

Appendix A - Scheme of Delegation Authorised Approvals

Scheme of Financial Delegation

Southend University Hospital NHS Foundation Trust

	NHSI	Board	Committee/ Panel	Chief Executive	Chief Financial Officer	Director of HR & OD	Medical Director	Chief Nurse	Chief Operating Officer	Executive Director for Estates and Facilities	Executive Director	Associate Director	AD Fundraising	Budget Holder	Other	Reference Documents
3 Business Planning, Budgets, Budgetary Control & Monitoring																
3.1 Approval of Business Plans and Budgets SFI Section 3																
Five Year Financial Strategy		X														
Annual Plan (including budget)		X														
2 - 5 year Business Plan produced as required		X														
Detailed Annual Budget (within overall budget set by Board)					X											
3.2 Budgetary Delegation SFI Section 3																
Responsibility for managing within budgets														X		
Virement between revenue budgets above £50,000. NB Between directorates needs agreement of all affected ADs					X											
Virement between revenue budgets below £50,000. NB Between directorates needs all AD agreement											X					
Virements between schemes in the same capital programme stream under £50,000														X		
Virements between schemes in the same capital programme stream over £50,000			IAC													
Virements between the different capital programme streams			IAC													
Virements from/to Capital and to/from revenue (NPV) above £500,000		X														
Virements from/to Capital and to/from revenue (NPV) between £50,000 to £499,999					X											
Virements from/to Capital and to/from revenue (NPV) below £50,000			IAC													
4 Pay and Establishment Control SFI Section 10																
4.1 Establishment Control																
Authority to recruit to funded posts on the establishment with permanent staff (after confirmation that funding exists by Finance Manager)														X		
Authority to recruit staff where no funding exists			X													
Authority to convert budgeted establishment from one pay category to another (non clinical)						X										
Authority to convert budgeted establishment from one pay category to another (medical)							X									
Authority to convert budgeted establishment from one pay category to another (nursing and related posts)								X								
Authority to convert budgeted establishment from one pay category to another (other clinical posts)									X							
4.2 Pay																
Determining remuneration and terms of service of Chief Executive and Executive Directors			Remuneration Committee													Staff T&C PRIDE framework
Determining remuneration and terms of service of Chairman and Non-Executive Directors			Council of Governors													
Granting of additional increments to staff outside of appraisal process			Vacancy Control Panel													
All requests for re-evaluation in line with HR policy			Vacancy Control Panel													
Funding of Local Clinical Excellence Awards				X												
Awarding of Local Clinical Excellence Awards			CEA Panel													
Authority to approve forms affecting pay for the staff being managed eg starters & leavers, monthly/weekly positive return forms, overtime, travel and subsistence expenses. NB Forms in relation to the budget holder must be approved by their manager														X		
Approval of the framework for relocation packages for new staff						X										
Approval of relocation expenses incurred (budget holder refers to the holder of the relocation budget)														X		
Ex gratia payments to staff above £5,000 eg settlement agreement				X												
Ex gratia payments to staff below £5,000 eg settlement agreement					X	X										
Authority to agree local pay rates and terms and conditions - annual agreement with staff side		X														
In year variations of pay for individuals or groups				X												
4.3 Leave																
Approval of annual leave and carry over from one year to the next within Trust policy														X		Staff T&C; PP33 Planned Leave Policy
Paid and unpaid maternity leave following Trust procedure														X		Staff T&C; PP12 Maternity Leave Policy

