



**SCHEDULE OF MATTERS RESERVED TO THE BOARD
AND SCHEME OF DELEGATION**

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Signature & Date	November 2019

Multi-disciplinary Evaluation/Approval

Name	Title/Speciality	Date
Audit Committee		November 2011
Audit Committee	Annual Review	November 2012
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Audit Committee	Annual Review	November 2015
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Audit Committee	Annual Review	November 2019

Ratification Committee

Version	Date of Issue	Next Review Date	Date Ratified	Name of Committee/Board/Group
v 1.2	Oct-11	Oct 2012	Dec-11	ESHT Trust Board
v 1.3	Nov -12	Nov 2012	Dec-12	ESHT Trust Board
v 1.4	Nov -13	Nov 2013	30 Nov 13	ESHT Trust Board
v 1.5	Nov-14	Nov 2015	26 Nov14	ESHT Trust Board
v 1.6	Nov-15	Nov 2016	3 Dec 15	ESHT Trust Board
v 1.7	Dec-16	Nov 2017	14 Dec 16	ESHT Trust Board
v 1.8	Dec-17	Nov 2018	28 Nov.17	ESHT Trust Board
v 1.9	Dec-18	Nov 2019	4 Dec 18	ESHT Trust Board
v.1.10	Dec-19	Nov 2020	3 Dec 19	ESHT Trust Board

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SCHEME OF DECISIONS RESERVED TO THE BOARD

Section 1

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

SCHEME OF DECISIONS RESERVED TO THE BOARD – Nov 2018 v 1.9

Section 1

Reference	The Board	Decisions Reserved to the Board
N/A	The Board	15. Authorise use of the seal. 16. Ratify or otherwise instances of failure to comply with Standing Orders brought to the Chief Executive's attention in accordance with SO 5.6 17. Discipline members of the Board or employees who are in breach of statutory requirements or SOs.
N/A	The Board	Appointments/Dismissal 1. Ratify proposals of the Remuneration Committee regarding the appointment and remuneration of the Chief Executive and with the latter the remuneration of executive directors and senior employees.
	The Board	Strategy Plans and Budgets 1. Define the strategic aims and objectives of the Trust. 2. Approve proposals for ensuring quality and developing clinical governance in services provided by the Trust, having regard to any guidance issued by the Secretary of State. 3. Approve the Trust's policies and procedures for the management of risk. 4. Approve Final Business Cases for Capital Investment over £500,000 5. Approve budgets. 6. Approve annually Trust's proposed organisational development proposals. 7. Ratify proposals for acquisition, disposal or change of use of land and/or buildings. 8. Approve PFI proposals. 9. Approve the opening of bank accounts. 10. Approve proposals on individual contracts (other than NHS contracts) of a capital or revenue nature amounting to, or likely to amount to over £1,000,000 over a 3-year period or the period of the contract if longer. 11. Approve proposals in individual cases for the write off of losses or making of special payments above the limits of delegation to the Chief Executive and Director of Finance for losses and special payments. 12. Approve proposals for action on litigation on behalf of the Trust. 13. Review use of NHS risk pooling schemes (CNST/RPST).

SCHEME OF DECISIONS RESERVED TO THE BOARD

Section 1

Reference	The Board	Decisions Reserved to the Board
	The Board	Policy Determination 1. Approve management policies including personnel policies incorporating the arrangements for the appointment, removal and remuneration of staff. Policies so adopted shall be listed and appended to this document by the Director of Corporate Affairs.
	The Board	Audit: 1. Receive the annual management letter received from the external auditor and agreement of proposed action, taking account of the advice, where appropriate, of the Audit Committee. 2. Receive an annual report of the Audit Committee.
	The Board	Annual Reports and Accounts: 1. Receipt and approval the Trust's Annual Report and Annual Accounts. 2. Receipt and approval of the Annual Report and Accounts for charitable funds.
	The Board	Monitoring 1. Receive such reports as the Board sees fit from committees in respect of their exercise of powers delegated. 2. Continuous appraisal of the affairs of the Trust by means of the provision to the Board as the Board may require from directors, committees, and officers of the Trust as set out in management policy statements. All monitoring returns required by the Department of Health and the Charity Commission shall be reported, at least in summary to the Board. 3. Receive reports from Director of Finance on financial performance against budget and business plan and other Directors on activity, workforce, quality and safety. 4. Receive reports from the Director of Finance on actual and forecast income from SLA's 5. Receive assurance on compliance with the appropriate regulations within the Health and Social Care Act 2008 and the related Care Quality Commission outcomes

DECISIONS/DUTIES DELEGATED BY THE BOARD TO THE CHAIRMAN, CHIEF EXECUTIVE AND COMMITTEES

Section 1

Reference		Decision/Duties Reserved to the Chairman and Chief Executive
	Chairman	<ol style="list-style-type: none"> 1. Appoint the Vice Chairman 2. Appoint the Senior Independent Director 3. Appointment and dismiss committees (and individual members) that are directly accountable to the Board. 4. Confirm appointment of members of any committee of the Trust as representatives on outside bodies.
	Chief Executive	<ol style="list-style-type: none"> 1. Appoint, appraise, discipline and dismiss Executive Directors (subject to 2.2)
Reference	Committee	Decision/Duties Delegated by the Board to Committees
	Audit Committee	The current terms of reference, including powers delegated by the Board, are available from the Director of Corporate Affairs.
	Remuneration and Appointments Committee	The current terms of reference, including powers delegated by the Board, are available from the Director of Corporate Affairs.

SCHEME OF DELEGATION DERIVED FROM THE ACCOUNTABLE OFFICER MEMORANDUM

Section 1

Reference from Accountable Officer Memorandum	Delegated To	Accountable Officer Memorandum – Duties Delegated
7	Chief Executive	Accountable through NHS Accounting Officer to Parliament for stewardship of Trust resources.
9	Chief Executive and Director of Finance	Ensure the accounts of the Trust are prepared under principles and in a format directed by the Secretary of State. Accounts must disclose a true and fair view of the Trust's income and expenditure and its state of affairs. Sign the accounts on behalf of the Board.
10	Chief Executive	Sign a statement in the accounts outlining responsibilities as the Accountable Officer. Sign a statement in the accounts outlining responsibilities in respect of Internal Control.
12 & 13	Chief Executive	Ensure effective management systems that safeguard public funds and the Trust Chairman to implement requirements of corporate governance including ensuring managers: <ul style="list-style-type: none"> • 'have a clear view of their objectives and the means to assess achievements in relation to those objectives; • be assigned well defined responsibilities for making best use of resources; • have the information, training and access to the expert advice they need to exercise their responsibilities effectively'.
12	Chairman	Implement requirements of corporate governance.
13	Chief Executive	Achieve value for money from the resources available to the Trust and avoid waste and extravagance in the organisation's activities. Follow through the implementation of any recommendations affecting good practice as set out on reports from such bodies as the National Audit Office (NAO).
15	Director of Finance	Operational responsibility for effective and sound financial management and information.
15	Chief Executive	Primary duty to see that Director of Finance discharges this function.
16	Chief Executive	Ensuring that expenditure by the Trust complies with Parliamentary requirements.

