

Document Details		
Title		Scheme of Delegation
Trust Ref No		1351-85989
Local Ref (optional)		
Main points the document covers		This scheme details the levels of delegation the Board gives to individuals & committees
Who is the document aimed at?		All staff
Author		Head of Financial Accounting
Approval process		
Approved by (Committee/Director)		Trust Board
Approval Date		December 2023
Initial Equality Impact Screening		Yes
Full Equality Impact Assessment		No
Lead Director		Sarah Lloyd, Chief Finance Officer
Category		Finance
Subcategory		Standing Orders
Review date		December 2024
Distribution		
Who the policy will be distributed to		Distributed to senior staff as defined by Directors
Method		Electronically to senior staff & available to all staff via the Trust website
Document Links		
Required by CQC		
Required by NHSR		
Other		
Amendments History		
No	Date	Amendment
1	April 2014	Amendments to section 5(quotations/tendering) & section 10 (disposals) plus other amendments to terminology
2	May 2015	Significant amendments to section 2 (capital scheme approval), section 6 (charitable fund expenditure), section 9 (redundancy & early retirements) & section 34 (new & core business developments) Other minor amendments
3	January 2016	Amendment to section 8 (engagement of staff not on the establishment) relating to consultancy
4	November 2016	Amend Audit Committee responsibilities to reflect role as Auditor Panel
5	November 2017	Changed references to 'Estates Advisor' and replaced with 'Director of Finance'
6	September 2018	New section 35; requirement for PDC or loan draw down utilisation request authorised signatories. Added 'Associate Director of Finance' alongside Director of Finance and Director.
7	September 2019	Reference to SFIs as SFIs renumbered Removed reference to Appendix 1 in SO's as no longer relevant and replaced with reference to the Trusts Code of Business Conduct, including Managing Conflicts of Interest Policy. Changed Transformational & CIP Programme Board to Benefits Realisation Group
8	September 2020	Change NSHI to NHSI/E Changed reference to Director of Corporate Affairs and replaced with Director of Governance/Corporate Secretary

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9	September 2021	Added Director of Finance Removed Director of Finance and Strategy and Associate Director of Finance
10	September 2022	Added Chief Finance Officer Removed Director of Finance Removed Director of People and Corporate Services Added Director of Nursing and Workforce Removed Corporate Secretary Added Director of Governance Section 5 a) Increased minimum value for gaining two quotes from £10,000 - £20,000 to £20,000 - £30,000 and Section 5b) Increased minimum value for gaining three quotes from £20,001 to £30,001 Section 10 b) Removed Car Leasing Officer with Car Leasing Management Company Removed section on New & Core Business Developments as covered in other sections Section 34 Removed Head of Finance and added Deputy Chief Finance Officer and Associate Director of Finance
11	September 2023	Changed the Director of Nursing and Workforce to Director of Nursing, Clinical Delivery and Workforce Added People Committee to Delegation of Committees

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Policies, Procedures, Guidelines and Protocols

DELEGATED MATTER		AUTHORITY DELEGATED TO	REFER TO
1.	Management of Budgets (responsibility of keeping expenditure within budgets)		
a)	At individual budget level (pay & non-pay)	Budget Manager or Resource Manager or Service Lead	SFIs - Section 3
b)	At Directorate/Service or Board level	Chief Finance Officer	SFIs - Section 3
c)	For all other areas	Chief Finance Officer	SFIs - Section 3
d)	Approving spend exceeding the tender price by up to 10% or £15,000 whichever is higher	Chief Executive	SFIs – Section 7

2A	Non-Pay Revenue Expenditure Requisitioning/Payment		
a)	Requisitions/payments up to £1,000	Service Lead	SFIs – Section 10
b)	Requisitions/payments up to £5,000	Resource Manager	SFIs – Section 10
c)	Requisitions/payments up to £15,000	Budget Manager	SFIs – Section 10
d)	Requisitions/payments up to £50,000	Senior Budget Manager (Operations Directorate only)	SFIs – Section 10
e)	Requisitions/payments up to £75,000	Director	SFIs – Section 10
f)	Requisitions/payments from £75,000 to £500,000	Director <u>and</u> Chief Finance Officer or Chief Executive	SFIs – Section 10
g)	Orders exceeding 12-month period - in addition to a) to f) above	Chief Finance Officer or Chief Executive	SFIs - Section 10

2B	Capital Expenditure Requisitioning/ Payment (for schemes already approved see section 2C)		
a)	Requisitions/payments	Chief Finance Officer	SFIs – Section 10

