Finance
Above £50,000	Welsh Government
<b>Authorise ex-gratia payments to patients and staff for the loss of personal effects</b>	<i>Audit Committee to regularly receive Schedule of Losses and Special Payments</i>
Up to £50,000	Chief Executive or Executive Director of Finance
Above £50,000	Welsh Government
<b>Authority to write off Losses of cash due to theft, fraud, overpayment of salaries, wages, fees and allowances</b>	<i>Audit Committee to regularly receive Schedule of Losses and Special Payments</i>
Up to £50,000	Chief Executive and Executive Director of Finance
Above £50,000	Welsh Government

**\* 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 H&SSG Director of Finance**

## 18. Digital, Data and Technology

Ref	SFI requirement	SFI Ref.	Accountability for delivery and compliance with the SFI sits with	Related responsibilities delegated to
18A	The health board shall publish and maintain a Freedom of Information (FOI) publication scheme, or adopt a model publication scheme approved by the Information Commissioner.	18.1.2	Board	Chief Digital and Information officer
18B	The responsible Director for Digital Data and Technology has responsibility for the accuracy, availability and security of digital systems and data.	18.2.1	Chief Digital and Information officer	No Delegation other than responsibilities for security of patient data is delegated to the Executive Medical Director in their role of Caldicott Guardian
18C	The Executive Director of Finance shall ensure that new financial data and systems, and amendments to current financial systems, are developed in a controlled manner and thoroughly tested prior to implementation.	18.3.1	Executive Director of Finance	Finance Director: Commissioning and Financial Planning

Ref	SFI requirement	SFI Ref.	Accountability for delivery and compliance with the SFI sits with	Related responsibilities delegated to
18D	<p>The responsible Director for Digital Data and Technology has responsibility for ensuring that contracts for data and digital services for clinical, management and financial applications with another health organisation or any other agency shall clearly define the responsibility of all parties for the</p> <ul style="list-style-type: none"> <li>i) security, privacy, accuracy, completeness, and timeliness of data during processing, transmission and storage;</li> <li>ii) availability of the service including resilience for continuity.</li> </ul> <p>The contract should also ensure rights of access for audit purposes.</p>	18.4.1	Chief Digital Information Officer	No Delegation other than responsibilities for security of patient data is delegated to the Executive Medical Director in their role of Caldicott Guardian
18E	<p>Where another health organisation or any other agency provides a data or digital service for clinical, management and financial applications, the responsible Director for Digital Data and Technology shall periodically seek assurances that adequate controls are in operation.</p>	18.4.2	Chief Digital Information Officer	No Delegation other than responsibilities for security of patient data is delegated to the Executive Medical Director in their role of Caldicott Guardian

Ref	SFI requirement	SFI Ref.	Accountability for delivery and compliance with the SFI sits with	Related responsibilities delegated to
18F	The responsible Director for Digital Data and Technology has responsibility for ensuring that the risks to the health board arising from the use of data, information and digital are effectively identified and considered and that appropriate action is taken to mitigate or control risk. This shall include the preparation and testing of appropriate resilience plans, including business continuity and disaster recovery plan.	18.5.1	Chief Digital Information Officer	No Delegation other than responsibilities for security of patient data is delegated to the Executive Medical Director in their role of Caldicott Guardian
18G	All purchases of hardware and software must be undertaken in line with agreed IT policies, Procedures and contractual arrangements.	Requirement in support of SFIs	All Officers	
18H	No purchase or installation may be made of IT software whether new or upgrades to existing systems other than via the IT department	Requirement in support of SFIs	All Officers	

Ref	SFI requirement	SFI Ref.	Accountability for delivery and compliance with the SFI sits with	Related responsibilities delegated to
18I	Purchases of routine desktop hardware should be procured via health board contracts. Purchasing of servers should always be via IT	Requirement in support of SFIs	All Officers	

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## 19. Patients' property

Ref	SFI requirement	SFI Ref.	Accountability for delivery and compliance with the SFI sits with	Related responsibilities delegated to
19A	Ensuring patients or their guardians are informed before or at admission, that the health board will not accept responsibility or liability for patients' property brought into Health Service premises, unless it is handed in for safe custody and a copy of an official patients' property record is obtained as a receipt	19.2.1	Chief Executive Officer	Service Directors
19B	Provide detailed written instructions on the collection, custody, investment, recording, safekeeping and disposal of patients' property	19.3.1	Executive Director of Finance	Service Directors
19C	Issuing property valued above >£5,000 only on production of a probate letter of administration	Local	Executive Director of Finance	Finance Director: Commissioning and Financial Planning