SCHEME OF DELEGATION DERIVED FROM THE ACCOUNTABLE OFFICER MEMORANDUM
Section 1

Reference	Delegated To	Accountable Officer Memorandum – Duties Delegated
17	Chief Executive	Promote the observance of all staff of the Codes of Conduct and Accountability incorporated in the Corporate Governance Framework issued to NHS Boards by the Secretary of State.
18	Chief Executive and Director of Finance Medical Director Director of Nursing and Director of Corporate Affairs	Chief Executive, supported by Director of Finance, Medical Director, Director of Nursing and Director of Corporate Affairs to ensure appropriate advice is given to the Board and Executive Committee on all matters of probity, regularity, prudent and economical administration, efficiency and effectiveness.

SCHEME OF DELEGATION DERIVED FROM THE CODES OF CONDUCT AND ACCOUNTABILITY

Section 1

Reference	Delegated To	The Codes of Conduct and Accountability – Authorities/Duties Delegated
1.3.1.7	Board	Approve procedure for declaration of hospitality and sponsorship.
1.3.1.8	Board	Ensure proper and widely publicised procedures for voicing complaints, concerns about maladministration, breaches of Code of Conduct, and other ethical concerns.
1.3.1.9 & 1.3.2.2	All Board members	Subscribe to Code of Conduct.
1.3.2.4	Board	Board members share corporate responsibility for all decisions of the Board.
1.3.2.4	Chairman and Non-Executive Directors	Chair and Non-Executive Directors are responsible for monitoring the executive management of the organisation and are responsible to the Secretary of State for the discharge of those responsibilities.
1.3.2.4	Board	<p>The Board has six key functions for which it is held accountable by the Department of Health on behalf of the Secretary of State:</p> <ol style="list-style-type: none"> 1. to ensure effective financial stewardship through value for money, financial control and financial planning and strategy; 2. to ensure that high standards of corporate governance and personal behaviour are maintained in the conduct of the business of the whole organisation; 3. to appoint, appraise and remunerate senior executives; 4. to ratify the strategic direction of the organisation within the overall policies and priorities of the Government and the NHS, define its annual and longer term objectives and agree plans to achieve them; 5. to oversee the delivery of planned results by monitoring performance against objectives and ensuring corrective action is taken when necessary; 6. to ensure effective dialogue between the organisation and the local community on its plans and performance and that these are responsive to the community's needs.

SCHEME OF DELEGATION DERIVED FROM THE CODES OF CONDUCT AND ACCOUNTABILITY

Section 1

Reference	Delegated To	The Codes of Conduct and Accountability – Authorities/Duties Delegated
1.3.2.4	Board	<p>It is the Board's duty to:</p> <ol style="list-style-type: none"> 1. act within statutory financial and other constraints; 2. be clear what decisions and information are appropriate to the board and draw up standing orders, a schedule of decisions reserved to the board and standing financial instructions to reflect these; 3. ensure that management arrangements are in place to enable responsibility to be clearly delegated to senior executives for the main programmes of action and for performance against programmes to be monitored and senior executives held to account; 4. establish performance and quality targets that maintain the effective use of resources and provide value for money; 5. specify its requirements in organising and presenting financial and other information succinctly and efficiently to ensure the board can fully undertake its responsibilities; 6. establish Audit and Remuneration Committees on the basis of formally agreed terms of reference that set out the membership of the sub-committee, the limit to their powers, and the arrangements for reporting back to the main board.
1.3.2.5	Chairman	<p>It is the Chairman's role to:</p> <ol style="list-style-type: none"> 1. provide leadership to the Board; 2. enable all Board members to make a full contribution to the Board's affairs and ensure that the Board acts as a team; 3. ensure that key and appropriate issues are discussed by the Board in a timely manner; 4. ensure the Board has adequate support and is provided efficiently with all the necessary data on which to base informed decisions; 5. lead Non-Executive Board members through a formally-appointed Remuneration and Appointments Committee of the main Board on the appointment, appraisal and remuneration of the Chief Executive and (with the latter) other Executive Board members; 6. appoint Non-Executive Board members to an Audit Committee of the main Board; and 7. advise the Secretary of State on the performance of Non-Executive Board members.

SCHEME OF DELEGATION DERIVED FROM THE CODES OF CONDUCT AND ACCOUNTABILITY

Section 1

Reference	Delegated To	The Codes of Conduct and Accountability – Authorities/Duties Delegated
1.3.2.5	Chief Executive	<p>The Chief Executive is accountable to the Chairman and Non-Executive members of the Board for ensuring that its decisions are implemented, that the organisation works effectively, in accordance with Government policy and public service values and for the maintenance of proper financial stewardship.</p> <p>The Chief Executive should be allowed full scope, within clearly defined delegated powers, for action in fulfilling the decisions of the Board.</p> <p>The other duties of the Chief Executive as Accountable Officer are laid out in the Accountable Officer Memorandum.</p>
1.3.2.6	Non-Executive Directors	Non-Executive Directors are appointed by the Trust Development Authority to bring independent judgment to bear on issues of strategy, performance, key appointments and accountability through the Department of Health to Ministers and to the local community.
1.3.2.8	Chairman and Directors	Declaration of conflict of interests.
1.3.2.9	Board	NHS Boards must comply with legislation and guidance issued by the Department of Health on behalf of the Secretary of State, respect agreements entered into by themselves or on their behalf and establish terms and conditions of service that are fair to the staff and represent good value for taxpayers' money.

SCHEME OF DELEGATION FROM STANDING ORDERS

Section 1

Standing Order Ref	Delegated To	Standing Orders – Authorities/Duties Delegated
1.1	Chairman	Final authority in interpretation of Standing Orders.
2.4	Chairman	Appointment of Vice Chairman and Senior Independent Director.
3.1	Chairman	Call meetings.
3.9	Chairman	Chair all Board meetings and associated responsibilities.
3.10	Chairman	Give final ruling in questions of order, relevancy and regularity of meetings.
3.11	Chairman	Having a second or casting vote.
3.12	Board	Suspension of Standing Orders.
3.12	Audit Committee	Audit to review every decision to suspend Standing Orders (power to suspend Standing Orders is reserved to the Board).
3.13	Board	Variation or amendment of Standing Orders.
4.1	Board	Formal delegation of powers to sub-committees or joint committees and approval of their constitution and terms of reference. (Constitution and terms of reference of sub-committees may be approved by the Chief Executive).
5.2	Chairman & Chief Executive	The powers which the Board has retained to itself within these Standing Orders may in emergency be exercised by the Chairman and Chief Executive after having consulted at least two Non-Executive Directors.
5.3	Chief Executive	The Chief Executive shall prepare a Scheme of Delegation identifying his/her proposals which shall be considered and <u>approved by the Board</u> , subject to any amendment agreed during the discussion.
5.6	All	Disclosure of non compliance with Standing Orders to the Chief Executive as soon as possible.
7.1	The Board	Declare relevant and material interests.

