

SCHEME OF RESERVATION AND DELEGATION

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No	Section and Detail	Date
1	5 – Clinical group chair and board secretary powers added	March 2009
2	6.6 – definition of approvers amended to reflect new structures	March 2009
3	6.7 – increased approval levels	March 2009
4	6.6 – amended to reflect current management structure	July 2009
5	6.7 – amended to reflect PFI project requirements	July 2009
6	6.7 – Charitable Funds expenditure amended	July 2009
7	3.1 remove reference to Nominations Committee	May 2010
8	2.4 & 3.4 Approval of Terms of Reference and membership of Committees reserved to Trust Board	May 2010
9	2.6 Approval of business cases above limits delegated to Chief Executive reserved to Board	May 2010
10	5.0 Section amended to reflect removal of Director of Business Development role and reallocation of responsibilities to Director of Finance and FT project Director	May 2010
11	6.0 section 2 amended limits for PFI small works variations – up to £1m delegated to level 5, above £1m reserved to Board	May 2010
12	6.0 section 4 Contracts under £15k can be awarded without competitive quotations. Contracts between £15k and £50k require three competitive quotations	May 2010
13	6.0 Section 12 delegated limits for authorisation of ID cards and swipe cards	May 2010
14	Section 5 – amendment to responsibilities/titles of directors	September 2010
15	3.1 – Committee names updated	May 2012
16	4 and 5 – terminology updated	May 2012
17	5.1 – responsibility for reporting losses to Audit Committee included	May 2012
18	5.3 – title updated	May 2012
19	5.5 – updated to reflect no Director of IM&T and responsibility for IM&T under Director of Development	May 2012
20	6 – titles and limits updated	May 2012
21	Document updated to reflect new committees and changes in Board structure	May 2013

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Reference	Reserved to:	Decision
	General throughout document, typos and minor corrections, convention on naming Committees, ALL TIER 1 Committees of the Board to be named 'Committees', ALL other committees which report into other committees are named 'Sub-Committees'	
2.5	Changed arrangements for Remuneration Committee, Board to receive updates of the decision s made at remuneration Committee	July 2013
2.6	Reinstate the Board's responsibility to approve Risk Management Policies	July 2013
2.7	Clarify where the Board has retained and delegated authority in relation to Policy Determination	July 2013
5.4	Updated to 'Annual Governance Statement'	July 2013
5.5	Included the requirement for 'Gifts' to be included in register of interests and hospitality received	July 2013
5.5	Removed responsibility for Communications and Engagement	July 2013
5.6	Added responsibility for Communications and Engagement	July 2013
6.0	Additional reference in Level 3 approvers to include 'Corporate Directors'	July 2013
	General – all alignments and pages numbers corrected in the detailed scheme of delegation	July 2013
1(b)	Additional requirement for virements between pay and non-pay to be authorised by DoF	July 2013
1(b)	Change to Lease agreements from Level 4 to DoF	July 2013
10	Amended to include 'Gifts'	July 2013
12 (d)	New line inserted for 'New post to be authorised by Vacancy Control Panel'	July 2013
12(i)	Clarify that Medical Study Leave outside the UK to be authorised by the Medical Director and Non-Medical Study Leave outside the UK to be authorised by the DoF	July 2013
12(j)	To reflect latest HR policies, included statement that Removal Expenses are only applicable to Junior Doctors as part of their contract, to be authorised by the Director of HR	July 2013
	General throughout – amendments to Director titles and roles, and committee structures as agreed by Board April 2014	May 2014
p12	changes to reflect the revised leadership management arrangements from 1 May	May 2014
	various changes throughout document to reflect changes to the level authorising – all changes highlighted in green	May 2014
4a	Add 'Goods and Supplies under £50,000', the Head of Supplies	May 2014
4c	Add 'paper based'	May 2014

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Reference	Reserved to:	Decision
	Add 'Officers authorised to open e-tenders – Managers authorised by the Head of Supplies and Director of Finance	
4e	Add 'Goods and Services £50,000 - £1,000,000 – Chief Executive and Director of Finance'	May 2014
4g	New section re contract signature and authorisation	May 2014
12r	redundancy – to confirm	May 2014
14e	change 'Booking' to 'Approval of use'	May 2014
15	Add 'and grants'	May 2014
42	Agreement of contracts and SLAs (income) amended to reflect updates to the SFIs at May 2014	May 2014
43	Changes to reflect the new arrangements for the WYAAT CIC, affecting sections: 1,2,3 and 7	December 2016
44	Document format changed to standard Scheme of Reservation and delegation format in compliance with best practice (all content has transferred from the 'old' version to new version 19.3) Cross references to Standing Orders and Standing Financial Instructions where applicable added Amendment of Executive Director portfolios and titles to reflect current leadership management arrangements Amendment of delegations to Committees to reflect current Tier 1 Committees and their Terms of Reference	June 2016
45	P16, 2.1.3 – change reference to Audit Committee being involved in recruitment of external auditors to the Director of Finance to arrange that the Audit Committee becomes the Appointment Panel for external audit, in line with the demise of the Audit Commission and changes to arrangements for the appointment of auditors	June 2016
46	Appendix 1, detailed scheme of delegation, 7 previous approval levels changed to 6 levels by consolidating the 'old' level 4 (Director of Staff Engagement and Directors of Operations) and 'old' level 5 (Executive Directors) to the new level 4 – Executive Directors and Directors of Operations, this then has an impact throughout the detailed scheme as all executive directors can now action the items that were limited to voting executive directors in previous versions	June 2016
47	App 1, p35, Receiving Gifts and Hospitality, added a further line to reflect that once declared by staff, managers need to approve the declarations	June 2016
48	App 1, Human resources and pay – removed the requirement for replacement posts on a like for like and funded establishment basis, to go to Vacancy control panel	June 2016
49	App 1. P35. New posts were previously approved at the Business Case Approvals Group which has been stood down. New posts are now approved at the Executive Director meetings	June 2016

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Reference	Reserved to:	Decision
50	App1, p35, the granting of terms and conditions outside those agreed nationally, previously this referred to the Director of Finance, The Remuneration Committee had also been added to reflect the situation where a VSM is being considered	June 2016
51	App1, p40, Compliance Code of Practice handling confidential information in the contracting environment and the compliance with safe haven per EL992)60, this was previously the Director of Finance, have now added Director of Finance (as SIRO) and the Caldicott Guardian	June 2016
52	App 1, p41, Compliance with retention of records schedule, was Director of Finance, have replaced this with 'the Director with responsibility for Information Governance'	June 2016
53	Added details of the WYAAT Committee in Common and the Mid Yorkshire (SYWTP) Committee in Common	September 2017
54	Amendment to level of approval required for regrading posts	September 2017
55	Page 10, matters reserved to Trust Board, added 'Policies for Treasury Management' to the full list of management policies to be reviewed by the Board	December 2018
56	Page 10 changed details for all other policy approvals from 'Clinical Executive Group' to 'Executive Directors will establish arrangements'	December 2018
57	Several references throughout document to 'Audit Committee' amended to 'Audit and Governance Committee'	December 2018
58	P12 IT risk responsibility changed from Director of Finance to Director of Estates, Facilities and IM&T	December 2018
59	P12 staff contracts responsibility changed from Director of Finance to Director of Workforce and OD	December 2018
60	P12 variations and termination of contracts of employment changed from Director of Finance to Director of Workforce and OD	December 2018
61	Several references to the Director of Planning and Partnerships amended to the Director of Finance and the Director of Finance to the Director of Estates, Facilities and IM&T	December 2018
62	References to the Director of Engagement amended to the Director of Workforce and OD	December 2018
62	Removal of two duplicated items (p13)	December 2018
43	Appendix 2 added – Chief Executive and Chair Statement of Responsibilities (in line with the revised UK Code of Corporate Governance	December 2018
44	17.1i Add overview of the Quality Strategy to the responsibilities for the Quality Committee	December 2018
45	17.1i Update R&P responsibilities as the progress reports are presented at intervals of no more than 6 months	December 2018
46	P39, ref 15, grants below £20,000 may be authorised by the Deputy Director of Finance	December 2018

Reference	Reserved to:	Decision
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1. DECISIONS RESERVED TO THE TRUST BOARD

Reference	Reserved to:	Decision
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General Enabling Provision		
	Trust Board	The Board, in full session, may determine any matter, and for which it has authority, it wishes within its statutory powers.

Regulations and Controls		
	Trust Board	Approval of standing orders (SOs), a Scheme of Reservation and Delegation, and Standing Financial Instructions (SFIs) for the regulation of its proceedings and business
SO 3.13	Trust Board	Suspend Standing Orders
SO 3.14	Trust Board	Vary or amend Standing Orders
SO 5.2	Trust Board	Ratify any urgent decisions taken by the Chairman and Chief Executive in public or private session in accordance with SO 5.2
SO 4.	Trust Board	Approve a scheme of delegation of powers from Board to committees and Joint Committees
SO 4.4,4.6	Trust Board	Approve terms of reference, membership and reporting arrangements of committees and joint committees
	Trust Board	Receive reports from committees and joint committees including those that the Trust is required by the Secretary of State or other regulation to establish and to take appropriate action on
	Trust Board	Confirm the recommendations of the Trust's committees where the committees do not have delegated authority
	Trust Board	Approve a list of employees authorised to approve borrowings on behalf of the Trust, must include Chief Executive and Director of Finance
SO 7	Trust Board	Require and receive the declaration of Board members' interests that may conflict with those of the Trust and determine the extent to which that member may remain involved with the matter under consideration
SO 7	Trust Board	Require and receive declaration of officers' interest that may conflict with those of the Trust
	Trust Board	Approve arrangements for dealing with complaints
	Trust Board	Adopt the organisation structures, processes and procedures to facilitate the discharge of business by the Trust and to agree modifications thereto
	Trust Board	Approve arrangements relating to the discharge of the Trust's responsibilities as corporate trustee for funds held on trust
	Trust Board	Approve arrangements relating to the discharge of the Trust's responsibilities as a bailer for patients' property
SO5.6	Trust Board	Ratify, or otherwise, instances of failure to comply with the Standing Orders brought to the Chief Executives attention
	Trust Board	Discipline members of the Board or employees who are in breach of the statutory requirements or SOs

Appointments/Dismissals		
SO 2.4	Trust Board	Appoint the vice chairman of the Board
SO 4.1	Trust Board	Appoint and dismiss committees (and individual members) that are directly accountable to the Board
SO 2.2	Trust Board	Appoint, discipline and dismiss Executive Directors

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Reference	Reserved to:	Decision
	Trust Board	Confirm the appointment of members of any committee of the Trust as representatives on outside bodies
	Trust Board	To receive updates from the Remuneration Committee on decisions made regarding directors and senior employees and those of the Chief Executive for staff not covered by the Remuneration Committee.