2C	Approval of Capital Schemes		
a)	Schemes up to £100,000	Capital & Estates Group	SFIs – Section 10
b)	Schemes over £100,000	Resource & Performance Committee	SFIs - Section 10

3.	Authorised Signatory List		
a)	Maintenance of, and additions to, list of authorised signatories	Chief Executive or Chief Finance Officer	SFIs – Sections 9 & 10

4.	Capital Schemes & Leases		
a)	Selection of architects, quantity surveyors, and other professional advisors	Chief Finance Officer	
b)	Financial monitoring and reporting on all capital scheme expenditure	Chief Finance Officer	SFIs – Section 13
c)	Signing and termination of leases with annual rent up to £100,000	Chief Finance Officer	
d)	Signing and termination of leases with annual rent from £100,000 to £250,000	Chief Executive <u>and</u> Chief Finance Officer	
e)	Extensions to existing leases	Chief Finance Officer	
f)	Letting of premises to outside organisations	Chief Finance Officer	

DELEGATED MATTER		AUTHORITY DELEGATED TO	REFER TO
g)	Approval of rent based on professional assessment	Chief Finance Officer	
h)	Preparation & signature of tenancy agreement for staff	Chief Finance Officer	

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5.	Quotation, Tendering & Contracting		
a)	Obtaining a minimum of 2 written or electronic quotations for goods/services from £20,000 to £30,000	Head of Procurement or Chief Finance Officer or Budget Manager	SFIs - Sections 7 & 10
b)	Obtaining a minimum of 3 written or electronic quotations for goods/services from £30,001 to £50,000	Head of Procurement or Chief Finance Officer or Budget Manager	SFIs - Sections 7 & 10
c)	Obtaining a minimum of 3 written or electronic competitive tenders for goods/services from £50,001 to £75,000	Head of Procurement <u>and</u> Chief Finance Officer	SFIs - Sections 7 & 10
d)	Obtaining a minimum of 4 written or electronic competitive tenders for goods/services from £75,001 to £250,000	Head of Procurement <u>and</u> Chief Finance Officer (under seal or electronic equivalent)	SFIs - Sections 7 & 10
e)	Obtaining a minimum of 6 written or electronic competitive tenders for goods/services from £250,001 to £600,000	Head of Procurement <u>and</u> Chief Finance Officer <u>and</u> Chief Executive (under seal or electronic equivalent)	SFIs - Sections 7 & 10
f)	Obtaining written or electronic quotations where orders over £5,000 are placed for more than one Trust	Head of Procurement	SFIs - Sections 7 & 10
g)	Obtaining written or electronic competitive tenders where orders over £50,000 are placed for more than one Trust	Head of Procurement	SFIs - Sections 7 & 10
h)	Waiving of quotations and tenders subject to Standing Financial Instructions	Chief Finance Officer or Chief Executive, and Head of Procurement	SFIs - Sections 7 & 10
i)	Opening tenders	Any two Senior Managers not involved in this procurement	SFIs - Sections 7 & 10
j)	Opening quotations	Head of Procurement or Chief Finance Officer	SFIs - Sections 7 & 10

6.	Expenditure on Charitable Funds		
a)	Requisitions/payments up to £1,000	Resource Manager	SFIs - Section 10 & 18
b)	Requisitions/payments up to £3,000	Budget Manager	SFIs - Section 10 & 18
c)	Requisitions/payments up to £20,000	Chief Finance Officer	SFIs - Section 10 & 18

7.	Setting of Fees and Charges		
a)	Private patient, overseas visitors, income generation & other patient-related services	Chief Finance Officer	SFIs - Section 6
b)	Costing of Service Level Agreements	Chief Finance Officer	SFIs - Section 6 & 8

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	DELEGATED MATTER	AUTHORITY DELEGATED TO	REFER TO
8.	Engagement of Staff not on the Establishment		
a)	Non-medical consultancy staff where total commitment is less than £50,000	Relevant Director and Chief Finance Officer	
b)	Non-medical consultancy staff where total commitment is £50,000 or more	Director <u>and</u> Chief Finance Officer (<i>through completion & submission of NHSI/E business case template</i>)	
c)	Engagement of Trust's solicitors	Chief Executive	
d)	Booking of locums & bank/agency staff	Service Lead	