SCHEME OF DELEGATION FROM STANDING ORDERS

Section 1

Standing Order Reference	Delegated To	Standing Orders – Authorities/Duties Delegated
7.2	Chief Executive	Maintain Register(s) of Interests.
7.4	All staff	Comply with national guidance contained in HSG 1993/5 'Standards of Business Conduct for NHS Staff'
7.4	All	Disclose relationship between self and candidate for staff appointment. (Chief Executive to report the disclosure to the Board).
8.1/8.3	Chief Executive	Keep seal in safe place and maintain a register of sealing.
8.4	Chief Executive	Approve and sign all documents which will be necessary in legal proceedings.

Standing Financial Instructions Reference	Delegated To	Standing Financial Instructions – Authorities/Duties Delegated
1.1.1	Director of Finance	Training and communication programme for staff on SFIs.
1.1.3	Director of Finance	Approval of all financial procedures.
1.1.4	Director of Finance	Advice on interpretation or application of SFIs.
1.1.6	All Members of the Board and all Staff	Have a duty to disclose any non-compliance with these Standing Financial Instructions to the Director of Finance as soon as possible
1.3.4	Chief Executive	Responsible as the Accountable Officer to ensure financial targets and obligations are met and has overall responsibility for the system of internal control.

SCHEME OF DELEGATION FROM STANDING FINANCIAL INSTRUCTIONS

Section 1

Standing Financial Instructions Reference	Delegated To	Standing Financial Instructions – Authorities/Duties Delegated
1.3.5	Chief Executive & Director of Finance	Accountable for financial control but will, as far as possible, delegate their detailed responsibilities.
1.3.6	Chief Executive	To ensure all Board members, officers and employees, present and future, are notified of and understand Standing Financial Instructions.
1.3.7	Director of Finance	Responsible for: a) Implementing the Trust's financial policies and co-ordinating corrective action; b) Maintaining an effective system of financial control including ensuring detailed financial procedures and systems are prepared and documented; c) Ensuring that sufficient records are maintained to explain Trust's transactions and financial position; d) Providing financial advice to members of Board and the wider organisation; e) Design, implementation and supervision of systems of internal financial control; and f) Maintaining such accounts, certificates etc as are required for the Trust to carry out its statutory duties.
1.3.8	All members of the Board and employees	Responsible for security of the Trust's property, avoiding loss, exercising economy and efficiency in using resources and conforming to SOs, SFIs and financial procedures.
1.3.9	Chief Executive	Ensure that any contractor or employee of a contractor who is empowered by the Trust to commit the Trust to expenditure or who is authorised to obtain income is made aware of these instructions and their requirement to comply.
2.1.1	Audit Committee	Provide independent and objective view on internal control and probity.
2.1.2	Chairman	Raise the matter at the Board meeting where Audit Committee considers there is evidence of ultra vires transactions or improper acts.
2.1.3	Director of Finance	Ensure an adequate internal audit service, for which he/she is accountable, is provided (and involve the Audit Committee in the selection process when/if an internal audit service provider is changed).
2.2.1 c)	Director of Finance	Decide at what stage to involve police in cases of misappropriation and other irregularities not involving fraud or corruption.

SCHEME OF DELEGATION FROM STANDING FINANCIAL INSTRUCTIONS

Section 1

Standing Financial Instructions Reference	Delegated To	Standing Financial Instructions – Authorities/Duties Delegated
2.3.4	Head of Internal Audit	Provide reports as agreed with the Director of Finance and in accordance with NHS Internal Audit Manual and best practice.
2.4.1 2.4.2	Chief Executive Director of Finance	Monitor and ensure compliance with Secretary of State's Directions on fraud, bribery and corruption including the appointment of the Local Counter Fraud Specialist.
2.5.1	Audit Committee	Ensure cost-effective external audit.
2.6.1	Chief Executive	Monitor and ensure compliance with Directions issued by the Secretary of State for Health on HNS security management including appointment of the Local Security Management Specialist.
3.1.1	Chief Executive	<p>Compile and submit to the Board an annual business plan which takes into account financial targets and forecast limits of available resources. The annual business plan will contain:</p> <ul style="list-style-type: none"> ▪ a statement of the significant assumptions on which the plan is based; ▪ details of major changes in workload, delivery of services or resources required to achieve the plan.
3.1.2 & 3.1.3	Director of Finance	<p>Submit budgets to the Board for approval.</p> <p>Monitor performance against budget; submit to the Board financial estimates and forecasts.</p>
3.1.6	Director of Finance	Ensure adequate training is delivered on an on going basis to budget holders.
3.2.1	Chief Executive	Delegate budgets to budget holders
3.2.2	Chief Executive & Budget Holders	Must not exceed the budgetary total or virement limits set by the Board.
3.3.1	Director of Finance	Devise and maintain systems of budgetary control.

SCHEME OF DELEGATION FROM STANDING FINANCIAL INSTRUCTIONS

Section 1

Standing Financial Instructions Reference	Delegated To	Standing Financial Instructions – Authorities/Duties Delegated
3.3.2	Budget Holders	Ensure that: a) no overspend or reduction of income that cannot be met from virement is incurred without prior consent of Board; b) approved budget is not used for any other than specified purpose subject to rules of virement; c) no permanent employees are appointed without the approval of the CE other than those provided for within available resources and manpower establishment.
3.3.3	Chief Executive	Identify and implement cost improvements and income generation activities in line with the Business Plan.
3.5.1	Chief Executive	Submit all statutory and other monitoring returns required of the organisation.
4.1	Director of Finance	Preparation of annual accounts and reports.
5.1.1	Director of Finance	Managing banking arrangements, including provision of banking services, operation of accounts, preparation of instructions and list of cheque signatories. (Board approves arrangements).
6	Director of Finance	Income systems, including system design, prompt banking, review and approval of fees and charges, debt recovery arrangements, design and control of receipts, provision of adequate facilities and systems for employees whose duties include collecting or holding cash.
6.2.3	All employees	Duty to inform Director of Finance of money due from transactions which they initiate/deal with.

SCHEME OF DELEGATION FROM STANDING FINANCIAL INSTRUCTIONS

Section 1

Standing Financial Instructions Reference	Delegated To	Standing Financial Instructions – Authorities/Duties Delegated
7.5.3	Director of Finance	Report waivers of tendering procedures to the Audit Committee.
7.6.2	Director of Finance	Responsible for the receipt, endorsement and safe custody of tenders received.
7.6.4	Chief Executive & Director of Finance	Where one tender is received will assess for value for money and fair price.

