

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

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

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

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# Schedule 1

## SCHEME OF RESERVATION AND DELEGATION OF POWERS

Table A – Scheme of Delegation to Officers

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

**Specific Delegation Where Applicable:** The intention within the Operating Model is to delegate to the Operational Divisions wherever possible, however some Matters are either delegated through a Director, Associate or Assistant then to the Operational Division, or they are not 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:** – 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. Standing Orders / Standing Financial Instructions</b>			
a) Final authority in interpretation of Standing Orders	Chair	Not Delegated	Not Delegated
b) Notifying Directors, employees and agents of their responsibilities within the Standing Orders (Director of Corporate Governance) and Standing Financial Instructions (Executive Director of Finance) and ensuring that they understand the responsibilities	Executive Director of Finance / Director of Corporate Governance	Direct to Operational Services	Service Director** (**Generic Title used for the 'Accountable Lead' across IHC, Pan BCU, Regional Directors and Support Functions)
c) Responsibility for the security of the LHB's property, avoiding loss, exercising economy and efficiency in using resources and conforming with Standing Orders, Financial Instructions and financial procedures	Executive Director of Finance	Direct to Operational Services	Service Director

<b>DELEGATED MATTER</b>	<b>BOARD MEMBER RESPONSIBLE</b>	<b>SPECIFIC DELEGATION WHERE APPLICABLE</b>	<b>OPERATIONAL RESPONSIBILITY</b>
d) Ensuring Standing Orders are compatible with Welsh Government requirements re building and engineering contracts	Chief Executive	Executive Director of Finance	Not Delegated
<b>2. 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>3. Financial Planning/Budgetary Responsibility</b>			All Matters locally supported by CFO / FD
a) Setting:  Submit Three Year Plan and Annual Operating Plan to the LHB Board	Chief Executive	Executive Director of Transformation, Strategic Planning & Commissioning	Not Delegated
Submit budgets to the LHB Board	Chief Executive	Executive Director of Finance	Not Delegated
Submit to Board financial estimates and forecasts	Chief Executive	Executive Director of Finance	Not Delegated
b) Implementing financial policies, plans and procedures, providing advice and co-ordinating any corrective action necessary	Executive Director of Finance	Finance Director: Operational Finance	Service Director
c) Issuing Budgets	Executive Director of Finance	Finance Director: Operational Finance	Service Director
d) Monitoring:  Monitor performance against budget	Executive Director of Finance	Executive and Associate Directors	Service Director
Submit monitoring returns (WHC requires approval by both CEO and EDoF, if not available these are delegated to their deputies)	Chief Executive and Executive Director of Finance	Finance Director: Operational Finance and Deputy Chief Executive	Not Delegated
Effective budgetary control and a balanced budget	Executive Director of Finance	Executive and Associate Directors	Service Director
Preparation of annual accounts and returns	Executive Director of Finance	Finance Director: Operational Finance	Not Delegated

<b>DELEGATED MATTER</b>	<b>BOARD MEMBER RESPONSIBLE</b>	<b>SPECIFIC DELEGATION WHERE APPLICABLE</b>	<b>OPERATIONAL RESPONSIBILITY</b>
Identifying and implementing cost improvements and income generation initiatives	Executive Director of Finance	Executive and Associate Directors	Service Director
e) Authorisation of Virement  It is not possible for any officer other than the Executive Director of Finance to vire from non-recurring headings to recurring budgets <u>or</u> from capital to revenue/revenue to capital. Virement <u>between</u> different budget holders (Service Directors) requires the agreement of <u>both</u> parties.	Executive Director of Finance	Please refer to Table B – Delegated Limits	Service Director
f) Maintaining an effective system of internal financial control	Chief Executive	Executive Director of Finance	Service Director
g) Delivery of financial training to budget holders (Directors)	Executive Director of Finance	Finance Director: Operational Finance	Service Director
<b>4. Bank/PGO Accounts (Excluding Charitable Fund Accounts)</b>			
a) Operation:  Managing banking arrangements and operation of bank accounts	Executive Director of Finance	Finance Director: Operational Finance	Not Delegated
Opening bank accounts	Executive Director of Finance	Finance Director: Operational Finance	Not Delegated
Authorisation of transfers between LHB bank accounts	Executive Director of Finance	Finance Director: Operational Finance	Not Delegated
Authorisation of: -PGO/GBS Schedules -BACS Schedules -Automated cheque schedules -Manual cheques	Executive Director of Finance	Finance Director: Operational Finance	Not Delegated to Service Directors. <u>NOTING</u> that Senior Finance Staff (CFO / FD) authorise contract / SLA / RIF payments
<b>5. Non Pay Expenditure</b>			
For details of Delegated Limits refer to Table B			
a) Completion of an Operational Scheme of Delegation and Authorisation by each Budget Holder ensuring maintenance of a list of officers authorised to place requisitions/orders (including emergency verbal orders) and record receipts within the E-Financials Business Suite.	Chief Executive	Executive and Associate Directors	Service Director

<b>DELEGATED MATTER</b>	<b>BOARD MEMBER RESPONSIBLE</b>	<b>SPECIFIC DELEGATION WHERE APPLICABLE</b>	<b>OPERATIONAL RESPONSIBILITY</b>
b) Obtain the best value for money when requisitioning goods/services	Executive Director of Finance	Executive and Associate Directors	Service Director
c) Ensuring expenditure is within budget	Chief Executive	Executive and Associate Directors	Service Director
d) Non-Pay Expenditure for which no specific budget has been set up and which is not subject to funding under delegated powers of virement	Chief Executive	Executive Director of Finance	Service Director
e) Orders exceeding 12 month period	Executive Director of Finance	Finance Director: Operational Finance	Service Director
f) Prompt payment of accounts	Executive Director of Finance	Direct to Operational Services	Service Director
g) Financial Limits	Executive Director of Finance	Direct to Operational Services → Refer to Table B for Delegated Limits	Service Director Per Table B
h) Maintenance of sufficient records to explain the LHB's transactions and report on the LHB's financial position	Executive Director of Finance	Finance Director: Operational Finance	Service Director
i) Provision of electronic signature / approval within the E-Financials Business Suite in accordance with each Budget Holder's Operational Scheme of Delegation and Authorisation	Executive Director of Finance	Finance Director: Operational Finance	Service Director
<b>6. Stores and Receipt of Goods</b>			
a) Responsibility for the systems of financial control over all stores including receipt of goods and returns	Executive Director of Finance	Direct to Operational Services	Service Director
b) Responsibility for the control of stores and of goods, issues and returns: (excluding pharmaceutical stock: see below)	Chief Executive	Executive Director of Finance	Service Director
Pharmaceutical Stores	Chief Executive	Chief Pharmacist	Service Director Via Head of Medicines Management
c) Stocktaking arrangements	Executive Director of Finance	Direct to Operational Services	Service Director
<b>7. Capital Investment Management</b>			
For details of Delegated Limits for Delegated Matter 7d), please refer to Table B – Leases.			