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Paternity Leave - in accordance with current policy														X		Staff T&C; PP33 Planned Leave Policy
Leave of absence or time off in lieu - in accordance with current policy														X		Staff T&C; PP33 Planned Leave
Leave without pay - in accordance with current policy														X		Staff T&C; PP33 Planned Leave Policy
Medical Staff paid or unpaid leave of absence							X									Staff T&C; PP33 Planned Leave
Extension of sick leave pay beyond existing agreed levels					X	X										
Approval of Payment of accrued leave unable to be taken (eg sickness) unless a leaver												X				
Return to work part-time on full pay to assist recovery (in conjunction with HR Business Partners on advice from Occ Health)														X		
4.4 Redundancy																HM Treasury Guidance
Approve redundancy for all directors and very senior managers (VSMs)			Remuneration Committee													
All other employees (payment to employee and NHS Pension agency) above £50,000			Remuneration Committee													
All other employees (payment to employee and NHS Pension agency) between £25,000 and £50,000				X												
All other employees (payment to employee and NHS Pension agency) below £25,000					X	X										
4.5 Ill Health Retirement																
Approval of retirement on the grounds of ill-health under the Sickness Absence Management Policy						X										Refer S6.4
4.6 Engagement of Consultancy and Honorary Contracts																
Non Medical Consultancy Services where commitment in any one financial year is above £50,000	X															Tender rules S5.2
Non medical consultancy services where commitment in any one financial year is between £25,000 and £49,999 or where no budget exists				X												Tender rules S5.2
Non medical consultancy services where commitment in any one financial year below £25,000 and where budget exists												X				
Honorary Contracts for medical staff						X	X									
Honorary Contracts for all staff except medical staff						X					X					
Honorary Contracts for minors (eg work experience) in conjunction with HR Business Partner and Trust Risk Manager														X		
4.7 Engagement of temporary staff																
Approval above agency cap limit (break-glass provision) post hoc						X										
Booking of bank and agency to cover vacancies														X		
Approval to book bank and agency in excess of vacancy cover												X				
5 Non Pay - Revenue, Capital and Charitable																SFI Section 9.12
5.1 Requisitioning and Ordering																
Requisitions for revenue spend within available budget, and in line with Trust SFIs procurement framework but over current EU thresholds				X	X											
Requisitions for revenue spend (excluding hospitality) within available budget, and in line with Trust SFIs Procurement framework below EU thresholds but over £100,000					X							X				
Requisitions for revenue spend (excluding hospitality) within available budget, and in line with Trust SFIs Procurement framework between £99,999 and £30,000											X	X				
Requisitions for revenue spend (excluding hospitality) within available budget, and in line with Trust SFIs Procurement framework below £30,000												X		X		
Requisitions for revenue spend (excluding hospitality) where no budget exists, and in line with Trust SFIs Procurement framework					X											
Receipting of Goods and Services delivered to main stores																Goods Receipting Officers
Receipting of Goods and Services where direct to end user														X		
Placing of Orders (excluding drugs)																Purchasing Department
Placing of Orders for drugs																Chief Pharmacist
Consortium purchasing - when purchased by a third party organisation on behalf of the Trust excluding medicinal products					X											

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Consortium purchasing - Medicinal Products when purchased by a third party organisation on behalf of the Trust															Chief Pharmacist	
Engagement of any staff type not on payroll but within existing budgets						X										
Engagement of any staff type not on payroll where no budget exists	X				X											
5.2 Quotation, Tendering and Contract Procedures																SFs S9
Requisition order value below £5,000 (see 5.1)																2 written quotations
Requisition order value between £5,000 and £29,999 (see 5.1)																3 written quotations
Requisition order value between £30,000 but less than EU limit (see 5.1)																At least 3 formal tenders
Order value exceeding EU limit					X											At least 5 tenders
Approval of waiving of competitive quotations below £5,000														X		
Approval of waiving of competitive quotations above £5,000 one of:		Any			X						X	X				
Opening of postal tenders											X 2					
Award and approval of revenue contracts below £30,000 following advice from Associate Director of Procurement												X				
Award and approval of revenue contracts between £30,000 but below EU limit following advice from Associate Director of Procurement					X									X		
Award and approval of revenue contracts above EU limit		X														
5.3 Capital Schemes																SFI S14
Capital Programme - Approval of annual plan		X														
Production of business case proposal for capital schemes														X		SFI S14.2
Sponsorship of business case proposal for capital schemes											X					
Approval of spend included in the approved Capital Programme above £1m		X														SFI S14.3
Approval of spend included in the Capital Programme between £100,000 and £1m					X											
Approval of spend included in the Capital Programme between £30,000 and £100,000											X	X				
Approval of spend included in the Capital Programme below £30,000												X		X		
Additions (including emergencies) to capital programme increasing the overall plan over £500,000		X														
Additions (including emergencies) to capital programme increasing the overall plan below £500,000					X											
Variation to agreed schemes above £50,000					X											
Reallocation of funds within the approved capital programme over £1m		X														
Reallocation of funds within the approved capital programme below £1m					X											
Technical fees outside of framework agreements					X							X		X		
Award and approval of capital contracts up to £30,000 with Purchasing lead advice														X	3 quotations required	
Award and approval of capital contracts between £30,000 and £100,000 with Purchasing Lead Advice											X	X				
Award of capital contract above £100,000					X											
Award of capital contract above £1m				X												
Schemes considering the involvement of PFI		X														
Claims against the contractor with legal advice where appropriate														X		
Release of retention														X		
Signing of finance and operating leases, hire purchase agreements, any deferred payment scheme etc above £30,000					X											
Signing of finance and operating leases, hire purchase agreements, any deferred payment scheme etc below £30,000															Deputy Director of Finance	
Signing of Property leases (including property rental) on behalf of the Trust										X						
Placing of orders - please follow 5.1															Purchasing Dept	
5.4 Expenditure from Charitable Funds																SFI S19
Expenditure approval over £30,000					X											
Expenditure approval over £5,000													X			
Expenditure approval up to £5,000														X		
5.5 Petty Cash Disbursements																SFI S18
Expenditure approval (per request) over £100					X											
Expenditure approval (per request) above £25															Assistant Director of Finance - Financial Services	
Expenditure approval (per request) up to £25														X		
Reimbursement of patients monies / property held on deposit															General Office Manager	
6 Good housekeeping, Governance & Legal Issues																