SCHEME OF DELEGATION FROM STANDING FINANCIAL INSTRUCTIONS

Section 1

Standing Financial Instructions Reference	Delegated To	Standing Financial Instructions – Authorities/Duties Delegated
7.6.6	Chief Executive	No tender shall be accepted which will commit expenditure in excess of that which has been allocated by the Trust and which is not in accordance with these instructions except with the authorisation of the Chief Executive.
7.6.7	Chief Executive	Shall ensure that appropriate checks are carried out as to the technical and financial capability of those firms that are invited to tender or quote.
7.7.4	Chief Executive & Director of Finance	No quotation shall be accepted which will commit expenditure in excess of that which has been allocated by the Trust and which is not in accordance with these Instructions except with the authorisation of the Chief Executive or Director of Finance.
7.14	Chief Executive	The Chief Executive shall be responsible for ensuring that best value for money can be demonstrated for all services provided on an in-house basis.
8	Chief Executive	Responsible for ensuring the Trust enters into suitable contracts with service commissioners for the provision of NHS services
8.4	Chief Executive	Ensure that regular reports are provided to the Board detailing actual and forecast contractual income
9.1.1	Board	Establish a Remuneration and Appointments Committee.
9.1.2	Remuneration and Appointments Committee	<p>Take decisions under delegated authority on the remuneration and terms of service of the Chief Executive, other officer members and senior employees to ensure they are fairly rewarded having proper regard to the Trust's circumstances and any national agreements.</p> <p>Monitor and evaluate the performance of individual senior employees.</p> <p>Oversee appropriate contractual arrangements for such staff, including proper calculation and scrutiny of termination payments.</p>
9.1.3	Remuneration and Appointments Committee	Report in writing to the Board its advice and its bases about remuneration and terms of service of directors and senior employees.

SCHEME OF DELEGATION FROM STANDING FINANCIAL INSTRUCTIONS

Section 1

Standing Financial Instructions Reference	Delegated To	Standing Financial Instructions – Authorities/Duties Delegated
9.2.2	Chief Executive	Approval of variation to funded establishment of any department.
9.4.1 & 9.4.2	Director of Finance	Payroll: a) specifying timetables for submission of properly authorised time records and other notifications; b) final determination of pay and allowances; c) making payments on agreed dates; d) agreeing method of payment; e) issuing instructions (as listed in SFI 9.4.2).
10.1.1	The Board	Approve the level of non-pay expenditure on an annual basis and the Chief Executive will determine the level of delegation to budget managers. This authority may be delegated to the Director of Finance
10.1.2	Chief Executive	Set out the list of managers who are authorised to place requisitions for the supply of goods and services; and the maximum level of each requisition and the system for authorisation above that level.
10.2.3	Director of Finance	a) Advise the Board regarding the setting of thresholds above which quotations (competitive or otherwise) or formal tenders must be obtained; and, once approved, the thresholds should be incorporated in SOs and regularly reviewed; a) Prepare procedural instructions (where not already provided in the Scheme of Delegation or procedure notes for budget holders) on the obtaining of goods, works and services incorporating the thresholds; b) Be responsible for the prompt payment of all properly authorised accounts and claims; c) Be responsible for designing and maintaining a system of verification, recording and payment of all amounts payable; d) A timetable and system for submission to the Director of Finance of accounts for payment; provision shall be made for the early submission of accounts subject to cash discounts or otherwise requiring early payment; e) Instructions to employees regarding the handling and payment of accounts within the Finance Department; f) Be responsible for ensuring that payment for goods and services is only made once the goods and services are received.
10.2.4	Appropriate Executive Director	Make a written case to support the need for a prepayment.

SCHEME OF DELEGATION FROM STANDING FINANCIAL INSTRUCTIONS

Section 1

Standing Financial Instructions Reference	Delegated To	Standing Financial Instructions – Authorities/Duties Delegated
10.2.4	Director of Finance	Approve proposed prepayment arrangements.
10.2.4	Budget holder	Ensure that all items due under a prepayment contract are received (and immediately inform Director of Finance if problems are encountered).
10.2.5	Chief Executive	Authorise who may use and be issued with official orders.
10.2.6	Managers and Officers	Ensure that they comply fully with the guidance and limits specified by the Director of Finance.
10.2.7	Chief Executive Director of Finance	Ensure that Standing Orders are compatible with Department of Health requirements re building and engineering contracts. Ensure that the arrangements for financial control and financial audit of building and engineering contracts and property transactions comply with the guidance contained within ESTATECODE. The technical audit of these contracts shall be the responsibility of the relevant Director.
11.1	Director of Finance	The Director of Finance will advise the Board on the Trust's ability to pay dividend on PDC and report, periodically, concerning the PDC debt and all loans and overdrafts.

SCHEME OF DELEGATION FROM STANDING FINANCIAL INSTRUCTIONS

Section 1

Standing Financial Instructions Reference	Delegated To	Standing Financial Instructions – Authorities/Duties Delegated
11.2	Board	Approve a list of employees authorised to make short term borrowings on behalf of the Trust. (This must include the Chief Executive and Director of Finance).
11.3	Director of Finance	Prepare detailed procedural instructions concerning applications for loans and overdrafts.
11.5	Chief Executive or Director of Finance	Be on an authorising panel comprising one other member for applications for short term borrowing.
11.7.2	Director of Finance	Will advise the Board on investments and report, periodically, on performance of same.
11.7.3	Director of Finance	Prepare detailed procedural instructions on the operation of investments.
12.1	Director of Finance	Ensure that Board members are aware of the Financial Framework and ensure compliance.
13.1.1 & 13.1.2	Chief Executive	Capital investment programme: <ul style="list-style-type: none"> a) ensure that there is adequate appraisal and approval process for determining capital expenditure priorities and the effect that each has on business plans; b) responsible for the management of capital schemes and for ensuring that they are delivered on time and within cost; c) ensure that capital investment is not undertaken without availability of resources to finance all revenue consequences; d) ensure that a business case is produced for each proposal.

SCHEME OF DELEGATION FROM STANDING FINANCIAL INSTRUCTIONS

Section 1

Standing Financial Instructions Reference	Delegated To	Standing Financial Instructions – Authorities/Duties Delegated
13.1.2	Director of Finance	<p>For every capital expenditure proposal over £100,000</p> <p>a) that the scheme Project Director produces a business case and this is submitted, along with a completed Capital Expenditure Approvals Form (CAPEX), to the Capital Review Group (CRG).</p> <p>b) for every capital expenditure proposal in excess of £250,000 the business case is also required to be submitted to the Finance & Investment Committee for approval.</p> <p>c) for all projects over £500,000 a risk assessment must be completed to assess the project financial risk. This assessment is to be carried out by the Head of Financial and TW Services (or Deputy Head of Financial Services) in conjunction with the Project Director. The Business case will be submitted to the Board for approval.</p> <p>d) for all projects over £500,000 the Project Director will be required to co- ordinate and complete a monthly capital monitoring return to CRG showing performance against budget.</p> <p>e) where any scheme is forecast to overspend by more than the following amounts the Project Director will be required to report reasons to the CAG for approval before any further expenditure is committed:</p> <p>i. where the scheme value is £250k or less – 10% of the approved scheme value</p> <p>ii. for other schemes up to £1m – the higher of 5% or £25k</p>
13.1.3	Director of Finance	Assess the requirement for the operation of the Construction Industry Scheme.
13.1.4	Chief Executive	<p>Issue manager responsible for any capital scheme with authority to commit expenditure, authority to proceed to tender and approval to accept a successful tender.</p> <p>Issue a scheme of delegation for capital investment management.</p>
13.1.5	Director of Finance	Issue procedures governing financial management, including variation to contracts, of capital investment projects and valuation for accounting purposes.