<b>DELEGATED MATTER</b>	<b>BOARD MEMBER RESPONSIBLE</b>	<b>SPECIFIC DELEGATION WHERE APPLICABLE</b>	<b>OPERATIONAL RESPONSIBILITY</b>
In accordance with Welsh Government guidance:			
a) Programme:			
Preparation of Capital Investment Programme	Chief Executive	Executive Director of Transformation, Strategic Planning & Commissioning	Service Director
Completion and signing off of a business case for approval	Chief Executive	Executive Director of Finance	Service Director
Appointment of Project Directors	Chief Executive	Executive Director of Finance with support from relevant Directors	Not Delegated
Financial monitoring and reporting on all capital scheme expenditure including variations to contract	Executive Director of Finance	Executive and Associate Directors.	Service Director
Issuing of guidance on management of capital schemes	Executive Director of Transformation, Strategic Planning & Commissioning and Executive Director of Finance	Executive and Associate Directors.	Not Delegated
b) Contracting – Selection of 3 <sup>rd</sup> party developers, architects, quantity surveyors, consultant engineers and other professional advisors within EC regulations and LHB tender procedures	Chief Executive	Executive Director of Finance	Not Delegated
c) Private Finance – Demonstrate that the use of private finance represents best value for money and transfers risk to the private sector	Chief Executive	Executive Director of Finance	Not Delegated
d) Leases – Granting and termination of leases	Chief Executive	Executive Director of Finance	Not Delegated
e) Financial control and audit- Arrangements are in place to review building and engineering contracts and property transactions comply with Welsh Government guidance.	Chief Executive	Executive Director of Finance	Not Delegated
<b>8. Quotations, Tendering &amp; Contract Procedures</b> For details of Delegated Limits, please refer to Table B – Quotations/Tenders.			All Matters locally supported by CFO / FD
a) Services:			

DELEGATED MATTER	BOARD MEMBER RESPONSIBLE	SPECIFIC DELEGATION WHERE APPLICABLE	OPERATIONAL RESPONSIBILITY
Best value for money is demonstrated for all services provided under contract or in-house	Chief Executive	Direct to Operational Services	Service Director
Nominate officers to oversee and manage the contract on behalf of the LHB	Chief Executive	Direct to Operational Services	Service Director
b) Quotations – Total value of the contract over its entire period:			
Seeking quotations up to £5,000 in value	Chief Executive	Executive Director of Finance	Service Director
Obtaining minimum of 3 written quotations for goods/services of value between £5,000 and £25,000	Chief Executive	Executive Director of Finance	Service Director
c) Competitive Tenders – Total value of the contract over its entire period:			
Obtaining a minimum of 4 written competitive tenders for goods/services of value between £25,000 and the OJEU threshold (in compliance with EU Procurement Directives and UK Procurement Regulations as appropriate)	Chief Executive	Executive Director of Finance	Service Director
Obtaining a minimum of 5 written competitive tenders for goods/services of a value in excess of the OJEU threshold (in compliance with EU Procurement Directives and UK Procurement Regulations as appropriate)	Chief Executive	Executive Director of Finance	Service Director
Receipt and custody of tenders prior to opening	Executive Director of Finance	Direct to Operational Services	Service Director
Opening Tenders and Quotations	Executive Director of Finance	Direct to Operational Services	Service Director
Decide if late tenders should be considered	Executive Director of Finance	Direct to Operational Services	Service Director
d) Waiving the requirement to request quotes or tenders – subject to Schedule 2.1 Standing Financial Instructions Section 11.133 – Formally reported to the Audit Committee	Chief Executive	Executive Director of Finance or Chief Executive if above £25,000, The Chief Executive and Director of Finance cannot approve their own waiver and must seek approval from one other Executive Director	Service Director  All Single Tender Waivers (STW's) must be approved by NWSSP and by the Executive Director of Finance <b>before</b> any commitment is made.
<b>9. Fixed Assets</b>			
a) Maintenance of asset register	Chief Executive	Executive Director of Finance	Service Director

<b>DELEGATED MATTER</b>	<b>BOARD MEMBER RESPONSIBLE</b>	<b>SPECIFIC DELEGATION WHERE APPLICABLE</b>	<b>OPERATIONAL RESPONSIBILITY</b>
b) Apply accounting policies (including depreciation and revaluations) in accordance with Welsh Government requirements	Executive Director of Finance	Finance Director: Operational Finance	Not Delegated
c) Responsibility for fixed assets – Land & Buildings	Chief Executive	Executive Director of Finance	Director of Capital and Estates
d) Responsibility for all other fixed assets (Plant, Machinery, Transport, IT assets including software, Furniture & Fittings)	Chief Executive	Executive Director of Finance	Director of Capital and Estates, Chief Digital and Information Officer and Deputy CEO with support from relevant Directors.
e) Responsibility for security of LHB assets including notifying discrepancies to the Director of Finance and reporting losses in accordance with LHB procedures	Chief Executive	Executive Director of Finance, with support from relevant Directors.	Service Director
<b>10. Personnel &amp; Pay</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 of Workforce & OD	Supported by Executive Team	Service Director
b) Approve the commencement of employment prior to all pre-employment checks being completed.	Executive Director of Workforce & OD	Associate Director People Services	Service Director
c) Authority to fill funded post on the establishment with permanent staff.	Executive Director of Workforce & OD	Deputy Director Workforce & OD / Associate Director of People Services (IHC / PAN BCU / Support Services)	Service Director
d) The granting of additional increments to staff within budget in accordance with Terms & Conditions of Service	Executive Director of Workforce & OD	Executive Directors with advice from Associate Director of People Services	Service Director
e) All requests for upgrading/ regrading/ major skill mix changes shall be dealt with in accordance with LHB Procedure	Executive Director of Workforce & OD	Executive Directors with advice from Associate Director of people Services	Service Director
f) Authority to agree acting up salaries for staff other than Executive Directors, within budget (Approval of acting up salaries for interim Executive Directors to	Chief Executive to agree acting up	Executive Directors lead for acting up salaries up to Band 9 or equivalent.	Service Director  Up to Band 9 or equivalent only.

DELEGATED MATTER	BOARD MEMBER RESPONSIBLE	SPECIFIC DELEGATION WHERE APPLICABLE	OPERATIONAL RESPONSIBILITY
be retained by Remuneration & Terms of Service Committee)	arrangements of Band 9 and above (Excluding Executive Directors)		
g) Establishments:			
Locum/additional staff to the agreed establishment <b>with</b> specifically allocated finance	Executive Director of Workforce & OD / Executive Director of Finance	Direct to Operational Services	Service Director
Locum/additional staff to the agreed establishment <b>without</b> specifically allocated finance.	Chief Executive	Executive Director of Finance and Executive Director of Workforce & OD	Service Director (via ECR & Budget Virement)
Variation to the funded establishment	Chief Executive	Executive Director of Workforce & OD and Executive Director of Finance	Service Director (Via ECR & Budget Virement)
h) Pay			
Authority to complete standing data forms effecting pay, new starters, changes and leavers. Responsibility to ensure forms are processed in timely manner to prevent errors occurring.	Executive Director of Workforce & OD	Direct to Operational Services	Service Director
Authority to complete and authorise timesheets and payroll returns	Executive Director of Workforce & OD	Direct to Operational Services	Service Director
Authority to authorise overtime	Executive Director of Workforce & OD	Direct to Operational Services	Service Director
Authority to authorise travel & subsistence expenses	Executive Director of Workforce & OD	Direct to Operational Services	Service Director
Maintenance of a list of managers authorised to sign payroll and travel expense documentation. (and via e-expense systems)	Executive Director of Workforce & OD	Deputy Director of Workforce & OD	Service Director
Responsibility for the recovery of any overpayments	Executive Director of Finance	Finance Director: Operational Finance	Service Director