Strategy, Plans and Budget		
	Trust Board	Define the strategic aims and objectives of the Trust
	Trust Board	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
	Trust Board	Approve the Trust policies and procedures for the management of risk
	Trust Board	Approve outline and full business cases for capital investment above limits delegated to the Chief Executive (see Section 6)
	Trust Board	Approve budgets
	Trust Board	Approve the Trust's proposed organisational development strategy
	Trust Board	Approve the Trust's strategy and policies for Treasury Management
	Trust Board	Ratify proposals for acquisition, disposal or change of use of land and/or buildings
	Trust Board	Approve PFI proposals
	Trust Board	Approve the opening of bank accounts
	Trust Board	Approve proposals on individual contracts (other than NHS contracts) of a capital or revenue nature above the limits of delegation
	Trust Board	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
	Trust Board	Approve individual compensation payments above the limits of delegation
	Trust Board	Approve proposals for action on litigation against or on behalf of the Trust above the limits of delegation
	Trust Board	Review the use of NHSLA risk pooling schemes

Policy Determination		
	Trust Board	Agree arrangements for delegation of authority for approval of operational policies
	Trust Board	Approve the following management policies: <ul style="list-style-type: none"> • HR policies in relation to appointment, removal and remuneration of staff • policies for the management of risk • policies for the management of complaints • policies for Treasury Management
	Trust Board	The Executive Directors will establish arrangements to approve all policies where approval is not reserved to the Board

Audit

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Reference	Reserved to:	Decision
	Trust Board	Approval of external auditors' arrangement for the separate audit of funds held on trust, and the submission of reports to the Audit and Governance Committee meetings who will take appropriate action
	Trust Board	Receipt of the annual audit management letter from the external auditor and agreement of proposed action, taking account of the advice of the Audit and Governance Committee
	Trust Board	Receipt of an annual report from the internal auditor and agree action on recommendations of the Audit and Governance Committee
Annual Report and Accounts		
	Trust Board	Receipt and approval of the Trust's Annual Report and Annual Accounts (delegated on an annual basis to the Audit and Governance Committee)
	Trust Board	Receipt and approval of the Annual Report and Accounts for funds held on trust (delegated to the Charitable Funds Committee)
Monitoring		
	Trust Board	Receipt of such reports as the Board sees fit from committees in respect of their exercise of powers delegated
	Trust Board	The Chief Executive will make the Chairman aware of reports received and agree which are to be included on the Board agenda
	Trust Board	Receipt of such reports as the Board sees fit from executive directors
	Trust Board	Receive Trust wide annual reports on clinical governance and infection control

Reference	Reserved to:	Decision
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2 DECISIONS AND DUTIES DELEGATED BY THE TRUST BOARD TO INTERNAL COMMITTEES

Reference	Committee	Decision
SFI 2.1	Audit and Governance	<p>The Committee will:</p> <ul style="list-style-type: none"> review the establishment and maintenance of an effective system of integrated governance, risk management and internal control, across the whole of the organisation’s activities (both clinical and non-clinical), that supports the achievement of the organisation’s objectives <p>In particular, the Committee will review the adequacy and effectiveness of:</p> <ul style="list-style-type: none"> All risk and control related disclosure statements (in particular the Annual Governance Statement), together with any accompanying Head of Internal Audit statement, external audit opinion or other appropriate independent assurances, prior to endorsement by the Board The underlying assurance processes that indicate the degree of achievement of corporate objectives, the effectiveness of the management of principal risks and the appropriateness of the above disclosure statements The policies for ensuring compliance with relevant regulatory, legal and code of conduct requirements and related reporting and self-certification The policies and procedures for all work related to fraud and corruption as set out in Secretary of State Directions and as required by NHS Protect Under delegated authority from the Trust Board which is considered on an annual basis, approve the annual Audited Accounts, the Annual Governance Statement and the Annual Report
SFI 9.1.1	Remuneration and Terms of Service	<p>The Committee will:</p> <p>Determine, on behalf of the Trust Board, the remuneration and terms of service for the Chief Executive and other Executive Directors (voting and non-voting members of the Trust Board, including the Directors of Operations).</p> <p>Other roles and responsibilities:</p> <ul style="list-style-type: none"> determine pay and reward strategy for Chief Executive and other Executive Directors (voting and non-voting members of the Trust Board, including the Directors of Operations) including bonus payments and eligibility criteria determine the remuneration and terms/conditions of service for the Chief Executive and other Executive Directors (voting and non-voting members of the Trust Board, including the Directors of Operations) ensure fair reward for individual contribution to the organisation and having proper regard to the organisation’s circumstances and performance and to the provisions of any national arrangements for such staff where appropriate receive a report from the Trust Chair on the annual performance of the Chief Executive and to give comment before the Chief Executive’s annual appraisal is completed receive a report from the Chief Executive on the annual performance of the Executive Directors (voting and non-voting members of the Trust Board, including the Directors of Operations) and to give comment before their annual appraisals are completed consider any remuneration issues of significance to the trust that do not comply with Trust or national pay/terms and conditions

Reference	Reserved to:	Decision
		<ul style="list-style-type: none"> • take into account pension implications of decisions regarding salaries and other changes in pensionable remuneration and compensation commitments relating to decisions regarding early termination of employment • receive and consider any matters relating to the test of Fit and Proper Person (FPPT) for Trust Directors and employees within the scope of the test, where a decision of the Committee is required, for example, where it is proposed to make an offer of employment to an individual, and where that role falls within the scope of the FPPT for the Trust, but they do not have all of the essential requirements for the role and development is required.
SFI 17.1i	Quality	<p>The Committee will:</p> <ul style="list-style-type: none"> • provide assurance to the Trust Board that there are robust systems of governance across the organisation • Responsibility for the Quality Strategy • foster the development of a learning organisation ensuring we are listening to feedback from patients and carers, learning from concerns, complaints, compliments and incidents and acting to improve care • Provide assurance to the Trust Board on the clinical quality and safety of all services across the organisation. • Provide assurance to the Trust Board on the clinical quality and safety of all services across the organisation ensuring all required standards are achieved • Allow for planning and driving continuous improvement • identify and manage risks to quality of care • Identify, share and ensure delivery of best practice • Investigate and take action on substandard performance.
	Resources and Performance	<p>The Committee will:</p> <ul style="list-style-type: none"> • Consider and recommend to the Trust Board key strategies related to the use of resources – Workforce, Organisational Development, Finance and Estates, Equality and Diversity, and others as applicable • Receive assurance in meeting cost improvement programmes • Receive assurance on key resource performance targets, including those for HR and finance • Receive assurance that adverse performance as shown on the divisional performance dashboards is being addressed • Review the Trust’s Long Term Financial Model (twice per annum) • Review Service Line reports and their effectiveness (twice per annum) • Review and recommend to the Trust Board the annual financial plan taking into account contracted income levels, CIPs and expenditure • Receive progress reports at no more than 6 monthly intervals, on implementation of: <ul style="list-style-type: none"> ○ Workforce & OD Strategy ○ OD Strategy ○ Estates Strategy ○ Equality and Diversity Strategy • On behalf of the Board, approve the Trust’s capital programme and receive quarterly reports • Take responsibility for the relevant elements of the Trust Board Assurance Framework and Finance, HR, OD, Estates, and other relevant

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Reference	Reserved to:	Decision
		risk registers <ul style="list-style-type: none"> • Receive updates from sub-committees • Communicate any relevant matters to Trust Board and other Tier 1 Committees.
	Charitable Funds	The Committee will: <ul style="list-style-type: none"> • provide assurance that charitable funds are managed appropriately in line with regulatory requirements • Be authorised by the Corporate Trustee to investigate any activity within its terms of reference. It is authorised to request any information from any employee and all employees are directed to co-operate with any request made by the Committee • oversee the performance of all the ring fenced charitable funds under the umbrella registration with the Charities Commission • ensure that objectives and strategic aims are reviewed annually • ensure that there is an investment policy for surplus funds • agree a reserves policy • review and agree the Annual Trustee’s Report • <i>It is not the duty of the Committee</i> to carry out any functions that properly belong to the Corporate Trustee (Trust Board)

Reference	Reserved to:	Decision
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3 DECISIONS AND DUTIES DELEGATED BY THE TRUST BOARD TO EXTERNAL COMMITTEES