9.	Workforce and Pay		
a)	Filling funded posts on the establishment with permanent staff	Service Lead	SFIs - Section 9
b)	Appointing staff to posts not on the formal establishment	Chief Finance Officer <u>and</u> Chief Executive	SFIs - Section 9
c)	Granting of additional increments to staff within budget	Director of Nursing, Clinical Delivery and Workforce <u>and</u> Chief Finance Officer	SFIs - Section 9
d)	Requests for re-grading to be dealt with in accordance with Trust procedures	Director of Nursing, Clinical Delivery and Workforce	HR Policies
e)	Completing ESR forms effecting pay, new starters, variations, and leavers	Service Lead	SFIs - Section 9
f)	Authorising overtime	Service Lead	SFIs - Section 9
g)	Authorising travel & subsistence expenses	Team Leader	SFIs - Section 9
h)	Reviews of performance & recommendations on terms & conditions of employment of Directors	Nominations, Appointments & Remuneration Committee	SFIs - Section 9
i)	<u>Leave:</u> -		
	i) Approval of annual leave	Service Lead	HR Policies
	ii) Approval of annual leave carry forward	Service Lead	HR Policies
	iii) Approval of compassionate leave up to 4 days	Service Lead	HR Policies
	iv) Approval of special leave up to 5 days	Service Lead	HR Policies
	v) Approval of leave without pay	Service Lead	HR Policies
	vi) Approval of time off in lieu	Service Lead	HR Policies
	vii) Approval of maternity leave – paid & unpaid	Service Lead	HR Policies
j)	<u>Sick Leave:</u> -		
	i) Extension of sick leave on half pay up to three months	Chief Finance Officer <u>and</u> Director of Nursing, Clinical Delivery and Workforce	HR Policies
	ii) Return to work part-time on full pay to assist recovery for up to 4 weeks	Budget Manager	HR Policies
	iii) Extension of sick leave on full pay	Chief Finance Officer <u>and</u> Director of Nursing, Clinical Delivery and Workforce	HR Policies
k)	<u>Study Leave:</u> -		
	i) Study leave outside the UK	Chief Executive	HR Policies
	ii) Medical staff study leave (UK)	Medical Director (<u>and</u> Budget Manager if different)	HR Policies
	iii) All other study leave (UK)	Service Lead	HR Policies
l)	Authorising payment of relocation/removal expenses incurred by officers taking up new appointments (must be agreed at interview)	Chief Finance Officer <u>and</u> Director of Nursing, Clinical Delivery and Workforce	Relocation Policy

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DELEGATED MATTER		AUTHORITY DELEGATED TO	REFER TO
m)	Grievances cases to be dealt with in accordance with the Trust's Grievance Procedure	Chief Finance Officer or Director of Nursing, Clinical Delivery and Workforce	Grievance Procedure
n)	Authorising posts as car users	Budget Manager	Lease Car Policy
o)	Renewal of fixed-term contract	Budget Manager	SFIs - Section 9
p)	Authorising extensions of contract beyond normal retirement age in exceptional circumstances	Budget Manager	HR Policies
q)	Redundancy payments, pay in lieu of notice & early retirement where there is a cost to the Trust – up to £15,000	Chief Finance Officer and Director of Nursing, Clinical Delivery and Workforce	HR Policies
r)	Redundancy payments, pay in lieu of notice & early retirement where there is a cost to the Trust – over £15,000	Chief Finance Officer <u>and</u> the Nominations, Appointments & Remuneration Committee	SFIs – Section 9 HR Policies
s)	Decision to pursue retirement on the grounds of ill-health	Budget Manager <u>and</u> Director of Nursing, Clinical Delivery and Workforce	HR Policies
t)	Dismissal	Budget Manager <u>and</u> Director of Nursing, Clinical Delivery and Workforce	HR Policies

10.	Condemning and Disposal (of items which are obsolete, redundant, or irreparable)		
a)	Disposal of x-ray films	Chief Finance Officer	SFIs - Section 15
b)	Disposal of vehicles	Car Leasing Management Company <u>and</u> Budget Manager	SFIs - Section 15
c)	Disposal of capital equipment on the asset register where there will be a financial loss	Chief Finance Officer	SFIs - Section 15
d)	Disposal of all other items	Budget Manager	SFIs - Section 15

11.	Write-Off of Losses and Compensation Payments		
a)	Losses of cash (except those due to fraud or known theft) up to £50	Chief Finance Officer	SFIs – Section 15
b)	Losses of cash due to fraud, theft, overpayment & other causes up to £50,000	Chief Finance Officer <u>and</u> Chief Executive	SFIs - Section 15
c)	Fruitless payments (including abandoned capital schemes)		
	• Up to £50 (usually rail travel)	Chief Finance Officer	SFIs - Section 15
	• Between £51 and £250,000	Chief Finance Officer <u>and</u> Chief Executive	SFIs - Section 15
d)	Bad debts & claims abandoned up to £50,000	Chief Finance Officer <u>and</u> Chief Executive	SFIs - Section 15
e)	Damage to buildings, fittings, furniture & equipment, & loss of equipment & property in stores & in use up to £50,000	Chief Finance Officer	SFIs - Section 15
f)	Compensation payments made under legal obligation up to £10,000	Chief Finance Officer or Chief Executive	SFIs - Section 15
g)	Extra-contractual payments to contractors up to £10,000	Chief Finance Officer or Chief Executive	SFIs - Section 15