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

<b>DELEGATED MATTER</b>	<b>BOARD MEMBER RESPONSIBLE</b>	<b>SPECIFIC DELEGATION WHERE APPLICABLE</b>	<b>OPERATIONAL RESPONSIBILITY</b>
Return to work part-time on full pay to assist recovery	Executive Director of Workforce & OD	Direct to Operational Services in conjunction with Associate Director of People Services	Service Director
Extension of sick leave on full pay	Executive Director of Workforce & OD	Direct to Operational Services in conjunction with Associate Director of People Services	Service Director
l) Study Leave			
Study leave outside the UK (non-medical staff excluding clinical staff)	Executive Director of Workforce & OD	Direct to Operational Services	Service Director
Medical staff study leave (UK)	Executive Medical Director / Executive Director of Workforce & OD	Direct to Operational Services	Service Director
Consultant Medical Staff Leave (UK)	Executive Medical Director	Direct to Operational Services	Service Director
All Medical and non-Medical Clinical Staff study leave outside the UK (as per relevant professional lead)	Executive Medical Director / Executive Director of Nursing & Midwifery / Executive Director of Therapies & Health Science / Executive Director of Operations	Direct to Operational Services	Service Director
All other study leave (UK)	Executive Director of Workforce & OD	Direct to Operational Services	Service Director
m) Removal Expenses			
Authorisation of payment of removal expenses incurred by officers taking up new appointments (providing consideration was promised at interview)	Executive Director of Workforce & OD	Direct to Operational Services → In accordance with BCUHB policy / approval from the	Service Director

DELEGATED MATTER	BOARD MEMBER RESPONSIBLE	SPECIFIC DELEGATION WHERE APPLICABLE	OPERATIONAL RESPONSIBILITY
		Executive Director of Workforce & OD	
n) Respect & Resolution Procedure	Executive Director of Workforce & OD	Direct to Operational Services	Service Director
o) Professional Misconduct/Competence-Medical and Dental Staff	Executive Medical Director / Executive Director of Workforce & OD	Deputy Responsible Officer / Deputy Medical Director / Deputy Director of Workforce & OD	Not Delegated
p) Suspension of Doctors employed directly by the LHB	Executive Medical Director	Deputy Responsible Officer / Deputy Medical Director / Deputy Director of Workforce & OD	Not Delegated
q) Formal actions as required under The Performers List	Chief Executive	Executive Medical Director supported by Executive Director of Workforce & OD and Executive Director of Operations	Not Delegated to Operational Divisions, cover for Executive Medical Director provided through the Deputy Responsible Officer or Deputy Medical Director
r) Requests for new posts to be authorised as car users	Executive Director of Finance	Direct to Operational Services	Service Director
s) Renewal of Fixed Term Contract	Executive Director of Workforce & OD	Direct to Operational Services	Service Director
t) Voluntary Early Release Scheme	Remuneration and Terms of Service Committee (supported by Executive Director of Workforce & OD)	Executive Director of Workforce & OD, with Executive Director of Finance for sign off of financial viability	Not Delegated
u) Settlement on termination of employment	Remuneration and Terms of Service Committee (supported by Executive	Executive Director of Workforce & OD with approval from Welsh Government where the payment is Ex-gratia and exceeds the	Not Delegated. Service Directors to operate within Policy as set through the

DELEGATED MATTER	BOARD MEMBER RESPONSIBLE	SPECIFIC DELEGATION WHERE APPLICABLE	OPERATIONAL RESPONSIBILITY
	Director of Workforce & OD)	delegated limit of £50,000	Executive Director of Workforce & OD
v) Ill Health Retirement Decision to pursue retirement on the grounds of ill-health following advice from Workforce & OD Department	Executive Director of Workforce & OD	Associate Director of People Services	Service Director for local implementation:  Ultimate Approval is via NHS Pensions Agency
w) Disciplinary Procedure (excluding Executive Directors)	Executive Director of Workforce & OD	Executive Directors	Service Director
<b>11. Engagement of Staff Not On the Establishment</b>			
<b>For details of Delegated Limits, please refer to Table B</b>			All Matters locally supported by CFO / FD / People
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	Service Director
c) Booking of Agency Nursing Staff	Executive Director of Nursing & Midwifery	Direct to Operational Services	Service Director
d) Booking of Bank Staff:			
Nursing	Executive Director of Nursing & Midwifery	Direct to Operational Services	Service Director
Other	Executive Director of Workforce & OD	Direct to Operational Services	Service Director
<b>12. Charitable Funds Held on Trust</b>	Overall the Health Board Charitable Funds are managed through Awyr Las and through the Charitable Funds Committee and its formal Trustee status		
For details of Delegated Limits, Please refer to Table B			All Matters locally supported by CFO / FD
a) Management:			

<b>DELEGATED MATTER</b>	<b>BOARD MEMBER RESPONSIBLE</b>	<b>SPECIFIC DELEGATION WHERE APPLICABLE</b>	<b>OPERATIONAL RESPONSIBILITY</b>
Funds held on Trust are managed appropriately	Executive Director of Finance	Direct to Operational Services	Service Director
b) Maintenance of authorised signatory list of Authorised Fund Holders	Executive Director of Finance	Direct to Operational Services	Service Director
c) Expenditure	Executive Director of Finance	Direct to Operational Services → Refer to Table B – Delegated limits	Service Director
d) Fundraising Appeals – Preparation/Monitoring/Reporting progress and performance	Director of Communications and Partnerships	Fundraising manager	Service Director Via Awyr Las
e) Operation of Bank Accounts:			
Managing banking arrangements and operation of bank accounts	Executive Director of Finance in conjunction with Corporate Trustees	Not Delegated	Not Delegated
Opening bank accounts	Corporate Trustee	Executive Director of Finance	Not Delegated
f) Investments – Policy and Arrangements	Executive Director of Finance in conjunction with Corporate Trustees	Not Delegated	Not Delegated
g) Authority to accept the discharge of a donor's estate	Executive Director of Finance	Not Delegated	Via Awyr Las
<b>13. Primary Care Patient Services/ Healthcare Agreements</b>			<b>SEE TABLE B FOR SPECIFIC SENIOR POSTS &amp; £ LIMITS</b>
For details of Delegated Limits, please refer to Table B – Healthcare Agreements			
a) Contract negotiation and provision of service agreements	Chief Executive	Executive Director of Finance / Executive Director of Operations	System Oversight
b) Reporting actual and forecast contract income	Executive Director of Finance	Finance Director: Operational Finance	System Oversight (supported by Finance)

DELEGATED MATTER	BOARD MEMBER RESPONSIBLE	SPECIFIC DELEGATION WHERE APPLICABLE	OPERATIONAL RESPONSIBILITY
c) Pricing of all contracts and SLAs	Executive Director of Finance	Executive Director of Finance with relevant Director (including Associate Director of Healthcare Contracting)	Not Delegated
d) Signing agreements	Chief Executive	Chief Executive or Executive Director of Finance in Chief Executive's absence / Executive Director of Operations for all primary care related agreements	Service Director  (see Table B for specific limits and arrangements)
<b>14. Income Systems, Fees and Charges</b>			All Matters locally supported by CFO / FD
a) Private Patients, Overseas Visitors, Income Generation and other patient related services	Executive Director of Finance	Associate Director of Healthcare Contracting	Service Director
b) Pricing of NHS agreements	Executive Director of Finance	Associate Director of Healthcare Contracting	Not Delegated
c) Informing the Director of Finance of monies due to the LHB	Executive Director of Finance	Direct to Operational Services	Service Director
d) Recovery of debt	Executive Director of Finance	Finance Director: Operational Finance.	Not Delegated
e) Security of cash and other negotiable instruments	Executive Director of Finance	Finance Director: Operational Finance.	Service Director
f) Designing, maintaining and ensuring compliance with systems for the proper recording, invoicing, collection and coding of all monies due	Executive Director of Finance	Finance Director: Operational Finance	Service Director
g) Non patient care income	Executive Director of Finance	Finance Director: Operational Finance.	Service Director
<b>15. Disposal and Condemnations</b>  Disposal of all property and land requires formal approval by the Minister for Health and Social Services			