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6.1 Write off and Disposal of Assets																
																SO 9 SFI S14&15
Current collective value up to £2,000 (with advice from finance)														X		
Current collective value over £2,000 (except items below) with advice from finance												X				
Disposal of medical equipment and devices with advice from finance														X		
Disposal of mechanical and engineering plant and non medical electrical equipment up to £2,000														X		
Disposal of mechanical and engineering plant and non medical electrical equipment over £2,000					X											
Disposal of land and buildings (including site demolition) if it affects authorisation by NHSI or is above £500,000		X														
Disposal of land and buildings (including site demolition) up to £500,000					X											
Disposal of computers and other IT equipment															IT	
6.2 Write off and Disposal of Stock																
Disposal of all stock items over £5,000 original cost in any one month					X											
Disposal of all stock items up to £5,000 original cost in any one month														X		
Disposal of X Ray films held as stock with advice from Finance															Manager of Radiology	
Disposal of medical & surgical items, devices and appliances held as stock with advice from Finance												X				
Disposal of medicinal products and drugs in a month up to £5,000															Chief Pharmacist	
Disposal of medicinal products and drugs in a month over £5,000					X										Up to £5,000 Director of Pharmacy	
6.3 Write off and Disposal of Consumables																
Current collective value below £2,000 with advice from Finance														X		SO 9
Current collective value over £2,000 (except items below) with advice from Finance															Associate Director of Procurement	SFI S14&15
Disposal of medical equipment and devices															Associate Director of Procurement	SFI S14.12
Disposal of computers and other IT equipment															IT	SFI S14.12
6.4 Losses and Compensation																
																SFI S16
Approval to write off losses and cash due to theft, fraud, overpayment etc over £10,000		X														
Approval to write off losses and cash due to theft, fraud, overpayment etc under £10,000					X											
Approval to write off abandoned Capital Schemes above £250,000		X														
Approval to write off abandoned Capital Schemes below £250,000					X											
Approval to write off or negotiate reduced income from commissioners above £1m		X														
Approval to write off or negotiate reduced income from commissioners below £1m					X											
Approval to write off other bad debts, losses and claims abandoned under £50,000					X											
Approval to write off other bad debts, losses and claims abandoned above £50,000		X														
Compensation payments made under legal obligation to Executive Directors			Remuneration Committee													HM Treasury Guidance
Compensation payments made under legal obligation to staff (if over £50,000 must be reported to Remuneration Cttee)				X												
Compensation payments to patients (other than clinical negligence), visitors or public (over £5,000 must be reported to Board)				X												
Extra Contractual payments to Contractors above £50,000				X												
Extra Contractual payments to Contractors below £50,000					X											
6.5 Ex-Gratia Payments																
Patients and staff for loss of personal effects below £1,000														X		
Patients and staff for loss of personal effects between £1,000 and £4,999								X								
Patients and staff for loss of personal effects between £5,000 and £49,999				X												
Patients and staff for loss of personal effects above £50,000		X														
Payments for clinical negligence (not covered by NHSLA) Any payment above £50,000 must be reported to the Trust board				X												
For personal injury claims involving negligence where legal advice has been obtained and guidance applied. Any payment above £50,000 must be reported to the Trust board				X												
6.7 Insurance Policies and Risk Management																
Authority to enter into insurance agreements					X											
6.8 Receiving Casual Gifts and Hospitality by staff (incl. courses, conferences and collective receipts)																
																Bribery Act2010
Authorisation of receipt of gifts or hospitality below £500															Line Manager	
Authorisation of receipt of gifts or hospitality above £500 (or where value unknown)				X												
7 Income, Cash and Investments																

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7.1 Setting of Fees and Charges																	SFI S6
Private Patient charges																Deputy Director of Finance	
Other Patient related Services																Deputy Director of Finance	
Clinical service for which a tariff is not published					X												
Rents and leases																Executive Director of Estates and Facilities	
Other non clinical services					X												
7.2 Banking Arrangements																	SFI S5&18
Approval of banking arrangements		X															
Authorising the maintenance and operation of bank and GBS accounts in the name of the Trust, including payments					X												
7.3 Investment of Funds																	
Hospital funds					X												Treasury Man. Policy
Charitable funds			Charitable Funds Committee													Charitable Funds Committee	Trustees SO/SFI