Reference	Committee	Decision
SO 4.6.8	West Yorkshire Association of Acute Trusts Committee in Common (WYAAT CIC)	<p>The WYAAT CIC will be responsible for leading the development of the WYAAT Collaborative Programme and the workstreams in accordance with the key principles, setting overall strategic direction in order to deliver the WYAAT Collaborative Programme.</p> <p>The Trust Chair and Chief Executive will be appointed as members of the WYAAT CIC</p> <p>Members shall only exercise functions and powers to the extent that they are actually permitted to ordinarily exercise such functions and powers under the Mid Yorkshire Hospitals NHS Trust internal governance arrangements and framework.</p>
SO 4.6.9	South Yorkshire Working Together Partnership – Mid Yorkshire Hospitals NHS Trust Committee in Common (MY (SYWTP) CIC)	<p>The MYHT CiC is a committee of Mid Yorkshire Hospitals NHS Trust’s board of directors and therefore can only make decisions binding Mid Yorkshire Hospitals NHS Trust. None of the Trusts other than Mid Yorkshire Hospitals NHS Trust can be bound by a decision taken by MYHT CiC.</p> <p>The Trust Chair and Chief Executive will be appointed as members of the WYAAT CIC</p> <p>Members shall only exercise functions and powers to the extent that they are actually permitted to ordinarily exercise such functions and powers under the Mid Yorkshire Hospitals NHS Trust internal governance arrangements and framework.</p>

Reference	Reserved to:	Decision
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4 SCHEME OF DELEGATION DERIVED FROM THE TRUST ACCOUNTABLE OFFICER MEMORANDUM

Reference:	Delegated to:	Delegation:
	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
		Ensure appropriate advice is given to the Board on all matters of probity, regularity, prudent and economical administration, efficiency and effectiveness
	Chief Executive	Sign a statement in the accounts outlining responsibilities as the Accountable Officer
	Chief Executive	Sign a statement in the accounts outlining responsibilities in respect of Internal Control, the Annual Governance Statement
	Chief Executive	Ensuring that the decisions of the Board are implemented, that the organisation works effectively, in accordance with Government policy and public service values and for the maintenance of proper financial stewardship
	Chief Executive	Ensuring that expenditure by the Trust complies with Parliamentary requirements
	Chief Executive	If s/he considers the Board, Chairman or one of its Committees is doing something that might infringe probity or regularity or affect value for money, they should set this out in writing to the Chairman and the Board. If the matter is unresolved, they should ask the Audit and Governance Committee to inquire, and if necessary, NHS Improvement
	Chief Executive	Delegate budgets to budget holders
	Chief Executive	Ensure that the Trust enters into suitable Contracts and Service Level Agreements with service commissioners for the provision of NHS services
	Chief Executive	Ensure that regular reports are provided to the Board detailing actual and forecast income from the Contracts and SLAs
	Chief Executive	Approval of variation to funded establishment of any department
	Chief Executive	Prepare a scheme of delegation identifying proposals for consideration and approval by the Board
	Chief Executive	Maintain an asset register
	Chief Executive	Overall responsibility for fixed assets
	Chief Executive	Ensure that Board members are notified of and developed in their understanding of the Trust's governance arrangements
	Chief Executive	Ensure that all Board members, officers and employees, present and future, are notified of and understand SFIs
	Chief Executive	Ensure compliance with the Freedom of Information Act
	Chief Executive	Ensure effective arrangements for Board governance and Board administration, including recording of meetings and attendance
	Chief Executive	Provide advice on the interpretation and implementation of standing orders, SFIs and , standing financial instructions and scheme of reservation and delegation
	Chief Executive	Maintain the declaration of interests for Board members
	Chief Executive	Prepare the Annual Governance Statement

Reference	Reserved to:	Decision
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5 DELEGATION OF POWERS BY THE CHIEF EXECUTIVE

Reference	Delegated to:	Delegation:
	Director of Finance	Operational responsibility for effective and sound financial management and information
	Director of Finance	Negotiation of contracts and SLAs
	Director of Finance	Approval of all financial procedures
	Director of Finance	Preparation of annual accounts
	Director of Finance	Management of banking arrangements, including provision of banking services, operation of accounts, preparation of instructions and list of cheque signatories
	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
	Director of Finance	Advice on interpretation and application of SFIs
	Director of Finance	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 are made aware of these instructions and their responsibility to comply
	Director of Finance	Ensure an adequate internal audit service, for which s/he is accountable is provided
	Director of Finance	Monitor and ensure compliance with Secretary of State Directions on fraud and corruption, including the appointment of a Local Counter Fraud Specialist
	Director of Finance	Submit budgets to the Board for approval
	Director of Finance	Monitor performance against budget; submit to the Board financial estimates and forecasts
	Director of Finance	Devise and maintain systems of budgetary control
	Director of Finance	Establish a tendering, quotation and contract procedure
	Director of Finance	Waive formal tendering procedures, within delegated limits
	Director of Finance	Report waivers of tendering procedures to the Audit and Governance Committee
	Director of Finance	Responsible for prompt payment of accounts and claims
	Director of Finance	Approve proposals for pre-payments
	Director of Finance	Certify professionally the costs and revenue consequences detailed in business cases
	Director of Finance	Issue procedures for management of contracts involving stage payments
	Director of Finance	Assess the requirement for the operation of the construction industry taxation deduction scheme
	Director of Finance	Approval of fixed asset control procedures
	Director of Finance	Responsible for system of control over stores and receipt of goods
	Director of Finance	Approval of system for review of slow moving and obsolete items and for condemnation, disposal and replacement of unserviceable items
	Director of Finance	Develop a procedure for disposal of assets and ensure compliance

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Reference	Reserved to:	Decision
	Director of Finance	Develop procedures for recording and accounting for losses, special payments and informing police in cases of suspected arson or theft
	Director of Finance	Informing Board and External Auditors of losses caused by theft, arson, neglect of duty or gross carelessness (unless trivial)
	Director of Finance	Maintain losses and special payments register
	Director of Finance	Report losses and special payments to the Audit and Governance Committee
	Director of Finance	Ensure that each trust fund is managed responsibly
	Director of Finance	Ensure that best value for money can be demonstrated for all services provided on an in-house basis
	Director of Estates, Facilities and IM&T	Ensure that risks to the Trust from use of IT are identified and considered and that disaster recovery plans are in place.
	Director of Finance	Compliance with information governance toolkit
	Director of Finance	Monitor and ensure compliance with Secretary of State Directions on security management, including the appointment of a Local Security Management Specialist
	Chief Executive	Keep seal in safe place and maintain a register of sealing
	Director of Finance	In respect of payroll: specify timetables for submission of properly authorised time records; make final determination of pay and allowances; making payments on agreed dates; agreeing method of payment; issuing instructions
	Director of Finance	Ensure that the chosen method for payroll processing is supported by appropriate (contracted) terms and conditions, adequate internal controls and audit review procedures and that suitable arrangements are made for the collection of payroll deductions and payment of these to appropriate bodies
	Director of Workforce and OD	Ensure that all employees are issued with a contract of employments in a form approved by the Board and which complies with legislation
	Chief Executive	Ensure Trust staff are aware of Standards of Business Conduct for NHS Employees and the Trust's anti-bribery policy and maintain a register of staff interests, Gifts and hospitality
	Director of Workforce and OD	Deal with variations to and termination of contracts of employment
	Medical Director	Responsible for clinical governance and patient safety
	Medical Director	Lead responsibility for clinical audit and research
	Medical Director	Prime route of clinical advice to the Board
	Director of Nursing and Quality Governance	Responsible for ensuring that patients and carers are informed about patients money and property procedures on admission
	Director of Nursing and Quality Governance	Responsible for property in the possession of unconscious or confused patients, or found in the possession of patients dying in hospital or dead on arrival
	Director of Finance	Develop strategic and annual business plans

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Reference	Reserved to:	Decision
	Director of Finance	Prime route on relationship management advice to the Board
	Director of Workforce and OD	Develop and deliver a strategic approach to internal and external communications and public engagement
	Director of Workforce and OD	Develop and produce Annual Report
	Director of Estates, Facilities and IM&T	Compliance with information governance toolkit
	Director of Estates, Facilities and IM&T	Monitor and ensure compliance with Secretary of State Directions on security management, including the appointment of a Local Security Management Specialist
	Co Secretary	Ensure Trust staff are aware of Standards of Business Conduct for NHS Employees and the Trust's anti-bribery policy and maintain a register of staff interests, Gifts and hospitality

Reference	Reserved to:	Decision
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6 SCHEME OF DELEGATION DERIVED FROM THE CODES OF CONDUCT AND ACCOUNTABILITY

Reference	Delegated to	Delegation
	Trust Board	Approve Policy for Standards of Business Conduct
	Trust Board	Ensure proper and widely publicised procedures for voicing complaints, concerns about misadministration, breaches of code of conduct and other ethical concerns
	All Trust Board Members	Subscribe to Code of Conduct
	Trust Board	Board members share corporate responsibility for decisions of the Board
	Chairman and Non-Executive Officers/Members	Chairman and non-officer members are responsible for monitoring the executive management of the organisation and are responsible to the Secretary of State for discharge of those responsibilities
	Trust 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> <ul style="list-style-type: none"> • To ensure effective financial stewardship through value for money, financial control and financial planning and strategy • To ensure that high standards of corporate governance and personal behaviours are maintained in the conduct of the business of the whole organisation • To appoint, appraise and remunerate senior executives • To ratify the strategic direction of the organisation within overall policies and priorities of the Government and the NHS, define its annual and longer term objectives and agree plans to achieve them • To oversee the delivery of planned results by monitoring performance against objectives and ensuring corrective action is taken when necessary • 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
	Trust Board	<p>It is the Board's duty to:</p> <ul style="list-style-type: none"> • Act within statutory financial and other constraints • 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 • 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 • Establish performance and quality measures that maintain the effective use of resources and provide value for money • Specify its requirements in organising and presenting financial and other information succinctly and efficiently to ensure the Board can fully undertake its responsibilities • Establish Audit and Remuneration Committees and any other Committees necessary to discharge its functions on the basis of formally agreed terms of reference that set out the membership of the Committee, the limit to their powers, and the arrangements for reporting back to the Trust Board

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Reference	Reserved to:	Decision
	Chairman	<p>It is the Chairman's role to:</p> <ul style="list-style-type: none"> • Provide leadership to the Board • Enable all Board members to make a full contribution to the Board's affairs and ensure that the Board acts as a team • Ensure that key and appropriate issues are discussed by the Board in a timely manner • Ensure that the Board has adequate support and is provided efficiently with all the necessary data on which to base informed decisions • Lead Non Executive Board members through a formally appointed Remuneration Committee of the Trust Board on the appointment, appraisal and remuneration of the Chief executive and (with the latter) other Executive Board members • Appoint Non Executive Board members to an Audit and Governance Committee of the Trust Board • Advise the Secretary of State on the performance of Non-Executive Directors
	Chief Executive	<ul style="list-style-type: none"> • 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 • The Chief Executive should be allowed full scope, within clearly defined delegated powers, for action in fulfilling the decisions of the Board. • The other duties of the Chief Executive as Accountable Officer are laid out in the Accountable Officer Memorandum.
	All Trust Board members	Declaration of conflicts of interest.