DELEGATED MATTER	BOARD MEMBER RESPONSIBLE	SPECIFIC DELEGATION WHERE APPLICABLE	OPERATIONAL RESPONSIBILITY
a) Issuing procedure for the disposal of assets obsolete, obsolescent, redundant, irreparable or cannot be repaired cost effectively	Executive Director of Finance	Not Delegated	Not Delegated
b) Notification to Executive Director of Finance prior to disposal	Executive Director of Finance	Director of Capital and Estates	Service Director
<b>16. Losses, Write-offs &amp; Compensation</b>			
The delegated limits stated below, as specified within Welsh Government's Losses and Special Payments Guidance in Manual for Accounts Chapter 6, relate to the requirement to obtain written approval from the Welsh Government H&SSG Director of Finance for write-off of losses or special payments above these limits. Audit Committee to regularly receive Schedule of Losses and Special Payments.			
a) Prepare procedures for recording and accounting for losses and special payments including preparation of a fraud response plan and informing the Board, External Auditor and Counter Fraud Operational Services of frauds.	Executive Director of Finance	Finance Director: Operational Finance.	Service Director For Implementation and compliance with BCU Procedure
b) Losses of cash due to theft, fraud, overpayment of salaries, fees, allowances & other causes up to £50,000	Chief Executive	Executive Director of Finance	Not Delegated
c) Fruitless payments (including abandoned Capital Schemes) up to £250,000	Chief Executive	Executive Director of Finance	Not Delegated
d) Bad debts and claims abandoned: Private patients; overseas visitors & other cases up to £50,000	Chief Executive	Executive Director of Finance	Not Delegated
e) Damage to buildings, their fittings, furniture and equipment and loss of equipment and property in stores and in use due to: Culpable causes (e.g. fraud, theft, arson) or other up to £50,000	Chief Executive	Executive Director of Finance	Not Delegated
f) Compensation payments made under a legal process or legal obligation	Director of Corporate Governance	Deputy Director for Legal Services	Not Delegated (see Table B for specific limits)
g) Extra contractual payments to contractors up to £50,000	Chief Executive	Executive Director of Finance with reporting to the Audit Committee	Not Delegated
<b>16.1 Ex-Gratia Payments:</b> The delegated limits stated below, as specified within Welsh Government's			

DELEGATED MATTER	BOARD MEMBER RESPONSIBLE	SPECIFIC DELEGATION WHERE APPLICABLE	OPERATIONAL RESPONSIBILITY
Losses and Special Payments Guidance in the Manual for Accounts Chapter 6, relate to the requirement to obtain written approval from the Welsh Government H&SSG Director of Finance for write-off of losses or special payments above these limits. Audit Committee to regularly receive Schedule of Losses and Special Payments.			
a) Patients and staff for loss of personal effects up to £50,000	Chief Executive	Executive Director of Finance- Refer to Finance Policy on Losses and Special Payments	Service Directors to Implement: financial approval remains within Finance Department per Policy
b) Liability claims up to £1m (including redress, personal injury claims and clinical negligence claims)	Director of Corporate Governance	Deputy Director for Legal Services	Not Delegated  (see Table B for specific limits)
c) Payments made pursuant to recommendations from the Public Services Ombudsman for Wales	Executive Director of Nursing and Midwifery	Deputy Director of Nursing	Not Delegated
d) Other, except cases for maladministration where there was no financial loss by claimant, up to £50,000	Chief Executive	Executive Director of Finance	Service Directors to Implement: financial approval remains within Finance Department per Policy
<b>17. 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 Workforce & OD	Direct to Operational Services	Service Director For Implementation and compliance

<b>DELEGATED MATTER</b>	<b>BOARD MEMBER RESPONSIBLE</b>	<b>SPECIFIC DELEGATION WHERE APPLICABLE</b>	<b>OPERATIONAL RESPONSIBILITY</b>
b) Criminal offence of a sexual or violent nature	Executive Director of Workforce & OD	Direct to Operational Services	Service Director For implementation and compliance
c) Arson or theft	Executive Director of Finance and Executive Director of Workforce & OD	Direct to Operational Services	Service Director for implementation and compliance
d) Other	Chief Executive and Executive Director of Finance and Executive Director of Workforce & OD	Direct to Operational Services → dependent upon the nature of the suspected offence	Service Director for implementation and compliance
<b>18. Financial Procedures</b>			
a) Maintenance & Update of LHB Financial Procedures	Executive Director of Finance	Finance Director : Operational Finance	Not Delegated
<b>19. Audit Arrangements</b>			
a) Review, appraise and support in accordance with Public Sector Internal Audit Standards for NHS Wales and best practice	Chair of the Audit Committee	Director of Corporate Governance / Head of Internal Audit	Not Delegated
b) Provide an independent and objective view on internal control and probity	Director of Corporate Governance	Head of Internal Audit / Audit Wales	Not Delegated
c) Ensure Cost-effective external audit	Chair of Audit Committee	Executive Director of Finance	Not Delegated
d) Ensure an adequate internal audit service	Chief Executive	Director of Corporate Governance	Not Delegated
e) Implement recommendations	Director of Corporate Governance	Direct to Operational Services	Service Director
<b>20. Legal Proceedings</b>			
a) Engagement of the LHB's lawyers	Director of Corporate Governance	Any Director of the Board or the Deputy Director for Legal Services	List of officers authorised to instruct approved lawyers will be

DELEGATED MATTER	BOARD MEMBER RESPONSIBLE	SPECIFIC DELEGATION WHERE APPLICABLE	OPERATIONAL RESPONSIBILITY
			detailed in the Legal Services Policy  Out of Hours approval via Gold On-Call.
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>21. Insurance Policies (incorporating Risk Management)</b>	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>22. Clinical Audit</b>	Chief Executive	Executive Medical Director	Not Delegated
<b>23. Patients' Property (in conjunction with financial advice)</b>			
For details of Delegated Limits, please refer to Table B – Petty Cash/Patients Monies			
a) Ensuring patients and guardians are informed about patients' monies and property procedures on admission	Chief Executive	Direct to Operational Services	Service Director
b) Prepare detailed written instructions for the administration of patients' property	Executive Director of Finance	Direct to Operational Services	Service Director
c) Informing staff of their duties in respect of patients' property	Executive Director of Finance	Direct to Operational Services	Service Director

<b>DELEGATED MATTER</b>	<b>BOARD MEMBER RESPONSIBLE</b>	<b>SPECIFIC DELEGATION WHERE APPLICABLE</b>	<b>OPERATIONAL RESPONSIBILITY</b>
d) Issuing property valued >£5,000 only on production of a probate letter of administration	Executive Director of Finance	Finance Director : Operational Finance	Not Delegated
<b>24. 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	Not Delegated
<b>25. 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
<b>26. Gifts and Hospitality</b>			
a) Keeping of gifts and hospitality register	Chief Executive	Director of Corporate Governance	Service Director for implementation and compliance
<b>27. Declaration of Interests</b>			
a) Maintaining a register of interests	Chief Executive	Director of Corporate Governance	Service Director for implementation and compliance