13.2.1	Director of Finance	Demonstrate that the use of private finance represents value for money and genuinely transfers significant risk to the private sector.
13.2.1	Board	Proposal to use PFI must be specifically agreed by the Board.
13.3.1	Chief Executive	Maintenance of asset registers (on advice from Director of Finance).

SCHEME OF DELEGATION FROM STANDING FINANCIAL INSTRUCTIONS

Section 1

Standing Financial Instructions Reference	Delegated To	Standing Financial Instructions – Authorities/Duties Delegated
13.3.5	Director of Finance	Approve procedures for reconciling balances on fixed assets accounts in ledgers against balances on fixed asset registers.
13.3.7	Director of Finance	Ensure that a review of asset lives is undertaken annually.
13.4.1	Chief Executive	Overall responsibility for fixed assets.
13.4.2	Director of Finance	Approval of fixed asset control procedures.
13.4.4	All senior staff	Responsibility for security of Trust assets including notifying discrepancies to Director of Finance, and reporting losses in accordance with Trust procedure.
14.2	Chief Executive	Delegate overall responsibility for control of stores (subject to the Director of Finance responsibility for systems of control). Further delegation for day to day responsibility subject to such delegation being recorded.
14.2	Head of Procurement	Responsible for systems of control over stores and receipt of goods.
14.2	Designated Pharmaceutical officer	Responsible for controls of pharmaceutical stocks.
14.2	Designated Estates Officer	Responsible for control of stocks of fuel.

SCHEME OF DELEGATION FROM STANDING FINANCIAL INSTRUCTIONS

Section 1

Standing Financial Instructions Reference	Delegated To	Standing Financial Instructions – Authorities/Duties Delegated
14.3	Nominated Officers	Security arrangements and custody of keys
14.4	Director of Finance	Set out procedures and systems to regulate the stores.
14.5	Director of Finance	Agree stocktaking arrangements.
14.6	Director of Finance	Approve alternative arrangements where a complete system of stores control is not justified.
14.7	Head of Procurement/Pharmaceutical Officer	Approve system for review of slow moving and obsolete items and for condemnation, disposal and replacement of all unserviceable items.
14.7	Head of Procurement/Pharmaceutical Officer	Operate system for slow moving and obsolete stock, and report to Director of Finance evidence of significant overstocking.
14.8	Chief Executive	Identify persons authorised to requisition and accept goods from NHS Supplies stores.
15.1.1	Director of Finance	Prepare detailed procedures for disposal of assets including condemnations and ensure that these are notified to managers.
15.2.1	Director of Finance	Prepare procedures for recording and accounting for losses and special payments and informing police in cases of suspected arson or theft.

SCHEME OF DELEGATION FROM STANDING FINANCIAL INSTRUCTIONS

Section 1

Standing Financial Instructions Reference	Delegated To	Standing Financial Instructions – Authorities/Duties Delegated
15.2.3	Director of Finance	Where a criminal offence is suspected Director of Finance must inform the police if theft or arson is involved. In cases of fraud and corruption Director of Finance must inform the relevant LCFS and CFOS in line with Secretary of State's directions.
15.2.4	Director of Finance	Notify CFOS and External Audit of all frauds.
15.2.5	Director of Finance	Notify Board and External Auditor of losses caused by theft, arson, neglect of duty or gross carelessness (unless trivial).
15.2.6	Board	Approve write off of losses.
15.2.8	Director of Finance	Consider whether any insurance claim can be made.
15.2.9	Director of Finance	Maintain losses and special payments register.
16.1	Director of Finance	Responsible for accuracy and security of computerised financial data.
16.2	Director of Finance	Satisfy himself/herself that new financial systems and amendments to current financial systems are developed in a controlled manner and thoroughly tested prior to implementation. Where this is undertaken by another organisation assurances of adequacy must be obtained from them prior to implementation.
16.3	Director of Corporate Affairs	Shall publish and maintain a Freedom of Information Publication Scheme
16.4	Relevant officers	Send proposals for general computer systems to Director of Finance.

SCHEME OF DELEGATION FROM STANDING FINANCIAL INSTRUCTIONS

Section 1

Standing Financial Instructions Reference	Delegated To	Standing Financial Instructions – Authorities/Duties Delegated
16.5	Director of Finance	Ensure that contracts with other bodies for the provision of computer services for financial applications clearly define responsibility of all parties for security, privacy, accuracy, completeness and timeliness of data during processing, transmission and storage, and allow for audit review. The contract should also ensure rights of access for audit purposes.
16.7	Director of Finance	Where computer systems have an impact on corporate financial systems satisfy himself/herself that: <ul style="list-style-type: none"> a) systems acquisition, development and maintenance are in line with corporate policies and IM&T Strategy; b) data assembled for processing by financial systems is adequate, accurate, complete and timely, and that a management trail exists; c) relevant staff have access to such data; d) Such computer audit reviews are being carried out as are considered necessary.
16.8	Director of Finance	Ensure that risks to the Trust from use of IT are identified and considered and that disaster recovery plans are in place.
17.2	Chief Executive	Responsible for ensuring patients and guardians are informed about patients' money and property procedures on admission.
17.3	Director of Finance	Provide detailed written instructions on the collection, custody, investment, recording, safekeeping, and disposal of patients' property (including instructions on the disposal of the property of deceased patients and of patients transferred to other premises) for all staff whose duty is to administer, in any way, the property of patients.
17.6	Departmental managers	Inform staff of their responsibilities and duties for the administration of the property of patients.
18.1.	Director of Finance	Ensure each charitable fund is managed appropriately with regard to its purpose and to its requirement.