Reference	Reserved to:	Decision
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7 SCHEME OF DELEGATION DERIVED FROM STANDING ORDERS

SO Reference	Delegated to	Delegation
3.10.1	Chairman	Final authority in interpretation of Standing Orders
3.1.2	Chairman	Call meetings
3.9.1	Chairman	Chair all Board meetings and associated responsibilities
3.10.1	Chairman	Give final ruling in questions of order, relevancy and regularity of meetings
3.12.1	Chairman	Having a second or casting vote
	Audit Committee	Audit and Governance Committee to review every decision to suspend Standing Orders
3.13.4	Chairman and Chief Executive	The powers which the Board has retained to itself within the Standing Orders may in emergency be exercised by the Chair and Chief Executive after having consulted with at least two Non Executive members
4.6.8	Chairman and Chief Executive	Represent the Trust on the WYAAT CIC and the SYWTP CIC as members and act on accordance with the Terms of Reference of the Committee and under the delegated authority from the Trust Board
2.6.1	Chief Executive	The Chief Executive shall prepare a Scheme of Delegation identifying his/her proposals that shall be considered and approved by the Board, subject to any amendment agreed during this discussion
	All	Disclosure of non-compliance with Standing Orders to the Chief Executive as soon as possible
7.1.1	Trust Board	Declare relevant and material interests
7.2.1	Chief Executive	Maintain Register(s) of interest
	All Staff	Comply with national guidance contained in HSG 1993/5 Standards of Business Conduct for NHS Staff
	All	Disclose relationship between self and candidate for staff appointment (Chief Executive to report the disclosure to the Board)
8.1	Chief Executive	Keep seal in safe place
8.4.1	Chief Executive and Director of Finance	Approve and sign all documents which will be necessary in legal proceedings
8.4.2	Chief Executive or nominated officer	Sign when authorised by resolution of the Board on behalf of the Trust any agreement not requested to be executed as a deed

Reference	Reserved to:	Decision
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8 SCHEME OF DELEGATION DERIVED FROM STANDING FINANCIAL INSTRUCTIONS

Reference	Delegated to	Delegation
1.1.3	Director of Finance	Approval of financial procedures
1.1.4	Director of Finance	Advice on the interpretation of SFIs
1.1.6	All members of the Board and Staff	Have a duty to disclose any non-compliance with the SFIs to the Director of Finance as soon as possible
1.2.2	Chief Executive and Director of Finance	Accountable for financial control, but will, as far as possible, delegate their detailed responsibilities
1.2.2	Chief Executive	Responsible as Accountable Officer, to ensure that financial targets and obligations are met and have overall responsibility for the system of internal control
1.2.2	Chief Executive	To ensure all Board members, officers, and employees, present and future, are notified of and understand SFIs
1.2.3	Director of Finance	Responsible for: <ul style="list-style-type: none"> • Implementing the Trust's financial policies and co-ordinating corrective action • Maintaining an effective system of financial control including ensuring detailed financial procedures and systems are prepared and documented • Ensuring that sufficient records are maintained to explain the Trust's transactions and financial position • Providing financial advice to members of the Board and staff • Maintaining such accounts, certificates etc as are required for the Trust to carry out its statutory duties
1.2.4	All Board members and employees	Responsible for the security of Trust's property, avoiding loss, exercising economy and efficiency in using resources and conforming to SOs, SFIs and financial procedures and the SoRD
1.2.5	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 are made aware of the SFIs and their requirement to comply
2.1.1	Audit Committee	Provide independent and objective view on internal control and probity
2.1.2	Audit Committee Chair	Raise the matter at Board meeting where the Audit and Governance 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
2.1.3	Director of Finance	Arrange for the Audit and Governance Committee to carry out the role of the external audit appointment panel
2.2.1c	Director of Finance	Decide at which stage to involve the Police in cases of misappropriation and other irregularities not involving fraud or corruption
2.3	Head of Internal Audit	Review, appraise and report in accordance with NHS Internal Audit Manual best practice
2.4.1	Audit Committee acting as the External Audit	Ensure cost-effective External Audit

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Reference	Reserved to:	Decision
	Appointment Panel	
2.5.1	Chief Executive and Director of Finance	Monitor and ensure compliance with applicable guidance and directions on fraud and corruption including the appointment of the Local Counter Fraud Specialist
2.6.1	Chief Executive	Monitor and ensure compliance with applicable guidance and directions on NHS Security Management including the appointment of the Local Security Management Specialist
3.1.1	Chief Executive	Compile and submit to the Board a business plan which takes into account financial targets and forecast limits of available resources. The business plan will contain: <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	Director of Finance	Submit budgets to the Board for approval
3.1.3	Director of Finance	Monitor performance against budget
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 budget to budget holders
3.2.2	Chief Executive and 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
3.3.2	Budget holders	Must: <ul style="list-style-type: none"> • Not exceed the budgetary total or virement limits set by the Board • Ensure that no overspend or reduction of income that cannot be met by virement is incurred without prior consent of the Board • Ensure that approved budget is not used for any other than specified purpose subject to rules of virement • Ensure that no permanent employees are appointed without the approval of the Chief Executive other than those provided for within available resources and manpower establishment • Ensure that all items due under a pre-payments contract are received, informing the Director of Finance of any problems encountered
3.3.3	Chief Executive	Identify and implement cost improvements and income generation activities
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
5.1.2	Trust Board	Approve the banking arrangements for where bank accounts are held
6.1	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 Staff	Duty to inform Director of Finance of money due from transactions which they initiate/deal with
7	Chief Executive	Tendering and contract procedure
7.5.3d - m	Chief Executive	Waive formal tendering procedures

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Reference	Reserved to:	Decision
7.5.3	Chief Executive	Report waivers of tendering procedures to the Audit and Governance Committee
7.6.2	Chief Executive	Responsible for the receipt, endorsement and safe custody of tenders received
7.6.3 vii	Chief Executive	Shall maintain a register to show each set of competitive tender invitations despatched
7.6.4ii	Chief Executive & Director of Finance	Assess value for money and fair price where one tender is received
7.6.6iii	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 Standing Financial Instructions except with the authorisation of the Chief Executive
7.6.8iii	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
7.7.2iv	Chief Executive	Evaluate the quotation and select the quote which gives the best value for money
7.7.4	Chief Executive or 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 Standing Financial Instructions except with the authorisation of the Chief Executive
7.10a	Chief Executive	Demonstrate that the use of private finance represents value for money and genuinely transfers risk to the private sector
7.11g	Chief Executive	Nominate an officer who shall oversee and manage each contract on behalf of the Trust
7.12	Chief Executive	Nominate officers with delegated authority to enter into contracts of employment, regarding staff, agency staff or temporary staff service contracts
7.15	Chief Executive	Responsible for ensuring that best value for money can be demonstrated for all services provided on an in-house basis
7.15.5	Chief Executive	Nominate an officer to oversee and manage the contract on behalf of the Trust
8.1.1	Chief Executive	The Chief Executive, as the Accountable Officer, is responsible for ensuring the Trust enters into suitable contracts and service level agreements with service commissioners for the provision of NHS services
8.3	Chief Executive	As the Accountable Officer, will need to ensure that regular reports are provided to the Board detailing actual and forecast income from the contract
9.1.1	Trust Board	Establish a Remuneration and Terms of Service Committee
9.2.2	Chief Executive	Approval of variation of funded establishment of any department
9.3.1	Chief Executive	Authorise engagement, re-engagement, regrade, hire agency staff, changes in remuneration
9.3.2	Trust Board	Approve procedures presented by the Chief Executive for the determination of commencing pay rates, condition of service, etc, for employees
9.4.1 & 9.4.2 & 9.4.3	Director of Workforce and OD	<ul style="list-style-type: none"> • specify timetables for submission of properly authorised time records and other notifications • make the final determination of pay and allowances • make payment on agreed dates • agree method of payment • issue instructions
9.4.4	Nominated Managers	<ul style="list-style-type: none"> • submit time records, and other notifications in accordance with agreed timetables • complete time records and other notifications in accordance with the Director of Finance's instructions and in the form