<b>DELEGATED MATTER</b>	<b>BOARD MEMBER RESPONSIBLE</b>	<b>SPECIFIC DELEGATION WHERE APPLICABLE</b>	<b>OPERATIONAL RESPONSIBILITY</b>
<b>28. 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	Service Director
<b>29. Records</b>			
a) Review LHB's compliance with the Retention of Records Act and guidance	Chief Executive	Chief Digital and Information officer / Executive Medical Director	Not Delegated
b) Approval for the destruction of records	Chief Executive	Director of Digital / Executive Medical Director	Service Director / Assistant Director of Compliance and Business Management
c) Ensuring the form and adequacy of the financial records of all departments	Executive Director of Finance	Finance Director: Operational Finance	Service Director
<b>30. Authorisation of New Drugs</b>	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 Senior Leadership Team, see Table B for delegated limits)	Not Delegated
<b>31. Authorisation of Research Projects (individuals responsible for their own declaration of interest to UKPI and BCUHB)</b>	Executive Medical Director	Director of Research & Development	Service Director
<b>32. Authorisation of Clinical Trials</b>	Chief Executive	Executive Medical Director	Service Director

<b>DELEGATED MATTER</b>	<b>BOARD MEMBER RESPONSIBLE</b>	<b>SPECIFIC DELEGATION WHERE APPLICABLE</b>	<b>OPERATIONAL RESPONSIBILITY</b>
<b>33. 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
<b>34. Review of Fire Precautions</b>	Chief Executive	Executive Director of Finance	Not Delegated
<b>35. Health &amp; Safety</b>			
Review of all statutory compliance legislation and Health and Safety requirements (including associated mandatory staff awareness training).	Chief Executive	Executive Director of Workforce & OD	Not Delegated
<b>36. Medicines Inspectorate Regulations</b>			
Review Regulations Compliance	Chief Executive	Executive Medical Director supported by Chief Pharmacist	Service Director via Head of Medicines Management
<b>37. Environmental Regulations</b>			
Review of compliance with environmental regulations, for example those relating to clean air and waste disposal	Executive Director of Finance	Director of Capital and Estates	Not Delegated
<b>38. Legal Payments</b>	Chief Executive	Executive Director of Finance / Director of Corporate Governance / Deputy Director for Legal Services	Not Delegated (see Table B for specific limits)
<b>39. Investigation of Fraud, Bribery and Corruption or Financial Irregularities</b>	Executive Director of Finance	Lead Local Counter Fraud Specialist	Not Delegated
<b>40. Commercial Sponsorship</b>			
Agreement to proposal in accordance with BCU HB procedures	Chief Executive	Executive Director of Finance	Not Delegated
<b>41. Cost/Notional Rent/Third Party Developer/Improvement Grants</b>			All Matters locally supported by CFO / FD
Approval of all schedules of payments	Chief Executive	Executive Director of Operations	Service Director

<b>DELEGATED MATTER</b>	<b>BOARD MEMBER RESPONSIBLE</b>	<b>SPECIFIC DELEGATION WHERE APPLICABLE</b>	<b>OPERATIONAL RESPONSIBILITY</b>
Submission to Welsh Government for all new GP premises or major extensions in accordance with BCU HB Primary Care Estates Strategy	Chief Executive	Executive Director of Operations	Not Delegated
<b>42. Freedom of Information</b>	Chief Executive	Chief Digital and Information officer	Assistant Director of Compliance and Business Management
<b>43. Compliance Lead Roles:</b>			
<b>a) Caldicott Guardian</b>	Chief Executive	Executive Medical Director	Deputy Medical Director
<b>b) Data Protection Officer</b>	Chief Executive	Data Protection Officer	Head of Information Governance
<b>c) Senior Information Risk Owner</b>	Chief Executive	Chief Digital Information Officer	Not Delegated
<b>44. Emergency Planning &amp; Major Incidents – Civil Contingencies Act (Category 1 Responder)</b>	Chief Executive	Executive Director of Operations	Not Delegated
<b>45. National Health Services (Wales) Act 2006 Section 33 Agreements: Arrangements between NHS Bodies and Local Authorities</b>	Chief Executive	Executive Director of Finance	Service Director (CFO / FD Supported) <b>See also Table B</b>
<b>46. Statutory compliance with respective Legislation</b>	Chief Executive	Director of Corporate Governance	Service Director for implementation
<b>47. 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>	Board	Chair of ACC's	Not Delegated
<b>48. All Wales Policy: Making Decisions on Individual Patient Funding Requests (IPFR)</b>	Chief Executive	WHSSC IPFR Panel £300,000 to £1,000,000; Chief Executive up to £299,999; Chair and Vice Chair of Health Board IPFR Panel	Not Delegated

DELEGATED MATTER	BOARD MEMBER RESPONSIBLE	SPECIFIC DELEGATION WHERE APPLICABLE	OPERATIONAL RESPONSIBILITY
		together sign up to £125,000	
<p><b>* The IPFR Panel cannot make policy decisions for the health board. Any policy proposals arising from their considerations and decisions must be reported to the Health Board Quality, Safety &amp; Experience Committee</b></p>			
<p><b>49. Human Tissue Act 20014</b></p>	<p>Chief Executive</p>	<p>Executive Medical Director</p>	<p>Service Director for implementation</p>
<p><b>50. Ionising Radiation (Medical Exposure) Regulations 2017</b></p>	<p>Chief Executive</p>	<p>Executive Director of Therapies &amp; Health Sciences / Executive Medical Director</p>	<p>Service Director for implementation</p>
<p><b>51. Nurse Staffing Levels Act (Wales) 2016</b></p>	<p>Chief Executive</p>	<p>Executive Director of Nursing &amp; Midwifery</p>	<p>Service Director for implementation</p>
<p><b>52. Welsh Language Standard Reporting</b></p>	<p>Chief Executive</p>	<p>Executive Director of Public Health</p>	<p>Service Director for implementation</p>
<p><b>53. Controlled Drugs Accountable Officer</b></p>	<p>Chief Executive</p>	<p>Chief Pharmacist</p>	<p>Not Delegated</p>
<p><b>54. Upholding Professional Standards in Wales (UPSW):</b></p> <p><b>Responsible Officer</b></p> <p><b>Appointing a Designated Board Member</b></p>	<p>Executive Medical Director (SRO)</p> <p>Health Board Chair</p>	<p>Deputy Medical Director (Deputy Responsible Officer)</p> <p>Remuneration &amp; Terms of Service Committee</p>	<p>Service Director for implementation</p> <p>Not Delegated</p>

## **Table B – Scheme of Financial Delegation**

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

All purchases must ensure compliance with Standing Financial Instruction Schedule 1 - Procurement of Works, Goods and Services with regard to the required quotation or Tendering exercise.

The governance section (i.e. Board, Committees, Executive Team, etc.) should be reviewed initially to ascertain the approval route and requirements.

NHS Wales Shared Services Partnership (NWSSP) provide numerous support functions to the Health Board including procurement services as detailed in Section 11 of the Health Board's Standing Financial Instructions (SFIs). NWSSP Procurement Services maintain detailed policies and procedures that comply with the Health Board's SFIs and this Scheme of Reserved Delegation (SoRD).

All Integrated Health Communities (IHCs) and Divisions must have a local Standard Operating Procedure (SOP) linking activities to the delegated limits set out in Table B2 (see below) at a granular level of application within their service area. For example, the Central IHC Ward Manager's £500 general expenditure limit applies to the approval of travel & subsistence, bank staff and staff overtime expenditure.

Within Table B2 there are various job roles which have been consolidated into bandings of delegated limits. If there is uncertainty as to a delegated limit or which banding or level a specific job role relates to or is included within, then refer to the Division's SOP or discuss with the relevant Service Director or CFO.

References within Tables B and B2 of an approval limit "up to" includes the value stated, for example, "Up to £50k" includes expenditure of £50,000. Approval limits where it states "Below" does not include the value stated, for example, "Below £1m" means approval of amounts up to £999,999.