SCHEME OF DELEGATION FROM STANDING FINANCIAL INSTRUCTIONS

Section 1

Standing Financial Instructions Reference	Delegated To	Standing Financial Instructions – Authorities/Duties Delegated
18.3	Trustees and Authorised Signatories	Relevant sections of SFIs are applicable to charitable funds.
18.3	Director of Finance	The Director of Finance will arrange for the creation of a new charitable fund where this is required.
19.1	Director of Finance	Ensure all staff are made aware of Trust policy on the acceptance of gifts and other benefits in kind by staff.
20	Chief Executive	Retention of document procedures in accordance with Department of Health guidance.
21.1	Chief Executive	Ensure the Trust has a risk management programme.
21.1	Board	Approve and monitor risk management programme.
21.3	Board	Decide whether the Trust will use the risk pooling schemes administered by the NHS Litigation Authority or self insure for some or all of the risks (where discretion is allowed). Decisions to self insure should be reviewed annually.
21.5	Director of Finance	Where the Board decides to use risk pooling schemes or commercial insurers the Director of Finance shall ensure that the arrangements entered into are appropriate and complementary to the risk management programme. The Director of Finance shall ensure that documented procedures cover these arrangements.
21.6	Director of Finance	Where the Board decides not to use the risk pooling schemes administered by the NHS Litigation Authority for any one or other of the risks covered by the schemes, the Director of Finance shall ensure that the Board is informed of the nature and extent of the risks that are self-insured as a result of this decision. The Director of Finance will draw up formal documented procedures to cover these arrangements.
21.7	Director of Finance	Ensure documented procedures cover management of claims and payments below the deductible.

EAST SUSSEX HEALTHCARE NHS TRUST – DETAILED SCHEME OF DELEGATION

Section 2

Delegated Matter	Authority Delegated To	Lowest Level to Which Authority May be Delegated
1. To keeping of Declaration of Board Members, Consultants and Senior Staff Interests Register	Chief Executive	Director of Corporate Affairs
2. Receiving Hospitality other than isolated gifts of a trivial nature or conventional hospitality Applies to both individual and collective hospitality receipt items	Declaration required in Trust's Hospitality Register – all Trust Directors and Employees	N/A
3. The keeping of the Interests, Hospitality, Gifts and Sponsorship Register	Chief Executive	Director of Corporate Affairs
4. Quotation, Tendering and Contract Procedures		
Subject to the requisitioner's responsibility always to obtain best value for money for the Trust, the <u>minimum</u> requirements for goods/services are: a) Up to £7,500 – 2 written quotations (where this may be impractical, 2 verbal quotations may be obtained and the reasons for this documented) b) £7,501 to £35,000 excluding VAT– obtain 3 written quotations c) £35,000 excluding VAT to the prevailing European Union Threshold – a minimum of 4 Invitations to Tender with at least 3 received.	Director for appropriate budget or General Manager Head of Procurement Head of Procurement together with Director of Finance	Authorised Budget Signatory and Purchasing and Supplies Buyer Head of Procurement Head of Procurement together with Director of Finance
d) Above the European Union Threshold – a minimum of 6 Invitations to Tender with at least 4 received (where such number of suppliers exists). See also SFI 22.2.2 and 22.2.3	Board	Chief Executive or Director of Finance

EAST SUSSEX HEALTHCARE NHS TRUST – DETAILED SCHEME OF DELEGATION

Section 2

Delegated Matter	Authority Delegated To	Lowest Level to Which Authority May be Delegated
<p>The waiver authorisation limits are:</p> <p>e) For quotations</p> <p>f) For tenders £35,000 excluding VAT to the EU threshold</p> <p>g) For tenders from the EU threshold up to £1,000,000</p> <p>h) For tenders above £1,000,000</p> <p>i) Opening electronic Tenders and Quotations</p>	<p>Chief Executive, or Director of Finance or Head of Procurement.</p> <p>Director of Finance</p> <p>Chief Executive and the Director of Finance</p> <p>Board – prior to the initiation of the tender process</p> <p>Procurement Department</p>	<p>N/A</p> <p>N/A</p> <p>N/A</p> <p>N/A</p> <p>N/A</p>
5. Attestation of sealings in accordance with Standing Orders	Chairman/Chief Executive	N/A
6. The keeping of a register of Sealings	Chief Executive	Director of Corporate Affairs
7. Implementation of Internal and External Audit Recommendations	Manager responsible for budget.	N/A
<p>8. Management of Budgets Responsibility of keeping expenditure within budgets</p> <p>a) At individual budget level (Pay and Non Pay)</p> <p>b) At service level</p> <p>c) For the totality of services covered by a General Manager or Executive Director</p>	<p>Director for appropriate budget or General Manager.</p> <p>Chief Executive</p> <p>Chief Executive</p>	<p>Budget Manager</p> <p>Director for appropriate budget or General Manager</p> <p>Director for appropriate budget or General Manager.</p>

EAST SUSSEX HEALTHCARE NHS TRUST – DETAILED SCHEME OF DELEGATION

Section 2

Delegated Matter	Authority Delegated To	Lowest Level to Which Authority May be Delegated
9. Capital Schemes a) Selection of architects, quantity surveyors, consultant engineers and other professional advisors within EU regulations b) Financial monitoring and reporting on all capital scheme expenditure c) Granting and termination of leases	Director for appropriate budget. Director of Finance Director for appropriate budget.	N/A Deputy Director of Finance N/A
10. Authority to open Bank Accounts	Director of Finance	N/A
11. Management of the Investment of Charitable Funds within the approved investment strategy	Trustees of the Charitable Funds.	N/A
12. Setting of Fees and Charges a) Private Patient, Overseas Visitors, Income Generation and other patient related services b) Price of NHS Contracts – charges for all NHS Contracts, be they block, cost per case, cost and volume, or spare capacity	Manager responsible for the budget together with the Director of Finance Director of Finance	N/A Deputy Director of Finance
13. Authorisation of Sponsorship deals	Director for appropriate budget or General Manager	N/A
14. Personnel and Pay a) Authority to fill funded post on the establishment with permanent staff	Director for appropriate budget or General Manager	Manager responsible for budget
b) Authority to appoint staff to post not on the formal establishment	Chief Executive	n/a

EAST SUSSEX HEALTHCARE NHS TRUST – DETAILED SCHEME OF DELEGATION

Section 2

Delegated Matter	Authority Delegated To	Lowest Level to Which Authority May be Delegated
c) The granting of additional increments to staff within budgets	Chief Executive	Manager responsible for budget with the Director of Human Resources
d) All requests for upgrading/re-grading shall be dealt with in accordance with Trust Procedure	Chief Executive	Payroll Manager
e) <u>Establishments</u> i) Additional staff to the agreed establishment with specifically allocated finance ii) Additional staff to the agreed establishment without specifically allocated finance	Director for appropriate budget or General Manager Chief Executive	Manager responsible for budget N/A
f) <u>Pay</u> i) Authority to complete standing data forms affecting pay, new starters, variations and leavers ii) Authority to complete and authorise positive reporting forms iii) Authority to authorise overtime iv) Authority to authorise travel and subsistence expenses v) The approval of merit awards and discretionary points to Consultant and Associate Specialist staff	Director for appropriate budget or General Manager Director for appropriate budget or General Manager Director for appropriate budget or General Manager Director for appropriate budget or General Manager Remuneration and Appointments Committee of the Board	Authorised Budget Signatory Authorised Budget Signatory Authorised Budget Signatory Authorised Budget Signatory N/A