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Reference	Reserved to:	Decision
		<p>prescribed by the Director of Finance</p> <ul style="list-style-type: none"> submit termination forms in the prescribed form
9.4.4	Director of Workforce and OD	Ensure that the chosen method for payroll is supported by appropriate (contracted) terms and conditions, adequate internal controls and audit review procedures and that suitable arrangements are made for the collection of payroll deductions and payment of these to appropriate bodies
9.5.5	Trust Board	<p>Delegate responsibility to an officer for:</p> <ul style="list-style-type: none"> ensuring that all employees are issued with a Contract of Employment in a form approved by the Board and which complies with employment legislation dealing with variations to, or termination of, contracts of employment
10.1.2	Chief Executive	<p>Set out</p> <ul style="list-style-type: none"> the list of managers who are authorised to place requisitions for the supply of goods and services the maximum level of each requisition and the system for authorisation above that level
10.1.3	Chief Executive	Set out procedures on the seeking of professional advice regarding the supply of goods and services
10.2.1	Requisitioner	In choosing the item to be supplied (or the service to be performed) shall always obtain the best value for money for the Trust. In so doing, the advice of the Trust's adviser (Head of Supplies/Estates/Pharmacy) on supply shall be sought.
10.2.2	Director of Finance	Responsible for the prompt payment of accounts and claims
10.2.3	Director of Finance	<ul style="list-style-type: none"> 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 the Scheme of reservation and delegation and regularly reviewed prepare procedural instructions or guidance within the Scheme of Reservation and Delegation on the obtaining of goods, works and services incorporating the thresholds be responsible for the prompt payment of all properly authorised accounts and claims be responsible for designing and maintaining a system of verification, recording and payment of all amounts payable A timetable and system for submission to the Director of Finance of accounts for payment; Instructions to employees regarding the handling and payment of accounts within the Finance Department ???? be responsible for ensuring that payment for goods and services is only made once the goods and services are received
10.2.4b	Appropriate Officer	Provide, in the form of a written report, a case setting out all relevant circumstances supporting the need for a pre-payment
10.2.4c	Director of Finance	Will need to be satisfied with the proposed arrangements before contractual arrangements proceed (
10.2.4d	Budget holder	Responsible for ensuring that all items due under a prepayment contract are received
10.2.5d	Chief Executive	Authorised 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 WHAT IS THIS REFERRING TO?
10.2.7	Chief Executive and Director of Finance	Ensure that the arrangements for financial control and financial audit of building and engineering contracts and property transactions comply with the guidance contained within CONCODE and ESTATECODE. The technical audit of these contracts shall be the

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Reference	Reserved to:	Decision
		responsibility of the relevant Director.
10.3.1	Director of Finance	Lay down procedures for payments to Local Authorities and Voluntary Organisations made under the powers of the NHS Act.
11.1	Director of Finance	Advise the Board concerning the Trust's ability to pay dividend on, and repay Public Dividend Capital and any proposed new borrowing, within the limits set by the Department of Health
11.1.2	Trust Board	Agree the list of employees (including specimens of their signatures) who are authorised to make borrowings on behalf of the Trust. This must contain the Chief Executive and the Director of Finance
11.1.3	Director of Finance	Prepare detailed procedural instructions concerning applications for loans and overdrafts
11.2.2	Director of Finance	Responsible for advising the Board on investments and shall report periodically to the Board concerning the performance of investments held.
11.2.3	Director of Finance	Prepare detailed procedural instructions on the operation of investment accounts and on the records to be maintained.
12.1.1 & 12.1.2	Chief Executive	Capital Investment: <ul style="list-style-type: none"> • shall ensure that there is an adequate appraisal and approval process in place for determining capital expenditure priorities and the effect of each proposal upon business plans • is responsible for the management of all stages of capital schemes and for ensuring that schemes are delivered on time and to cost • shall ensure that the capital investment is not undertaken without confirmation of purchaser(s) support and the availability of resources to finance all revenue consequences, including capital charges • a business case (in line with the guidance contained within the Capital Investment Manual) is produced for each proposal
12.1.2b	Director of Finance	Certify professionally to the costs and revenue consequences detailed in the business case
12.1.3	Director of Finance	Prepare a detailed procedural document on the operation of investment accounts and on the records to be maintained
12.1.4	Director of Finance	Assess on an annual basis the requirement for the operation of the construction industry tax deduction scheme in accordance with Inland Revenue guidance
12.1.5	Director of Finance	Shall issue procedures for the regular reporting of expenditure and commitment against authorised expenditure.
12.1.6	Chief Executive	Issue to the manager responsible for any scheme: <ul style="list-style-type: none"> • specific authority to commit expenditure • authority to proceed to tender • approval to accept a successful tender
12.1.6	Chief Executive	Issue a scheme of delegation for capital investment management in accordance with "Estatecode" guidance and the Trust's Standing Orders.
12.1.7	Director of Finance	Issue procedures governing the financial management, including variations to contract, of capital investment projects and valuation for accounting purposes.
12.2.1a	Director of Finance	Demonstrate that the use of private finance represents value for money and genuinely transfers significant risk to the private sector.
12.2.1c	Trust Board	All PFI proposals must be specifically agreed by the Trust Board
12.3.1	Director of Finance	Maintenance of asset registers

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Reference	Reserved to:	Decision
12.3.5	Director of Finance	Shall approve procedures for reconciling balances on fixed assets accounts in ledgers against balances on fixed asset registers.
12.3.8	Director of Finance	Calculate and pay capital charges
12.4.1	Chief Executive	Overall responsibility for fixed assets
12.4.2	Director of Finance	Approval of fixed asset control procedures
12.4.4	Board, executive members, and all senior employees	Responsibility for the security of trust assets, including notifying the Director of Finance and reporting losses in accordance with Trust procedures
13.2.1	Director of Finance	Delegate day-to-day responsibility to departmental employees and stores managers/keepers, subject to such delegation being entered in a record available to the Director of Finance
13.2.1	Pharmacy Director	Responsible for control of pharmaceutical stocks
13.2.1	Director of Estates, Facilities and IM&T	Responsible for stocks of coal and oil
13.2.2	Nominated officers	Security arrangements and custody of keys
13.2.3	Director of Finance	Set out procedures to regulate stores including records for the receipt of good, issues, returns to stores and losses
13.2.4	Director of finance	Agree stocktaking arrangements
13.2.5	Director of Finance	Approve alternative arrangements where a complete system of stores control is not justified
13.2.6	Nominated officers	Operate a system for slow moving and obsolete items and for condemnations and ensure that these are notified to managers
14.1.1	Director of Finance	Prepare detailed procedures for the disposal of assets
14.2.1	Director of Finance	Prepare detailed procedures for the accounting and recording of disposals, condemnations, losses and special payments, and informing the Police in case of suspicion of arson or theft
14.2.2	All employees	On discovering or suspecting a loss of any kind (other than fraud or corruption) must either immediately inform their head of department, who must immediately inform the Chief Executive and the Director of Finance or inform an officer charged with responsibility for responding to concerns involving loss
14.2.3	Director of Finance	For losses apparently caused by theft, arson, neglect of duty or gross carelessness, except if trivial, the Director of Finance must immediately notify: <ul style="list-style-type: none"> • the Board • The External Auditor.
14.2.4	Trust Board	Within limits set by the Department of Health, the Board should approve the writing off of losses
14.2.6	Director of Finance	Should consider whether an insurance claim can be made
14.2.7	Director of Finance	Maintain a register of losses and special payments
16.1.1	Director of Finance	Responsible for the accuracy and security of computerised financial data
15.1.2	Director of Finance	Ensure that new financial systems and amendments to current financial systems are developed in a controlled manner and thoroughly tested prior to implementation
15.1.3	Company Secretary	Shall publish and maintain a Freedom of Information Scheme

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Reference	Reserved to:	Decision
15.2	Other Directors and officers	In the case of computer systems which are proposed General Applications all responsible directors and employees will send to the Director of Finance: <ul style="list-style-type: none"> • details of the outline design of the system • In the case of packages acquired either from a commercial organisation, from the NHS, or from another public sector organisation, the operational requirement.
15.3	Director of Estates, Facilities and IM&T	Ensure that contracts for computer services for financial applications with another health organisation or any other agency shall clearly define the responsibility of all parties for the security, privacy, accuracy, completeness, and timeliness of data during processing, transmission and storage. The contract should also ensure rights of access for audit purposes. Where another health organisation or any other agency provides a computer service for financial applications, the Director of Finance shall periodically seek assurances that adequate controls are in operation
15.4	Director of Estates, Facilities and IM&T	Ensure that risks to the Trust arising from the use of IT are effectively identified and considered and appropriate action taken to mitigate or control risk. This shall include the preparation and testing of appropriate disaster recovery plans.
15.5	Director of finance	Where computer systems have an impact on corporate financial systems the Director of Finance shall need to be satisfied that: <ul style="list-style-type: none"> • systems acquisition, development and maintenance are in line with corporate policies such as an Information Technology Strategy • data produced for use with financial systems is adequate, accurate, complete and timely, and that a management (audit) trail exists • Director of Finance staff have access to such data • Such computer audit reviews as are considered necessary are being carried out.
16.2	Chief Executive	Ensure that patients or their guardians, as appropriate are informed about patient's property procedures, on admission
16.3	Director of Nursing and Quality	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.
16.6	Appropriate department or senior managers	Inform members of staff about their responsibilities and duties for the administration of the property of patients
17.1.2	Director of Finance	Ensure that each trust fund which the Trust is responsible for managing is managed appropriately with regard to its purpose and to its requirements.
18	Chief Executive	Ensure that all staff are made aware of the Trust policy on the acceptance of gifts and other benefits in kind by staff
19	Chief Executive	Responsible for maintaining archives for all records required to be retained in accordance with Department of Health guidelines.
20.1	Chief Executive	Ensure that the Trust has a programme of risk management, in accordance with current Department of Health assurance framework requirements, which must be approved and monitored by the Board
20.2	Trust Board	Decide if the Trust will insure through the risk pooling schemes administered by the NHS Litigation Authority or self-insure for some or all of the risks covered by the risk pooling schemes

Reference	Reserved to:	Decision
20.1	Director of Finance	<ul style="list-style-type: none"> • Where the Board decides to use the risk pooling schemes administered by the NHS Litigation Authority 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 • Where the Board decides not to use the risk pooling schemes administered by the NHS Litigation Authority for 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 for the management of any claims arising from third parties and payments in respect of losses which will not be reimbursed • All the risk pooling schemes require Scheme members to make some contribution to the settlement of claims (the 'deductible'). The Director of Finance should ensure documented procedures also cover the management of claims and payments below the deductible in each case.