Budget changes	General expenditure	Healthcare agreements (as per SFI S.12.2) WG Exemptions (see below)				Revenue and Capital (Business Case and Contractual Commitment approvals)					Specialist	Procurement waivers	Staffing	Charitable Funds			
<p><b>Any expenditure approval must be within funding limits of approved budgets.</b></p> <p><b>Approval limits are cumulative, and therefore higher level approval limits must be supported by lower level approvals.</b></p> <p><b>Executive Directors and Directors to apply scheme of delegation within their structures.</b></p>																	
Budget transfers between Corporate Departments, Area Teams or Hospital Teams (Virements)	Higher of: Individual orders / requisitions / annual order value or total contract value (unless otherwise noted)	Contracts between NHS Bodies (annual value)	Private / 3 <sup>rd</sup> Sector / Grants / Primary Care / Local Authorities (total contract value over life of contract)	Private / 3 <sup>rd</sup> Sector / Grants / Primary Care / Local Authorities (total contract value over life of contract)	IPFR / CHC (PPAs and IPAs)	Building and engineering orders; related consultancy support (individual contractual commitment)	Medical devices; plant; machinery; related consultancy support (individual contractual commitment)	IM&T; telecoms systems; software; related consultancy (individual contractual commitment)	All leases (granting or termination of leases; lifetime value) Includes Revenue Operating and IFRS16 Capital leases	External consultancy support (total contract value for duration of service)	Losses / Special Payments (Terminations approved by ED of W&OD; VERS by RATS Committee)	New drugs (value based on annual costs after approval – see Table A)	All areas	New posts (additional funded establishment)	Agency and Waiting List Initiatives (all areas)	Locally held funds (total funding bid value)	General funds (total funding bid value)
			Framework	Not under any Framework	For IPFRs: See note 3				See note 7	Limits apply Following Executive Team Approval		See note 6	See note 5			See note 4	
Welsh Government (In advance of contract planning).	£1m+			£1m+	IPFR: £1m+	£1m+				£1m+	£1m+ Board and WG				£1m+	£1m+	
Board	£1m+	£1m+	Initial contract schedule approved via annual budget approval process. New contracts / variations £1m+ to be retrospectively reported with £10m+ approved in advance.	£1m+ for approval. All agreements to be reported periodically for noting	£1m+ for approval (including Primary Care). All agreements to be reported periodically for noting	£1m+	£1m+	£1m +	£1m +	£0.5m+	Terminations £50k+ by WG  See SFI (Section 17) and Table A (Section 16) as special rules apply for certain losses and ex-gratia payments.	£1m+			£1m+	£1m+	
Performance, Finance and Information Governance Committee					All Primary Care		Below £1m	Below £1m	Below £1m	£250k+							
Audit Committee											All payments to be reported. Novel/contentious approval in advance		Retrospective reporting				
Executive Team			All for approval.	All for approval.	All for approval.	All for approval.	All for approval.	All for approval.	All for approval.	All for noting. Up to £250k for approval (following advice from CIG)	All for approval		All for noting.				
Charitable Funds Committee															£5k+	£5k+	
Senior Leadership Team												Up to £0.5m (see note 6)					

	Budget changes	General expenditure	Healthcare agreements (as per SFI S.12.2) WG Exemptions (see below)			Revenue and Capital (Business Case and Contractual Commitment approvals)					Specialist	Procurement waivers	Staffing		Charitable Funds				
<p><b>Any expenditure approval must be within funding limits of approved budgets.</b></p> <p><b>Approval limits are cumulative, and therefore higher level approval limits must be supported by lower level approvals.</b></p> <p><b>Executive Directors and Directors to apply scheme of delegation within their structures.</b></p>																			
	Budget transfers between Corporate Departments, Area Teams or Hospital Teams (Virements)	Higher of: Individual orders / requisitions / annual order value or total contract value (unless otherwise noted)	Contracts between NHS Bodies (annual value)	Private / 3 <sup>rd</sup> Sector / Grants / Primary Care / Local Authorities (total contract value over life of contract)	Private / 3 <sup>rd</sup> Sector / Grants / Primary Care / Local Authorities (total contract value over life of contract)	IPFR / CHC (PPAs and IPAs)	Building and engineering orders; related consultancy support (individual contractual commitment)	Medical devices; plant; machinery; related consultancy support (individual contractual commitment)	IM&T; telecoms systems; software; related consultancy (individual contractual commitment)	All leases (granting or termination of leases; lifetime value) Includes Revenue Operating and IFRS16 Capital leases	External consultancy support (total contract value for duration of service)	Losses / Special Payments (Terminations approved by ED of W&OD; VERS by RATS Committee)	New drugs (value based on annual costs after approval – see Table A)	All areas	New posts (additional funded establishment)	Agency and Waiting List Initiatives (all areas)		Locally held funds (total funding bid value)	General funds (total funding bid value)
				Framework	Not under any Framework	For IPFRs: See note 3				See note 7	Limits apply Following Executive Team Approval		See note 6	See note 5			See note 4		
Chief Executive (above these limits only following prior approval by Board)	Above £0.5m, below £1m	Above £0.5m, below £1m	New / contract variation below £10m.	Below £1m	Below £1m	All CHC PPAs.  CHC IPAs: £1m+ (per annum)  IPFR: Below £300k (£300k to £1m; WHSSC IPFR)	Above £0.5m, below £1m	Above £0.5m, below £1m	Above £0.5m, below £1m	Above £0.5m, below £1m	Above £250k, below £0.5m	Below £1m	Above £0.5m, below £1m	£25k+	Approve new posts across HB		Below £1m	Below £1m	
Deputy Chief Executive	Above £0.5m, below £1m	Above £0.5m, below £1m	New / contract variation below £10m.	Below £1m	Below £1m	All CHC PPAs	Above £0.5m, below £1m	Above £0.5m, below £1m	Above £0.5m, below £1m	Above £0.5m, below £1m	Above £250k, below £0.5m	Below £1m	Above £0.5m, below £1m		Approve new posts across HB		Up to £0.5m	Up to £0.5m	
Executive Director of Finance	Above £0.5m, below £1m	Above £0.5m, below £1m	New / contract variation below £10m.	Below £1m	Below £1m	IPAs: Above £0.5m, below £1m (per annum).	Above £0.5m, below £1m	Above £0.5m, below £1m	Above £0.5m, below £1m	Above £250k, below £0.5m	Above £250k, below £0.5m	Below £1m	Above £0.5m, below £1m	Up to £25k	Approve new posts across HB		Up to £0.5m	Up to £0.5m	
An Executive Director and Finance Director (2 to sign)		Up to £0.5m	New / contract variation up to £5m	Up to £0.5m	Up to £0.5m	IPAs: £250k to £0.5m (per annum)					Up to £250k								
Executive Directors (not listed separately below)	Within own delegated budget	Up to £300k												All Single Waivers (SWs) are created within the Services and approved by the relevant Service Director and Executive Director. Following Procurement review all SW's must be submitted for approval by the Executive Director of Finance (and Chief Executive if above £25k)	Approve new posts within own structure.	Approve in advance in own structure.	Up to £5k		
Executive Medical Director	Within own delegated budget	Up to £300k				IPFR (Panel): Up to £125k							Above £0.5m, below £1m		Approve new posts within own structure.	Approve in advance in own structure.	Up to £5k		
Executive Director of Transformation, Strategic Planning and Commissioning	Within own delegated budget	Up to £300k													Approve new posts within own structure.	Approve in advance in own structure.	Up to £5k		
Executive Director of Public Health	Within own delegated budget	Up to £300k													Approve new posts within own structure.	Approve in advance in own structure.	Up to £5k		