DELEGATED MATTER		AUTHORITY DELEGATED TO	REFER TO
h)	Payments to patients & staff for loss of personal effects: -		
	• Up to £50	Budget Manager	SFIs - Section 15
	• Between £51 and £2,000.	Director	SFIs - Section 15
	• Between £2,001 and £5,000	Chief Finance Officer	SFIs - Section 15
	• Between £5,001 and £10,000	Chief Executive	SFIs - Section 15

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i)	Payments for clinical negligence negotiated settlements following legal advice up to £1,000,000	Chief Finance Officer <u>and</u> Chief Executive	SFIs – Section 15
j)	Payments for personal injury claims involving negligence (where legal advice has been obtained & guidance applied) up to the limit above which NHS Resolution provides indemnity cover (including plaintiff's costs)	Director of Governance	SFIs – Section 15
k)	Payments for personal injury claims involving negligence (where legal advice has been obtained & guidance applied) between £10,001 and £100,000 (including plaintiff's costs)	Chief Finance Officer <u>and</u> Chief Executive	SFIs – Section 15
l)	Other compensation payments (except cases of maladministration where there was no financial loss by claimant) up to £10,000	Chief Executive	SFIs – Section 15

12.	Maintenance/Operation of Bank Accounts	Chief Finance Officer	SFIs - Section 5
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13.	Maintenance & Update of Trust Finance Procedures	Chief Finance Officer	SFIs - Section 1
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14.	Implementation of Internal and External Audit Recommendations	Chief Finance Officer	SFIs - Section 2
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15.	Reporting of Incidents to the Police		
a)	Where a criminal offence is suspected	Chief Finance Officer	Fraud Plan
b)	Where a fraud is involved	Chief Finance Officer	Fraud Plan

16.	Insurance	Chief Finance Officer	SFIs – Section 21
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17.	Risk Management	Director of Governance	SFIs - Section 21
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18.	Patients' and Relatives' Complaints		
a)	Overall responsibility for ensuring that all complaints are dealt with effectively	Director of Governance	Complaints Procedure
b)	Responsibility for ensuring complaints are investigated thoroughly	Director of Governance	Complaints Procedure
c)	Medical & legal complaints - co-ordination of their management	Director of Governance	Complaints Procedure

19.	Authorising Research Projects	Medical Director	
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20.	Authorising Clinical Trials	Medical Director	
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	DELEGATED MATTER	AUTHORITY DELEGATED TO	REFER TO
21.	Reviewing statutory compliance legislation and Health & Safety requirements	Director of Governance	Health & Safety Policy Risk Mgt Policy

22.	Reviewing fire precautions	Director of Governance	Fire Procedures
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23.	Reviewing compliance with environmental regulations e.g., relating to clean air and waste disposal	Chief Finance Officer	Statutory Standards
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24.	Facilities for staff not employed by the Trust to gain practical experience		
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a)	Professional recognition, honorary contracts & insurance of clinical staff.	Director of Nursing, Clinical Delivery and Workforce	
b)	Work experience students	Service Lead	
25.	Monitoring proposals for contractual arrangements between the Trust & outside bodies	Chief Finance Officer	
26.	Reviewing the Trust's compliance with the Freedom of Information Act	Director of Governance	SFIs - Section 15
27.	Reviewing the Trust's compliance with the Data Protection Act	Chief Finance Officer	SFIs - Section 16
28.	Keeping a Declaration of Interests Register	Director of Governance	Standing Orders – No. 7
29.	Attestation of sealing's in accordance with Standing Orders	Chief Executive	Standing Orders – No. 8
30.	Keeping the Sealing's Register	Director of Governance	Standing Orders – No. 8
31.	Keeping the Hospitality Register	Director of Governance	Code of Business Conduct, including Managing Conflicts of Interest Policy SFIs – Section 19
32.	Retention of records	Chief Finance Officer	SFIs - Section 21
33.	Receiving & Handling Petitions	Chief Executive	Mgt Guidance on Petitions

DELEGATED MATTER		AUTHORITY DELEGATED TO	REFER TO
34.	Loan or PDC Utilisation Request		
a)	For draw down of PDC from DHSC, two authorised signatories are required: For draw down of Loan from DHSC, one signatory is required being the nominated representative as stated in the board minute.	Chief Executive, Chief Finance Officer, Deputy Chief Finance Officer, Associate Director of Finance, Head of Management Accounting, Head of Financial Accounting, Head of Costing & Contracting.	SFIs – Section 11

Note

In all cases where amounts are higher than those listed in the Scheme of Delegation, approval must be by the Board.