APPENDIX 1 DETAILED SCHEME OF DELEGATION

This detailed Scheme of Delegation defines, for key areas, how authority and responsibility is delegated by the Chief Executive to individual officers, and in financial terms the extent of that delegation. Authority to approve items beyond the financial limits is reserved to the Board. Consideration of issues by officers of the Trust Board should always take into account relevant Department of Health guidance and requirements for the subject concerned, including the level of authority delegated to the Trust, for example in relation to capital expenditure and losses and special payments. The delegation shown is the lowest level to which authority is delegated. Where subordinate staff assist in dealing with an issue, appropriate policies and procedures must be maintained to provide appropriate control. This Scheme of Delegation must always be interpreted in accordance with Standing Financial Instructions and Standing Orders.

Levels of authority to carry out delegated powers are detailed below:

Level 1 approvers	Team leaders Ward sisters Department heads Assistant patient service managers Clinical managers
Level 2 approvers	Corporate directorate managers Patient service managers Heads of clinical service Group manager Matrons
Level 3 approvers	Level below director Clinical directors, Deputy Directors of Operations and Associate Directors and Heads of Nursing
Level 4 approvers	Executive Directors and Directors of Operations
Level 5 approvers	Chief Executive and Director of Finance
Level 6 approvers	Trust Board

Reference	Delegated matter	Delegated to:
1	Management of Budgets	
1a	<u>Responsibility for keeping expenditure within budget</u>	
	i) <u>Revenue budgets</u> <ul style="list-style-type: none"> • At ward/department level • At individual specialty level for the totality of wards/departments within the specialty • At service/directorate level for the totality of services covered by specialties and/or departments within the clinical or corporate directorate • At director level for services in their clinical or corporate directorate 	Level 1 Level 2 Level 3 Level 4
	ii) <u>Capital Budgets</u> <ul style="list-style-type: none"> • IM&T/Estates/Medical Equipment • Total Programme 	Level 3 Director of Finance
1b	<u>Virement in year</u> <ul style="list-style-type: none"> • Within a budget report • Within directorate • Between directorates • Between Pay and Non Pay 	Level 1 or 2 Level 3 Levels 3 and 4 Director of Finance
2	Non pay expenditure/requisitioning/ordering	
2a	<u>Requisitions</u> <ul style="list-style-type: none"> • Requisitions up to £5,000 • Requisitions up to £10,000 • Requisitions up to £50,000 • Requisitions up to £250,000 • Requisitions up to £1,000,000 • Requisitions over £1,000,000 	Level 1 Level 2 Level 3 Level 4 Level 5 Level 6

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	Requisitions over £1m where a business case/the expenditure has previously been approved by the Board	Level 4
2b	<u>Lease agreements (excluding Lease Cars)</u> The above values apply to the aggregate expenditure during the length of a contract when the contract covers more than 12 months and is inclusive of VAT irrespective of whether it is recoverable	Director of Finance
2c	<u>Small works variations</u> Up to the level specified in the Project Agreement as £5,000 index linked where the requesting budget holder has authorised the variation for the purposes of concluding the Small Works process	Trust representative as defined in the project agreement
2d	<u>PFI variations</u> <ul style="list-style-type: none"> • Less than £50,000 • Between £50,000 and £1,000,000 • Above £1,000,000 	<p>Level 4 with approval of lower levels (providing that the level 4 is a Trust representative for the purpose of the PFI project agreement) where a funding source has been agreed</p> <p>Level 5 with approval of lower levels providing that the level 5 is a Trust representative under the PFI agreement</p> <p>Level 6, Trust Board unless the expenditure/Business case has previously been approved by the Board, the it can be Level 5, providing that the level 5 is a Trust representative under the PFI agreement</p>
2e	<u>Management Consultancy Fees</u> <ul style="list-style-type: none"> • Requisitions up to £25,000 • Requisitions up to £250,000 • Requisitions over £250,000 	<p>Level 4</p> <p>Level 5</p> <p>Level 6, Trust Board</p>
3	Charitable Trust Expenditure <ul style="list-style-type: none"> • Requests up to £2,000 	Level 3 and Senior Finance Manager

	<ul style="list-style-type: none"> Request from £2,001 - £5,000 Request from £5,001 - £10,000 Requests from £10,001 to £25,000 Requests over £25,000 	<p>Level 3 + Financial Controller Level 3 + Financial Controller + DoF Level 3 + Financial Controller + DoF + 1 other trustee Trustees/Charitable Funds Committee</p>
4	<p>Quotation, Tendering and Contract procedures</p> <p>Contracts with a value of £25k or less may be awarded without obtaining competitive quotations Contracts above £25k and below £50k require 3 competitive quotations to be obtained Contracts over £50k require a competitive tender.</p> <p>Note: All contracts with an aggregate value over the official OJEU threshold must be tendered under the public contracts regulations.</p> <p>This table distinguishes between quotes and tenders by value and between acceptance of tenders and authorisation of the contract broken down into three stages:</p> <ul style="list-style-type: none"> Competition/dispensing/waiver Acceptance of tender into the organisation and evaluation <p>Authorisation (signing or awarding the tender to a supplier)</p>	
4a	<p><u>Dispensing with formal competitive tendering for goods and services (SFI 7.5.3, a,b)</u></p> <ul style="list-style-type: none"> Under £50,000 £50,000 to £1,000,000 Over £1,000,000 	<p>Head of Supplies Level 5 Level 6</p>
4b	<p><u>Disposals (SFI 7.5.3, c)</u></p> <ul style="list-style-type: none"> Under £2,000 Above £2,000 	<p>Head of Supplies Level 5</p>
4c	<p><u>Waiver of competitive tendering (SFI 7.5.3 d – m)</u></p> <ul style="list-style-type: none"> Goods and services under £50,000 Goods and services £50,000 to £1,000,000 Over £1,000,000 	<p>Head of Estates, Head of Supplies, Pharmacy Managers Level 5 Level 6</p>
4d	<u>Officers authorised to open paper based tenders</u>	Managers authorised by the Chief Executive
4e	<u>Officers authorised to open e-tenders</u>	Managers authorised by the Head of Supplies and Director of Finance

4f	<u>Acceptance of the lowest quote/tender</u>	Head of Estates, Head of Supplies, Pharmacy Managers
4g	<u>Acceptance of tender where the additional cost of the preferred solution exceeds the cost of the lowest acceptable tender</u> <ul style="list-style-type: none"> • Goods and services £50,000 - £1,000,000 • Above £1,000,000 	Level 5 Level 6
4h	<u>Acceptance of a single source tender where competitive tenders have been subject to authorisation of a waiver as in section 4a</u> <ul style="list-style-type: none"> • Goods and services £50,000 - £1,000,000 • Above £1,000,000 	Level 5 Level 6
4i	<u>Contract signature and authorisation</u> <ul style="list-style-type: none"> • Goods and services £50,000 to £250,000 • Over £250,000 	Level 4 and 5 Level 5
4j	<u>Authorisation of Trust Capital Expenditure Tender Documentation</u> <ul style="list-style-type: none"> • Authorisation of JCT Forms of contract • Authorisation of tender design drawing that form part of the contract documentation • Authorisation of tender bill of quantities/specification documentation that forms part of the contract documentation 	Level 5 Head of Estates Head of Estates
5	Agreements/Licences and Transactions and Staff Accommodation	
5a	<u>Staff accommodation</u> Preparation and signature of all tenancy agreements/licences for all staff subject to Trust Policy on accommodation	Accommodation officers

5b	<u>Other accommodation/estate</u> <ul style="list-style-type: none"> • Extensions to existing leases • Letting of premises • Preparation of documents • Signature • Approval of rent based on professional assessment • Land transactions 	Director of Finance Chief Executive Head of Estates Chief Executive Head of Estates and Director of Finance Trust Board
6	Condemning <u>Items obsolete, redundant, irreparable, surplus or scrap should be condemned and then sent to the supplies department for disposal</u>	
6a	X Ray films	Radiology manager
6b	Plant and electrical equipment	Head of Estates
6c	Furniture and fittings	General Manager, Facilities
6d	Medical and surgical equipment	Principal Medical Physicist
6e	Other equipment, consumables and ad hoc items	Head of Supplies
6f	Information technology	Associate Director of IM&T
7	Losses and Special Payments	
7a	<ul style="list-style-type: none"> • <u>Losses and cash due to theft, fraud, overpayment</u> and others up to £50,000 • Losses and cash due to theft, fraud, overpayment and others over £50,00 	Level 5 Level 6
7b	<ul style="list-style-type: none"> • <u>Fruitless payments</u> (including abandoned capital schemes) up to £50,000 • Fruitless payments (including abandoned capital schemes) over £50,000 	Level 5 Level 6