	Budget changes	General expenditure	Healthcare agreements (as per SFI S.12.2) WG Exemptions (see below)				Revenue and Capital (Business Case and Contractual Commitment approvals)				Specialist	Procurement waivers	Staffing		Charitable Funds				
<p><b>Any expenditure approval must be within funding limits of approved budgets.</b></p> <p><b>Approval limits are cumulative, and therefore higher level approval limits must be supported by lower level approvals.</b></p> <p><b>Executive Directors and Directors to apply scheme of delegation within their structures.</b></p>																			
	Budget transfers between Corporate Departments, Area Teams or Hospital Teams (Virements)	Higher of: Individual orders / requisitions / annual order value or total contract value (unless otherwise noted)	Contracts between NHS Bodies (annual value)	Private / 3 <sup>rd</sup> Sector / Grants / Primary Care / Local Authorities (total contract value over life of contract)	Private / 3 <sup>rd</sup> Sector / Grants / Primary Care / Local Authorities (total contract value over life of contract)	IPFR / CHC (PPAs and IPAs)	Building and engineering orders; related consultancy support (individual contractual commitment)	Medical devices; plant; machinery; related consultancy support (individual contractual commitment)	IM&T; telecoms systems; software; related consultancy support (individual contractual commitment)	All leases (granting or termination of leases; lifetime value) Includes Revenue Operating and IFRS16 Capital leases	External consultancy support (total contract value for duration of service)	Losses / Special Payments (Terminations approved by ED of W&OD; VERS by RATS Committee)	New drugs (value based on annual costs after approval – see Table A)	All areas	New posts (additional funded establishment)	Agency and Waiting List Initiatives (all areas)		Locally held funds (total funding bid value)	General funds (total funding bid value)
				Framework	Not under any Framework	For IPFRs: See note 3				See note 7	Limits apply Following Executive Team Approval		See note 6	See note 5					See note 4
Executive Director of Workforce & OD	Within own delegated budget	Up to £300k										Terminations up to £50k (£50k+ for approval by WG)		All Single Waivers (SWs) are created within the Services and approved by the relevant Service Director and Executive Director. Following Procurement review all SW's must be submitted for approval by the Executive Director of Finance (and Chief Executive if above £25k)	Approve new posts across HB	Approve in advance in own structure.		Up to £5k	
Executive Director of Nursing & Midwifery	Within own delegated budget	Up to £300k											Approve new posts within own structure.		Approve in advance in own structure.		Up to £5k		
Executive Director of Therapies & Health Sciences	Within own delegated budget	Up to £300k											Approve new posts within own structure.		Approve in advance in own structure.		Up to £5k		
Executive Director of Operations	Within own delegated budget	Up to £300k											Approve new posts within own structure.		Approve in advance in own structure.		Up to £5k		
Chief Digital and Information Officer	Within own delegated budget	Up to £250k											Approve new posts within own structure.		Approve in advance in own structure.				
Director of Partnerships, Engagement & Communications	Within own delegated budget	Up to £250k											Approve new posts within own structure.		Approve in advance in own structure.				
Director of Corporate Governance	Within own delegated budget	Up to £250k										Below £1m	Approve new posts within own structure.		Approve in advance in own structure.				
Service Directors (See Table B2 for divisional / departmental delegation levels)	Within own delegated budget	Up to £250k	New / contract variation up to £250k			CHC IPA: Up to £250k per annum (following approval at CHC panel)				Up to £250k			Approve new posts within own structure.		Within Delegated Budget		Up to £5k		

The above scheme only relates to matters delegated by the Board to the Chief Executive and Directors, together with certain other specific matters referred to in the Standing Financial Instructions. Each Director is responsible for delegation within their department, in line with Table B2 below.







	Budget changes	General expenditure	Healthcare agreements (as per SFI S.12.2) WG Exemptions (see below)				Revenue and Capital (Business Case and Contractual Commitment approvals)				Specialist	Procurement waivers	Staffing		Charitable Funds			
<p><b>Any expenditure approval must be within funding limits of approved budgets.</b></p> <p><b>Approval limits are cumulative, and therefore higher level approval limits must be supported by lower level approvals.</b></p> <p><b>Executive Directors and Directors to apply scheme of delegation within their structures.</b></p>																		
	Budget transfers between Corporate Departments, Area Teams or Hospital Teams (Virements)	Higher of: Individual orders / requisitions / annual order value or total contract value (unless otherwise noted)	Contracts between NHS Bodies (annual value)	Private / 3 <sup>rd</sup> Sector / Grants / Primary Care / Local Authorities (total contract value over life of contract)	Private / 3 <sup>rd</sup> Sector / Grants / Primary Care / Local Authorities (total contract value over life of contract)	IPFR / CHC (PPAs and IPAs)	Building and engineering orders; related consultancy support (individual contractual commitment)	Medical devices; plant; machinery; related consultancy support (individual contractual commitment)	IM&T; telecoms systems; software; related consultancy (individual contractual commitment)	All leases (granting or termination of leases; lifetime value) Includes Revenue Operating and IFRS16 Capital leases	External consultancy support (total contract value for duration of service)	Losses / Special Payments (Terminations approved by ED of W&OD; VERS by RATS Committee)	New drugs (value based on annual costs after approval – see Table A)	All areas	New posts (additional funded establishment)	Agency and Waiting List Initiatives (all areas)	Locally held funds (total funding bid value)	General funds (total funding bid value)
				Framework	Not under any Framework	For IPFRs: See note 3				See note 7	Limits apply Following Executive Team Approval		See note 6	See note 5				See note 4
	Senior Finance Manager - Healthcare Contracts	Up to £15k (Non-contracted activity payments only)																
	Heads of: Corporate Affairs / Office N&M / Information Governance / Risk Management	Within own delegated budget	Up to £10k															
	IHCs: Head of GPOOH / Heads of Therapies (Individual specialities) / Assistant Director of Nursing	Within own delegated budget	Up to £10k															
	IHC Children's Services (excl. CAMHS Programme Manager)	Within own delegated budget	Up to £10k															
	Surgery Managers	Within own delegated budget	Up to £7k															
	Day Unit / Ward Sister (Cancer Services only)	Within own delegated budget	Up to £5k	Up to £30k										Up to £30k	Within delegated budget in own team	Within delegated budget*		
	Service User Managers / Admin Managers / Operations Managers (GPOOH) / Planning & Commissioning Managers / Cath Lab Manager / Lead Managers / Clinical Services Manager / Home Dialysis Team Leader / EMRTS Programme Manager / Team Leader – Theatres	Within own delegated budget	Up to £5k	Up to £5k											Within delegated budget in own team	Within delegated budget*		
	Head of Financial Control / Business Systems	Up to £5k (note 2)					HoFC Only Up to £75k (note 2)					Up to £5k						