EAST SUSSEX HEALTHCARE NHS TRUST – DETAILED SCHEME OF DELEGATION

Section 2

Delegated Matter	Authority Delegated To	Lowest Level to Which Authority May be Delegated
g) <u>Leave</u> i) Approval of annual leave ii) Annual leave – approval of carry forward (up to maximum of 5 days or in the case of Ancillary and Maintenance staff as defined in their initial conditions of service) iii) Annual leave – approval of carry over in excess of 5 days iv) Special leave arrangements <ul style="list-style-type: none"> ▪ adoption leave ▪ bereavement leave ▪ paternity leave ▪ urgent domestic distress/crisis ▪ carers leave v) Leave without pay vi) Medical Staff Leave of Absence – paid and unpaid – including study leave <ul style="list-style-type: none"> ▪ Consultants and Career Grades ▪ Other Medical Staff 	Manager responsible for the budget Manager responsible for the budget Director for appropriate budget or General Manager Director for appropriate budget or General Manager Director for appropriate budget or General Manager Medical Director or Chief Executive Medical Director or Clinical Unit Lead Clinical Tutor together with Clinical Unit Lead	N/A N/A N/A Manager responsible for the budget – in accordance with Trust Special Leave Policy Manager responsible for the budget Clinical Unit Lead Clinical Unit Lead
vii) Time off in lieu	Director for appropriate budget or General Manager	Manager responsible for the budget

EAST SUSSEX HEALTHCARE NHS TRUST – DETAILED SCHEME OF DELEGATION

Section 2

Delegated Matter	Authority Delegated To	Lowest Level to Which Authority May be Delegated
<p>h) <u>Sick Leave</u></p> <p>i) Extension of sick leave on half pay up to three months</p> <p>ii) Return to work part-time on full pay to assist recovery</p> <p>iii) Extension of sick leave on full pay</p>	<p>Director for appropriate budget or General Manager together with Director of Human Resources</p> <p>Director for appropriate budget or General Manager together with Director of Human Resources</p> <p>Director of Human Resources together with Chief Executive</p>	<p>N/A</p> <p>Manager responsible for the budget</p> <p>N/A</p>
<p>i) <u>Study Leave</u> (Medical staff included in para 14.g.vi) above</p> <p>i) Any Study leave outside the UK</p> <p>ii) All other study leave (UK)</p>	<p>Chief Executive</p> <p>Director of Human Resources, Director for appropriate budget or General Manager</p>	<p>N/A</p> <p>Training Officer or Manager responsible for the budget</p>
<p>j) <u>Removal Expenses, Excess Rent and House Purchases</u></p> <p>Authorisation of payment of removal expenses incurred by officers taking up new appointments (providing consideration was promised at interview) within Trust policy limits – currently £10,000.</p>	<p>Director of Human Resources or Director of Finance</p>	<p>Payroll Manager or Head of Financial Services</p>
<p>k) <u>Grievance Procedure</u></p> <p>All grievances cases must be dealt with strictly in accordance with the Grievance Procedure</p>	<p>Manager responsible for the budget</p>	<p>N/A</p>

EAST SUSSEX HEALTHCARE NHS TRUST – DETAILED SCHEME OF DELEGATION

Section 2

Delegated Matter	Authority Delegated To	Lowest Level to Which Authority May be Delegated
l) <u>Renewal of Fixed Term Contract</u>	Manager responsible for the budget	N/A
m) <u>Staff Retirement Policy</u>		
Authorisation of extensions of contract beyond normal retirement age in exceptional circumstances	Director of Human Resources	N/A
n) <u>Redundancy</u>	Director of Human Resources together with Director of Finance	N/A
o) <u>Ill Health Retirement</u> Decision to pursue retirement on grounds of ill health	Manager responsible for the budget together with Director of Human Resources	Manager responsible for the budget together with Personnel Manager
p) <u>Dismissal</u>	Director for appropriate budget	N/A
15. Engagement of Agency Staff a) Booking of Bank, Agency or Locum Staff – limited to total delegated staffing budgets b) Where aggregate commitment in any one year (or total commitment) is less than £35,000 excluding VAT c) Where aggregate commitment in any one year is more than £35,000 excluding VAT . (Note: Tender Procedure)	Director for appropriate budget or General Manager Director for appropriate budget or General Manager Chief Executive	Manager responsible for the budget Manager responsible for the budget Director for appropriate budget
16. <u>Engagement of Professional Consultancy Services</u> a) Where aggregate commitment in any one year (or total commitment) is less than £35,000 excluding VAT	Director for appropriate budget or General Manager	Manager responsible for the budget

EAST SUSSEX HEALTHCARE NHS TRUST – DETAILED SCHEME OF DELEGATION

Section 2

Delegated Matter	Authority Delegated To	Lowest Level to Which Authority May be Delegated
b) Where aggregate commitment in any one year is more than £35,000 excluding VAT . (Note: Tender Procedure)	Chief Executive	Director for appropriate budget
<p>17. Non-Pay Revenue and Capital Expenditure/Requisitioning/Ordering/Payment of Goods and Services</p> <p>a) Non-Pay Expenditure for which a specific budget has been set up and which is subject to funding under delegated powers of virement.</p> <p>i) Value to the EU threshold</p> <p>ii) From the EU threshold to £1,000,000</p> <p>iii) Value of £1,000,000 or above</p> <p>In the case of contracts which have a life in excess of one year, the above limits apply to the total value of the contracts.</p>	<p>Chief Executive</p> <p>Chief Executive and Director for appropriate budget</p> <p>Common Seal of the Trust</p>	<p>Manager responsible for the budget</p> <p>N/A</p> <p>N/A</p>
b) Non-Pay Expenditure for which specific budget has been set up and which is not subject to funding under delegated powers of virement. (Subject to the limits specified above in (a))	Chief Executive and Director of Finance	N/A
c) Commitments/orders exceeding 12 month period	Director of Finance or Chief Executive	Manager responsible for the budget
d) Variations to contract for goods and services	Director for appropriate budget or General Manager.	Manager responsible for the budget together with Purchasing and Supplies Department Senior Buyer