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7c	<ul style="list-style-type: none"> • <u>Bad debts and claims abandoned.</u> Private patients, overseas visitors and other up to £50,000 • Bad debts and claims abandoned. Private patients, overseas visitors and other over £50,000 	<p>Level 5</p> <p>Level 6</p>
7d	<ul style="list-style-type: none"> • <u>Damage to buildings, fittings, furniture and equipment</u> and loss of equipment and property in stores and in use due to culpable causes (eg fraud, theft, arson or other up to £50,000) • Damage to buildings, fittings, furniture and equipment and loss of equipment and property in stores and in use due to culpable causes (eg fraud, theft, arson or other over £50,000) 	<p>Level 5</p> <p>Level 6</p>
7e	<p><u>Claims for compensation</u> arising out of litigation</p> <ul style="list-style-type: none"> • Up to £10,000 • £10,000 - £50,000 • Over £50,000 	<p>Level 3</p> <p>Chief Executive with approval of Claims Manager</p> <p>Level 6 with the approval of Level 5</p>
7f	<p><u>Extra contractual payments to contractors</u></p> <ul style="list-style-type: none"> • Up to £50,000 • over £50,000 	<p>Level 5</p> <p>Level 6 with the approval of Level 5</p>
7g	<p><u>Ex-gratia payments</u></p> <ul style="list-style-type: none"> • Up to £1,000 • £1,000 - £50,000 • Over £50,000 	<p>Directorate Level 3 and Director of Finance</p> <p>Chief Executive with approval of Level 3 and DoF</p> <p>Trust Board with approval of Level 5 and Directorate Level 3</p>
7h	<p><u>Write off non NHS debtors (not private patient or overseas visitors)</u></p> <ul style="list-style-type: none"> • Up to £1,000 • £1,000 - £5,000 • £5,000 - £10,000 • £10,000 - £50,000 • Over £50,000 	<p>Senior Finance Manager</p> <p>Financial Controller</p> <p>Director of Finance with the approval of the FC</p> <p>Chief Executive with the approval of the DoF</p> <p>Level 6 with the approval of Level 5</p>

7i	<u>Non-enforcement of NHS debtors</u> <ul style="list-style-type: none"> • Up to £10,000 • Between £10,000 to £50,000 • over £50,000 	Director of Finance Chief Executive with the approval of the DoF Level 6 with the approval of Level 5
7j	<u>Any novel or contentious issues</u>	Level 6 with the approval of Level 5, refer to DoH
8	Reporting of Incidents to the Police <ul style="list-style-type: none"> • where a criminal offence of a violent nature is suspected • where a fraud or theft is involved 	All employees Director of Finance and/or the LCFS
9	Petty Cash Disbursements <ul style="list-style-type: none"> • Expenditure up to £50 per item • Expenditure over £50 per item 	Level 2 and 3 Level 4
10	Receiving Gifts and Hospitality <ul style="list-style-type: none"> • Declaring gifts and items of hospitality • Approving acceptance of gifts/hospitality • Maintaining register of declarations of gifts hospitality received 	All employees Managers Company Secretary
11	Investment of Funds (including charitable and endowment)	Director of Finance
12	Human Resources and Pay	
12a	<u>Authority to appoint staff to post not on the formal establishment</u>	Vacancy Control Panel (VCP)
12b	<u>Replacement consultant</u>	Clinical Executive Group then VCP
12c	<u>New Post</u>	Business Case to Executive Directors Meeting
12d	<u>The granting of terms and conditions outside those agreed nationally</u>	Director of Finance, or Remuneration Committee for Directors and Chief Executive arrangements
12e	<u>Upgrading and Regrading</u>	

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	All requests for upgrading/regrading (dealt with in accordance with Trust Procedures)	Level 4 approvers
12f	<u>Establishments</u> <ul style="list-style-type: none"> • Changes to the agreed establishment with specifically allocated finance • Changes to the agreed establishment without specifically allocated finance • Establishment virement within overall allocated finance <ul style="list-style-type: none"> • Within Budget • Within Directorate • Between Directorate 	Level 4 Level 5 Level 1 and 2 Level 3 Level 4
12g	<u>Pay</u> <ul style="list-style-type: none"> • Authority to complete forms affecting pay, new starters, variations and leavers etc • Authority to complete and authorise positive reporting for absences • Authority to authorise overtime • Authority to authorise travel and subsistence expenses 	Level 1/HoCs for Consultants Level 1 Level 1 Level 1
12h	<u>Leave</u> <ul style="list-style-type: none"> • Approval of annual leave • Annual leave - approval of carry forward (up to one working week) • Annual leave - approval of carry forward (over one working week) • Special leave arrangements <ul style="list-style-type: none"> • Compassionate leave up to 6 days • Paternity leave • Carers leave • Adoption leave • Leave without pay • Time off in lieu • Maternity leave 	Level 1 Level 4 Level 4 Level 1 Level 1 Level 1 Level 1 Level 1 Level 1
12i	<u>Sick Leave</u> <ul style="list-style-type: none"> • Return to work part-time on full pay to assist recovery • Extension of sick leave on full pay 	Level 1 Director of Finance
12j	<u>Study Leave</u> <ul style="list-style-type: none"> • Medical study leave outside the UK • Non-Medical study leave outside the UK 	Medical Director

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	<ul style="list-style-type: none"> • Medical staff study leave (UK) • All other study leave (UK) 	Level 4 Medical Director or Associate Medical Director Level 3
12k	<u>Removal Expenses</u> Only available as a contractual right for Junior Doctors Authorisation of payment of removal expenses incurred by officers taking up new appointments <ul style="list-style-type: none"> • Up to £8,000 • Over £8,000 	Director of Finance Chief Executive
12l	<u>Authorised car and phone users</u> <ul style="list-style-type: none"> • Staff within own directorate • level 3 or above 	Level 3 Level 4
12m	<u>Identity cards and swipe cards</u> <ul style="list-style-type: none"> • Staff within own directorate • Level 3 or above 	Level 3 Level 4
12n	<u>Grievance Procedure</u> <ul style="list-style-type: none"> • Informal • Mediation • Stage 1 (formal hearing) • Stage 2 (appeal) 	Level 1 Trust Mediator Level 1 Level 1
12o	<u>Disciplinary procedure</u>	
12o i	<u>MHPS (medical and dental)</u> Up to and including verbal warning Up to and including written warning Up to and including final written warning Up to and including dismissal	Level 2 to 4 Level 2 to 5 Level 2 to 5 Level 3 to 5
12o ii	<u>Non Medical Staff</u> Up to and including written warning Up to and including final written warning Up to and including dismissal	Level 1 to 5 Level 1 to 5 Level 3 to 5

12p	<u>Renewal of Fixed Term Contract</u>	Vacancy Control Panel
12q	<u>Redundancy</u>	Level 4
12r	<u>Ill Health Retirement</u> Decision to pursue retirement on the grounds of ill health	Level 1 and Assistant HR Manager
13	Authorisation of new drugs	Medical Director
14	Engagement of Staffing Services, not on the establishment, excluding consultancy	
	<ul style="list-style-type: none"> • Non medical consultancy staff where aggregate commitment in any one year (for total commitment) is less than £10,000 (subject to availability of resources) • Consultancy for capital schemes, selection of architects, quantity surveyors, consultant engineer and any other professional advisors within EU regulations • Where aggregate commitment in any one year is £10,000 to £20,000 (subject to availability of resources) • Approval of use of bank or agency staff (subject to availability of resources) <ul style="list-style-type: none"> ○ Medical Locums ○ Nursing ○ Clerical ○ Allied Health Professionals 	<p>See section 2 on non-pay</p> <p>See section 2 on non pay</p> <p>See section 2 on non pay</p> <p>Level 3</p> <p>Level 3</p> <p>Level 3</p> <p>Level 3</p>
15	Authorisation of sponsorship deals and grants including research projects	Level 5 over £20,000 Deputy Director of Finance below £20,000
16	Authorisation of Research Projects (including contracts and agreements relating to research projects)	Research and Development Committee
	<u>Expenditure on authorised research projects:</u>	
	<ul style="list-style-type: none"> • Up to £50,000 • Up to £250,000 • Up to £1m • Over £1m 	<p>Level 3</p> <p>Level 4</p> <p>Level 5</p> <p>Level 6</p>

17	Authorisation of Clinical Trials	Research Ethics Committee/Research and Development Committee
18	Insurance Policies	Director of Estates
19	Patients and Relative's complaints	
	<ul style="list-style-type: none"> • Overall responsibility for ensuring that all complaints are dealt with effectively • Responsibility for ensuring complaints relating to particular areas are investigated thoroughly • Medico - legal complaints co-ordination of their management 	<p>Director of Nursing and Quality Governance</p> <p>Director of Nursing and Quality Governance</p> <p>Head of Legal Services</p>
20	Media - Management	Director of HR and OD
21	Infectious diseases and notifiable outbreaks	Director of Nursing and Quality Governance (as Director responsible for Prevention and Control of Infection)
22	Extended role activities	
	Approval for nurses to undertake duties/procedures which can properly be described as beyond the normal scope of nurse practice	Director of Nursing and Quality Governance
23	Patient services	
	<p>Variation of operating and clinic sessions within existing numbers:</p> <ul style="list-style-type: none"> • Outpatients • Theatres • Other <p>All proposed changes in bed allocation and use:</p> <ul style="list-style-type: none"> • Temporary • permanent 	<p>Level 3</p> <p>Level 3</p> <p>Level 3</p> <p>Level 4, and SMOC/ED on call out of hours</p> <p>Director of Operations</p>
24	Facilities for staff not employed by the Trust to gain practical experience	
	<ul style="list-style-type: none"> • professional recognition, honorary contracts and insurance for medical staff • Work experience students 	<p>Director of HR and OD</p> <p>HR Director (operations)</p>
25	Fire Precautions	Director of Estates