	Budget changes	General expenditure	Healthcare agreements (as per SFI S.12.2) WG Exemptions (see below)				Revenue and Capital (Business Case and Contractual Commitment approvals)				Specialist	Procurement waivers	Staffing		Charitable Funds			
<p><b>Any expenditure approval must be within funding limits of approved budgets.</b></p> <p><b>Approval limits are cumulative, and therefore higher level approval limits must be supported by lower level approvals.</b></p> <p><b>Executive Directors and Directors to apply scheme of delegation within their structures.</b></p>																		
	Budget transfers between Corporate Departments, Area Teams or Hospital Teams (Virements)	Higher of: Individual orders / requisitions / annual order value or total contract value (unless otherwise noted)	Contracts between NHS Bodies (annual value)	Private / 3 <sup>rd</sup> Sector / Grants / Primary Care / Local Authorities (total contract value over life of contract)	Private / 3 <sup>rd</sup> Sector / Grants / Primary Care / Local Authorities (total contract value over life of contract)	IPFR / CHC (PPAs and IPAs)	Building and engineering orders; related consultancy support (individual contractual commitment)	Medical devices; plant; machinery; related consultancy support (individual contractual commitment)	IM&T; telecoms systems; software; related consultancy support (individual contractual commitment)	All leases (granting or termination of leases; lifetime value) Includes Revenue Operating and IFRS16 Capital leases	External consultancy support (total contract value for duration of service)	Losses / Special Payments (Terminations approved by ED of W&OD; VERS by RATS Committee)	New drugs (value based on annual costs after approval – see Table A)	All areas	New posts (additional funded establishment)	Agency and Waiting List Initiatives (all areas)	Locally held funds (total funding bid value)	General funds (total funding bid value)
				Framework	Not under any Framework	For IPFRs: See note 3				See note 7	Limits apply Following Executive Team Approval		See note 6	See note 5				See note 4
	/ Line Managers (not listed above) within Corporate Divisions																	
	IHC / Mental Health CHC Panel					CHC IPA Up to £2k per week												
	Assistant Director Planning and Performance																	
	Capital Programmes Manager						Up to £50k (pan BCU discretionary capital only)											
	Assistant Financial Accountant - Financial Control						Up to £20k (pan BCU discretionary capital only)											
	Accounts Receivable Manager																	
	Patients Monies Officer																	
	Deputy Director for Legal Services (in addition to boarder deputy director authorities above)											Up to £0.5m			Within delegated budget in own team			
	Principal Finance Manager - Charitable Funds																Up to £50k	Up to £50k
	Assistant Financial Accountant - Charitable Funds																Up to £5k	Up to £5k
	Authorised fund holder (Charitable Funds)																Up to £5k	

\* Agency and Waiting List Initiatives must generally be approved in advance. However, in exceptional circumstances when staff are required out of hours, they can be approved retrospectively.

Budget changes	General expenditure	Healthcare agreements (as per SFI S.12.2) WG Exemptions (see below)				Revenue and Capital (Business Case and Contractual Commitment approvals)				Specialist	Procurement waivers	Staffing	Charitable Funds				
<b>Any expenditure approval must be within funding limits of approved budgets.</b> <b>Approval limits are cumulative, and therefore higher level approval limits must be supported by lower level approvals.</b> <b>Executive Directors and Directors to apply scheme of delegation within their structures.</b>																	
Budget transfers between Corporate Departments, Area Teams or Hospital Teams (Virements)	Higher of: Individual orders / requisitions / annual order value or total contract value (unless otherwise noted)	Contracts between NHS Bodies (annual value)	Private / 3 <sup>rd</sup> Sector / Grants / Primary Care / Local Authorities (total contract value over life of contract)	Private / 3 <sup>rd</sup> Sector / Grants / Primary Care / Local Authorities (total contract value over life of contract)	IPFR / CHC (PPAs and IPAs)	Building and engineering orders; related consultancy support (individual contractual commitment)	Medical devices; plant; machinery; related consultancy support (individual contractual commitment)	IM&T; telecoms systems; software; related consultancy support (individual contractual commitment)	All leases (granting or termination of leases; lifetime value) Includes Revenue Operating and IFRS16 Capital leases	External consultancy support (total contract value for duration of service)	Losses / Special Payments (Terminations approved by ED of W&OD; VERS by RATS Committee)	New drugs (value based on annual costs after approval – see Table A)	All areas	New posts (additional funded establishment)	Agency and Waiting List Initiatives (all areas)	Locally held funds (total funding bid value)	General funds (total funding bid value)
			Framework	Not under any Framework	For IPFRs: See note 3				See note 7	Limits apply Following Executive Team Approval		See note 6	See note 5				See note 4

**Notes:**

1. The CFO is a key role within the Financial Governance arrangements, however their role is to “review” and “ratify” Oracle Requisitions, Contracts, Establishment Control Requests, and other such financial instruments within the limits of their particular IHC / Division, not to “approve” them. Approval sits with the delegated Budget Manager. As such the CFOs financial limit within Oracle will technically be set at £0 to reflect this context. There may be specific items or instances where the CFO does need to “approve” and these will be listed separately.
2. General Expenditure category restrictions apply (see local Standard Operational Procedures (SOP) that link to the SoRD)
3. Where the approval relates to an Individual Patient Funding Request (IPFR) these are reviewed by a Panel made up of senior medical and clinical staff. The approval process is as per the All Wales Policy stated below:
  - a. Chair and Vice Chair of Health Board IPFR Panel together sign up to £125,000
  - b. Chief Executive up to £299,999
  - c. WHSSC IPFR Panel £300,000 to £1,000,000

All details will be reported at Senior Leadership Team meetings for noting.

4. The Health Board is the Corporate Trustee of the charity and it is considered for accounting standards compliance to have control of the Charity as a subsidiary. The Health Board has with the agreement of the Welsh Government, adopted the IAS 27 (10) exemption to consolidate the results of the Charity within the statutory accounts of the Health Board and instead these results will be consolidated at Welsh Government level. Charitable funds are used exclusively for charitable purposes and must satisfy both the objects of the registered charity and any restrictions of the specific income source or fund. All items of expenditure will need to be approved using the appropriate authorisation level and relevant processes and controls are in place for reviewing the expenditure and justification for spend to ensure all spend is eligible prior to it being incurred. The procedures for requisitioning and

approving any expenditure for items or services using charitable funds is identical to that for the Health Board, therefore all procurement policies apply equally.

5. Final approval of procurement waivers is with the Executive Director of Finance (up to £25k) and Chief Executive (above £25k). In addition to the initial 'local' approval, the Executive Director with that area of responsibility must also approve prior to submission to NWSSP procurement.
6. For new drugs and the commitment to expenditure after year one of the treatment fund arrangements, the approval process is as follows:
  - a. NICE Implementation Group, onwards to
  - b. Drugs and Therapeutics Group, onwards to
  - c. Senior Leadership Team (SLT) for approval up to £0.5m
  - d. Board approval for £1m plus
7. All property leases are to be signed under Seal by the Chair and Chief Executive. All those £1m and above are to be approved by Board. Property leases below £1m follow the approval process set out in Table B and a periodic notification of those leases signed under Seal will be presented to the Board.
8. Approval of payments related to litigation under the Losses / Special Payments heading can be given by an officer duly authorised (as above) provided such approval is in line with legal advice provided by a regulated legal professional. Where an approval is given that is contrary to such advice, then two officers duly authorised (as above) should both give approval one of whom must be either the Deputy Director for Legal Services or the Director of Corporate Governance.

### **Healthcare Agreements – Welsh Government Exemptions:**

The process which NHS Wales bodies entering into contracts must follow is:

- All NHS contracts (unless exempt) >£1m in total to be notified to the Director General HSSG prior to tendering for the contract;
- All eligible LHB contracts >£1m in total to be submitted to the Director General HSSG for consent prior to award;
- All eligible NHS contracts >£0.5m in total to be submitted to the Director General HSSG for notification prior to award.

The requirement for consent does not apply to any contracts entered into pursuant to a specific statutory power, and therefore does not apply to:

- I. All NHS contracts; that is where one health services body contracts with another health service body.
- II. Wales Public Sector Framework Agreements e.g. Frameworks established by National Procurement Services (NPS) or NWSSP (not exhaustive) via direct award or mini competition
- III. Third Party Public Sector Framework Agreements e.g. Frameworks established by Crown Commercial Services, NHS supply chain (not exhaustive) via direct award. However approval will be required for award of contracts through mini competition or where the specification is modified from that stated within the Framework Agreement