EAST SUSSEX HEALTHCARE NHS TRUST – DETAILED SCHEME OF DELEGATION

Section 2

Delegated Matter	Authority Delegated To	Lowest Level to Which Authority May be Delegated
<p>20. Sale and Disposal of Assets (Excluding land and/or buildings)</p> <p>Items obsolete, obsolescent, redundant, irreparable or cannot be repaired cost effectively</p> <p>a) with current/estimated purchase price < £50,000</p> <p>b) with current purchase new price > £50,000 (Note: Tender Procedure SFI 7.)</p>	<p>Chief Executive</p> <p>Chief Executive</p>	<p>Manager responsible for the budget</p> <p>Manager responsible for the budget together with Head of Procurement</p>
<p>21. Losses, Write-off and Compensation</p> <p>a) Losses and cash and cash equivalents due to theft, fraud overpayment and others</p> <p>b) Fruitless Payments (including abandoned Capital Schemes)</p> <p> i) Up to £100,000</p> <p> ii) Over £100,001</p> <p>c) Bad Debts and Claims Abandoned. Private Patients, Overseas Visitors and Other</p> <p>d) Damage to buildings, fittings, furniture and equipment and loss of equipment and property in stores and in use</p> <p>Special Payments</p> <p>e) made under legal obligation</p>	<p>Chief Executive and Director of Finance</p> <p>Chief Executive and Director of Finance</p> <p>Board</p> <p>Chief Executive and Director of Finance</p> <p>Chief Executive and Director of Finance</p> <p>Chief Executive and Director of Finance</p>	<p>N/A</p> <p>N/A</p> <p>N/A</p> <p>N/A</p> <p>N/A</p> <p>N/A</p>

EAST SUSSEX HEALTHCARE NHS TRUST – DETAILED SCHEME OF DELEGATION

Section 2

Delegated Matter	Authority Delegated To	Lowest Level to Which Authority May be Delegated
f) Extra Contractual payments to contractors	Chief Executive and Director of Finance	N/A
g) Ex-Gratia Payments		
i) Patients' dentures repaired or replaced through the Community Dental service	Director of Corporate Affairs	Trust Solicitor
ii) Dentures and spectacles repaired or replaced < £500	Director of Corporate Affairs	Trust Solicitor
iii) Dentures and spectacles repaired or replaced > £500	Director of Finance	Trust Solicitor
iv) Other ex gratia claims < £500	Director of Finance	Trust Solicitor
v) Other ex gratia claims > £500	Director of Finance	Deputy Director of Finance
h) Payments under the Risk Pooling Scheme for Trusts up to the Policy Excess:		
i) Liabilities to Third Parties Scheme for Public and Employees Liability	Trust Solicitor	N/A
ii) Property Expenses Scheme	Trust Solicitor	N/A
i) Settlements on termination of employment – to a limit of £50,000	Chief Executive and Director of Finance and Director of Human Resources	N/A
j) Other, except cases of maladministration	Chief Executive and Director of Finance	N/A

EAST SUSSEX HEALTHCARE NHS TRUST – DETAILED SCHEME OF DELEGATION

Section 2

Delegated Matter	Authority Delegated To	Lowest Level to Which Authority May be Delegated
22. Expenditure on Charitable Funds a) All expenditure up to £5,000 per request but excluding training and hospitality requests b) All other expenditure	Director for appropriate budget or General Manager Trustee to authorise	Authorised Signatory N/A
23. Management and Control of Computer Systems a) Financial Data b) Other Data	Director of Finance Medical Director	Senior Finance Manager Capital Systems Manager Relevant Service Manager
24. Review of Trust's compliance with Data Protection Act 1998	Medical Director	Director of Corporate Affairs
25. Review the Trust's compliance with the Access to Health Records Act	Medical Director	Director of Corporate Affairs
26. Retention of Records	Director of Corporate Affairs	Trust Solicitor
27. Insurance Policies	Chief Executive and Director of Finance	Director of Corporate Affairs
28. Risk Management	Director of Nursing	Risk & Patient Safety Manager
29. Monitor proposals for contractual arrangements between the Trust and NHS commissioners of healthcare	Director of Finance	Deputy Director of Finance
30. Maintenance and Update on Trust Financial Procedures	Director of Finance	Technical Accountant

EAST SUSSEX HEALTHCARE NHS TRUST – DETAILED SCHEME OF DELEGATION

Section 2

Delegated Matter	Authority Delegated To	Lowest Level to Which Authority May be Delegated
<p>31. Agreements/Licences</p> <p>a) Preparation and signature of all tenancy agreements/licences for all staff subject to Trust Policy on accommodation for staff</p> <p>b) Extensions to existing agreements/licences</p> <p>c) Letting of premises to outside organisations</p> <p>d) Approval of rent based on professional assessment</p>	<p>Chief Operating Officer</p> <p>} } Chairman/Chief Executive under } Seal }</p>	<p>Accommodation Manager</p> <p>} } Commercial Director and } Director of Finance }</p>
<p>32. Reporting of Incidents to the Police</p> <p>a) Where a criminal offence is suspected</p> <p>b) Where a fraud is involved</p>	<p>On-call Manager or Manager responsible for the budget</p> <p>Director of Finance</p>	<p>Each Trust Employee</p> <p>Deputy Director of Finance</p>
<p>33. Patients and Relatives</p> <p>a) Overall responsibility for ensuring that all complaints are dealt with Effectively</p> <p>b) Responsibility for ensuring complaints relating to a directorate are investigated thoroughly</p> <p>c) Management of litigation relating to complaints</p>	<p>Director of Nursing</p> <p>Director for appropriate budget or General Manager</p> <p>Director of Corporate Affairs</p>	<p>Assistant Director of Nursing</p> <p>Relevant Service Manager</p> <p>Trust Solicitor</p>
<p>34. Relationships with Press</p> <p>a) General Enquiries</p> <p>b) Emergency</p>	<p>Director of Corporate Affairs</p> <p>On-call Manager</p>	<p>Head of Communications</p> <p>N/A</p>

EAST SUSSEX HEALTHCARE NHS TRUST – DETAILED SCHEME OF DELEGATION

Section 2

Delegated Matter	Authority Delegated To	Lowest Level to Which Authority May be Delegated
35. Patient Services Manage the provision of clinical services to accepted professional standards	Chief Executive	Medical Director and Director of Nursing
36. Facilities for staff not employed by the Trust to gain practical experience Professional Recognition, Honorary Contracts, and Insurance of Medical Staff Work experience students	Clinical Tutor Manager responsible for the budget	Post-Graduate Medical Education and Personnel Manager N/A
37. Review of fire precautions	Associate Director of Estates and Facilities	Nominated Fire Manager
38. Review of all statutory compliance legislation and Health and Safety requirements including Control of Substances Hazardous to Health Regulations	Director of Nursing	Health and Safety Manager
39. Review of compliance with environmental regulations, for example those relating to clean air and waste disposal	Chief Operating Officer	Estates Manager and Waste Manager

In addition to the delegated matters detailed above the executive team is accountable to the chief executive for key functions and for ensuring effective governance arrangements are in place in their individual areas of responsibility and in those key functions, supported by consistent evidence.

Collectively, the team is responsible for providing the systems, processes and evidence of governance and ensuring that these are reviewed, maintained and any gaps closed and that this is reflected in their regular updating of the assurance framework, coordinated by the director of corporate services.

The team are responsible for ensuring that the Board, as a whole, are kept apprised of progress, changes and any other issues affecting the assurance framework.

The team are responsible for monitoring the risk register at corporate level.

The responsibilities of individual posts are set out in the post holders' job descriptions.