## 20. Funds Held on Trust (Charitable Funds)

The Health Board's Charitable Funds are managed through the registered charity with the Charity Commission (known as Awyr Las) and through the Charitable Funds Committee and its formal Trustee status

Ref	SFI requirement	SFI Ref.	Accountability for delivery and compliance with the SFI sits with	Related responsibilities delegated to
20A	The Schedule of Matters Reserved to the Board and the Scheme of Delegation make clear where decisions regarding the exercise of discretion regarding the disposal and use of funds are to be taken and by whom	20.2.2	Board	See <a href="#">Table 20A (1) below</a>
20B	Fundraising Appeals – Preparation/Monitoring/Reporting progress and performance	Local	Executive Director of Finance	Head of Fundraising  See <a href="#">Table 20A (1) below</a>
20C	Legacies - Authority to accept the discharge of a donor's estate	Local	Executive Director of Finance	Not delegated

**Table 20A (1) Access to Charitable Funds**

Item	Delegated authority
<ul style="list-style-type: none"> <li>i. Approval and setting up of designated fund Advisors for new funds.</li> <li>ii. Approval of changes to Fund Advisors</li> </ul>	<ul style="list-style-type: none"> <li>i. Head of Fundraising with advice from relevant Director</li> <li>ii. Head of Fundraising with advice from relevant Director</li> </ul>
<p>New Fundraising Appeal:</p> <ul style="list-style-type: none"> <li>i. Up to £5,000</li> <li>ii. Above £5,000, up to £25,000</li> <li>iii. Above £25,000</li> </ul>	<ul style="list-style-type: none"> <li>i. Head of Fundraising with advice from relevant Director</li> <li>ii. Executive Director of Finance</li> <li>iii. Charitable Funds Committee</li> </ul>
<p>Expenditure requests for Charitable funds:</p> <ul style="list-style-type: none"> <li>i. Up to £5,000 (non-contentious) *</li> <li>ii. Above £5,000 and any contentious expenditure*</li> <li>iii. Above £1 million</li> </ul>	<p>To be submitted to Charity Team for initial review</p> <ul style="list-style-type: none"> <li>i. Fund Advisor (subject to confirmation from the Assistant Financial Accountant - Charitable Funds that sufficient funds are available and expenditure complies with Charity guidelines)</li> <li>ii. Charitable Funds Committee</li> <li>iii. Health Board and Welsh Government</li> </ul>
<p>Oracle approvals:</p> <ul style="list-style-type: none"> <li>i. Up to £5,000</li> <li>ii. Above £5,000, up to £50,000</li> <li>iii. Above £50,000, up to £250,000</li> </ul>	<p>Expenditure over £5,000 is only approved following prior approval by the Charitable Funds Committee</p> <ul style="list-style-type: none"> <li>i. Assistant Financial Accountant - Charitable Funds</li> <li>ii. Senior Financial Accountant - Charitable Funds</li> <li>iii. Finance Director – Commissioning and Financial</li> </ul>

<ul style="list-style-type: none"> <li>iv. Above £250,000, up to £500,000</li> <li>v. Above £500,000</li> </ul>	<ul style="list-style-type: none"> <li>iv. Executive Director of Finance</li> <li>v. Chief Executive</li> </ul>
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***\*The term “contentious” refers to the appropriateness of the expenditure either due to its nature or its compatibility with fund objectives as detailed in ‘Your Charity Procedures’.***

### Investment of Charitable Funds

Investments Authority	
Investment of funds  i. Decision on nature and value of investment  ii. Risk level of investment fund	<ul style="list-style-type: none"> <li>i. Charitable Funds Committee with guidance from Executive Director of Finance</li> <li>ii. Charitable Funds Committee with guidance from Executive Director of Finance and appointed investment managers</li> </ul>

***\*\*The term “investment” refers to stocks, shares, bonds, property, unit funds or other instruments derived to generate a rate of return and/or valuation gains, other than interest bearing bank accounts***

## 21. Retention of Records

Ref	SFI requirement	SFI Ref.	Accountability for delivery and compliance with the SFI sits with	Related responsibilities delegated to
21A	The Chief Executive shall be responsible for maintaining archives for all records required to be retained in accordance with Welsh Ministers' guidance, the UK General Data Protection Legislation and any relevant domestic law considerations via the Data Protection Act 2018, and the Freedom of information Act 2000 (c.36).	21.1.1	Chief Executive	Chief Digital and Information officer / Executive Medical Director
21B	Approval for the destruction of records	Local	Chief Executive	Chief Digital and Information officer / Executive Medical Director