DELEGATION TO COMMITTEES

AUDIT COMMITTEE

- Overview of assurance controls and risk management processes to ensure that they are comprehensive and fit for purpose, taking an integrated view combining clinical and non-clinical factors. While other Committees will have responsibility for ensuring the identification and management of risks in their specific areas, the Audit Committee has overall responsibility for ensuring that assurances exist and are sufficient across all risk areas, and that the overall risk management system is functioning effectively.
- This includes ensuring the Trust's risk appetite is reviewed on an annual basis.
- Maximising the contribution made by Internal Audit by approving the annual audit plan, review performance against that plan, receiving audit reports and ensuring that agreed recommendations have been acted upon.
- Ensuring that a whistle blowing policy is in place.
- Scrutiny of the Annual Accounts.
- Acting as the Trust's Auditor Panel, advising on the appointment of External Auditors.
- Management of the relationship with External Auditors, including making recommendations on their appointment, approving the annual plan, receiving reports, and ensuring that appropriate action is taken on any advice given or recommendations agreed.

QUALITY AND SAFETY COMMITTEE

- Monitoring progress on the Trust's quality improvement plan.
- Monitoring performance indicators of outcomes of service delivery and quality.
- Review of clinical risks, and of non-clinical corporate risks (excluding specifically finance and business risks which are in the remit of the Resources and Performance Committee), their management and assurances, including the structure and reporting of any other groups of committees engaged in clinical quality or safety activities. (Note: The Quality and Safety Committee ensures the management of clinical and corporate risks including obtaining assurances, while the Audit Committee has overall responsibility for testing and ensuring that assurances and overall assurance systems are adequate).
- Commissioning and monitoring evidence of the patient experience, including reviewing complaints and the processes for handling them.
- Monitoring of the Trust's systems for reporting, analysing, and learning from serious untoward incidents.
- Scrutiny of the Trust's quality accounts.
- Monitoring the effectiveness of clinical audit.
- Management and review of relevant policies.
- Management and review of legal claims and inquests.
- Assurance and oversight of health and safety.

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PEOPLE COMMITTEE

- Ensure the Trust is meeting its statutory and regulatory requirements in relation to workforce management.
- Oversee the development and implementation of the People Plan and any related workforce plans.
- Monitor and develop the Trust's plans for talent management, succession planning, staff engagement, performance, reward and recognition strategies and policies.
- Receive an agreed level of workforce data and trend analysis to inform and analyse workforce issues.
- Ensure that the Committee has adequate information on which to advise and assure the Board.
- Receive reports from the following groups in addition any other groups that may be established to address people matters:
 - Staff Experience Group
 - Equality Diverison and Inclusion Group
 - Higher Education Institute Group
- Approve such policies as the Board has not reserved to itself and as required by the Trust's Policy Control Policy
- Review progress made in delivering key enabling workforce strategies raising any significant risks regarding their delivery to the Board.
- Assure and provide advice to the Board on any arising HR issues of significance.
- Receive updates on employee relation cases in confidence and with the exclusion of attendees if deemed necessary

NOMINATIONS, APPOINTMENTS & REMUNERATION COMMITTEE

- Succession planning and development of Trust senior managers.
- Overseeing the appointment of Executive Directors.
- Approving remuneration of Executive Directors

RESOURCE & PERFORMANCE COMMITTEE

- Monitoring of financial and business performance indicators.
- Review of financial control systems including the annual budget setting process.
- Monitoring achievement of Cost Improvement Programmes and QIPP schemes.
- Review of performance and performance control systems.
- Review of business risks, their management, and assurances, including the areas of markets and competition, compliance, health and safety, environment, reputation, business continuity, information security, workforce, and performance. (Note: The Resources and Performance Committee ensures the management of financial and performance risks while the Audit Committee has overall responsibility for ensuring that assurances and assurance systems are adequate).
- Review of business cases.
- Review of capital investment programme and making recommendations to the Board on prioritisation.
- Review of procedures governing the investment of surplus working capital.

CHARITABLE FUNDS COMMITTEE

- Review and management of the investment of charitable funds, including approval of the Charitable Funds Annual Accounts and Report.