26	Safeguarding Trust assets and Property	
	<ul style="list-style-type: none"> • At all times • Within wards and departments • Within directorates • Across directorates 	All staff Level 1 Level 3 Level 4
27	Maintaining Safe Environment and Observing Health and Safety Regulations	
	<ul style="list-style-type: none"> • At all times • Within wards and departments • Within directorates • Across all directorates 	All staff Level 1 Level 3 Level 4
28	Risk Management	
	<ul style="list-style-type: none"> • Executive Director responsible for Risk Management • Clinical Risk Co-ordination • Estates related risks and non clinical risk co-ordination Identifications of risks and maintenance of standards <ul style="list-style-type: none"> • Within wards and departments • Within directorates • Across directorates 	Chief Executive Director of Nursing and Quality Governance Level 4 Level 1 Level 3 Level 4
29	Compliance with environment regulations, for example those relating to clean air and waste disposal and controls of substances hazardous to health	Director of Estates
30	Compliance with the Data Protection Act	Level 4
31	Monitor contractual arrangements between the Trust and NHS Bodies	Director of Finance
32	Compliance with the Access to Records Act	Level 3
33	Compliance Code of Practice handling confidential information in the contracting environment and the compliance with “safe haven” per EL(92)60	Director of Finance/Caldicott Guardian

34	The keeping of a Trust Board Declaration of Interests Register	Company Secretary
35	Attestation of sealings in accordance with Standing Orders	Two officers, one of whom should be Level 4 duly authorised by the Chief Executive
36	The keeping of a register of Sealings	Company Secretary
37	Compliance with Retention of Records schedule	Director of Finance as SIRO
38	Clinical Audit	Medical Director
39	Openness, Compliance with the Code of Practice on Openness	Medical Director and Director of Nursing and Quality
40	Management of Serious Incidents and Untoward Occurrences	Director of Nursing and Quality
41	Agreement of Contracts/Service Level Agreements for Income	
	<ul style="list-style-type: none"> • Up to £999,999 • Over £1m 	Level 4 Level 5
42	Membership of Joint Committees WYAAT CIC	Chief Executive and Chairman up to their level of delegation as set out in this document dependent upon the decision being taken

APPENDIX 2 Chairman and Chief Executive – Statement of Responsibilities

This statement has been prepared to support compliance with the UK Code of Governance. It focuses on the corporate governance responsibilities of the Chairman and Chief Executive and is not intended to reflect the detailed role descriptions for these positions.

1. Strategy				
	Chairman	How this will be achieved	Chief Executive	How this will be achieved
1.1	Ensuring the Board works in accordance with the Values of the Trust within the framework of its Mission, Vision and Strategic Goals.	<ul style="list-style-type: none"> • <i>Ensure:</i> <ul style="list-style-type: none"> • <i>Participation by all Members of the Board of Directors and Clinical Directors..</i> • <i>Compliance with regulatory requirements.</i> • <i>Ensuring that there is an appropriate level of challenge.</i> 	Overseeing the development and proposing the Business Plan in close consultation with the Chairman and the Board.	<ul style="list-style-type: none"> • <i>Establishing, in consultation with the Chairman and the Board, the framework for developing and reviewing the Business Plan.</i> • <i>Contributing to the development of the Business Plan.</i>
1.2	Ensuring the Board contributes to the annual review of the Trust's 2 year Business Plan.	<ul style="list-style-type: none"> • <i>With members of the Board lead by example, personally and collectively.</i> 	Embed Values in the way the Trust works, along with the Compact.	<ul style="list-style-type: none"> • <i>Communicate Values, Behaviours and Compact.</i> • <i>With members of the Exec Team lead by example, personally and collectively.</i>
2. Board Leadership and Development				
	Chairman	How this will be achieved	Chief Executive	How this will be achieved
2.1	Providing effective leadership and management of the Board of Directors.	<ul style="list-style-type: none"> • <i>Chairing full Board and Committee meetings as required.</i> 	Leadership and management of the Trust including its staff and work programmes.	<ul style="list-style-type: none"> • <i>Leading the Exec Team and staff.</i> • <i>Ensuring appropriate levels of delegation.</i>
2.2	The guardian of the Board's decision-making processes.	<ul style="list-style-type: none"> • <i>Ensuring that decisions are taken in a timely and appropriate manner.</i> 	Responsible, with EDs, for implementing the decisions of the Board and its Committees.	<ul style="list-style-type: none"> • <i>Ensuring that the appropriate frameworks are in place to implement the decisions of the Board.</i> • <i>Keeping the Board up-to-date on progress being made in relation to agreed actions.</i>
2.3	Running the Board and setting its agenda.	<ul style="list-style-type: none"> • <i>Setting the agenda for Board meetings in consultation with the Chief Executive and Trust Secretary.</i> 	Providing input into Board agendas in consultation with the Exec Team.	<ul style="list-style-type: none"> • <i>Ensuring consideration of draft Board agendas by Exec Team.</i> • <i>Contribution to consideration of draft Board papers.</i>
2.4	Ensuring that Board agendas take full	<ul style="list-style-type: none"> • <i>Feedback from Board Members on the</i> 	Maintaining a dialogue with the	<ul style="list-style-type: none"> • <i>Regular 1:2:1 meetings with the</i>

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	account of the important issues facing the Trust and the concerns of all Board members. There should be an emphasis on strategic, rather than routine, issues.	<p><i>operation of meetings.</i></p> <ul style="list-style-type: none"> • <i>Being responsive to requests from Non-Executive Directors for the inclusion of items on Board agendas</i> 	Chairman on the important and strategic issues facing the Trust, and proposing issues for consideration at Board meetings to the Chairman which reflect these.	<i>Chairman.</i>
2.5	Ensuring that the Board receives accurate, timely and clear information on: <ul style="list-style-type: none"> - The Trust's performance. - The significant issues, challenges and opportunities facing the Trust. - Matters reserved to the Board for decision. 	<ul style="list-style-type: none"> • <i>Development of a clear and transparent Board Business Cycle.</i> • <i>Feeding information gathered about the issues, challenges and opportunities facing the Trust to the Chief Executive and Trust Secretary.</i> • <i>Ensuring that Board Members are kept up to date with regular communications.</i> • <i>Clarity with regard to the decisions that are being put to the Board – upon what basis and the implications of them.</i> 	Ensuring that the Exec Team gives appropriate priority to providing reports to the Board which contain accurate, timely and clear information.	<ul style="list-style-type: none"> • <i>Challenge of the content of draft Board reports.</i> • <i>Commissioning reports to the Board on appropriate issues.</i>
2.6	Ensuring, with the advice of the Trust Secretary, compliance with the Board's Standing Orders, including the Matters Reserved to the Board for its decision and each Committee's Terms of Reference.	<ul style="list-style-type: none"> • <i>Regular and ad hoc advice from the Trust Secretary on Standing Orders, Matters Reserved to the Board and Committees' Terms of Reference.</i> 	Ensuring, in consultation with the Chairman and the Trust Secretary, compliance with the Board's Standing Orders, including the matters Reserved to the Board for its decision and each Committee's Terms of Reference.	<ul style="list-style-type: none"> • <i>Timely notification to the Chairman and Trust Secretary of issues which might have implications for compliance with Standing Orders and Committees' Terms of Reference.</i>
2.7	Arranging informal meetings with the Non-Executive Directors, as required, to enable them to consider complex, contentious or sensitive issues.	<ul style="list-style-type: none"> • <i>Holding regular private meetings of Non-Executive Directors.</i> • <i>Holding 1:2:1 sessions with individual Board members as appropriate.</i> 	Ensuring that the Chairman is alerted to forthcoming complex, contentious or sensitive issues affecting the Trust.	<ul style="list-style-type: none"> • <i>Regular 1:2:1 meetings with the Chairman.</i>
2.8	Proposing to the Board, in consultation with the Chief Executive, Trust Secretary, Director of Finance and Committee Chairmen as appropriate, changes to: <ul style="list-style-type: none"> - The Constitution. - Terms of reference for each Board Committee. 	<ul style="list-style-type: none"> • <i>Ensuring, through the Trust Secretary, regular reviews of the Trust's Constitution and Integrated Governance Strategy.</i> • <i>Proposing changes to the Board as they become necessary in accordance with the Trust's policy and practice.</i> 	Providing input to the Chairman and Trust Secretary on appropriate changes to the Constitution, each Committee's Terms of Reference and other Board policies and procedures.	<ul style="list-style-type: none"> • <i>Being consulted on changes to the Constitution, Integrated Governance Strategy and other Board policies and procedures.</i> • <i>Highlighting any issues requiring attention to the Chairman and Trust Secretary.</i>

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	- Other Board policies and procedures.			
2.9	Ensuring appropriate arrangements are in place for succession planning of Executive Directors to retain and build an effective and complementary Board.	<ul style="list-style-type: none"> Discussions with the Chief Executive and Non-Executive Directors. 	Providing information and advice on succession planning for Executive Directors to the Chairman.	<ul style="list-style-type: none"> Give advice.
2.10	Taking the lead in providing a properly constructed induction programme for new directors, facilitated by the Trust Secretary.	<ul style="list-style-type: none"> Once a new Non-Executive Director is appointed, ensuring that they have the induction support that they require. 	Commenting on induction programmes for new Non-Executive Directors and ensuring that appropriate management time is made available for the process.	<ul style="list-style-type: none"> Ensuring that the Exec Team is aware of the importance of facilitating the induction of any new Board members.
2.11	Ensuring that the performance of the Board as a whole, its Committees and individual Directors is formally and rigorously evaluated at least once a year.	<ul style="list-style-type: none"> Ensuring annual performance evaluations of the Board, its Committees and individual Board Members are undertaken in accordance with the agreed scheme. Appraising the Chief Executive. Appraising the Non-Executive Directors 	Ensuring that performance reviews are carried out at least once a year for each Executive Director. Providing input to the wider Board evaluation process.	<ul style="list-style-type: none"> Appraising EMT members in accordance with Trust Policy. Report back to Chair and Non Executive Directors and seek views on Board contribution of Executive Directors.
2.12	Taking the lead in identifying and seeking to meet the development needs of the Board as a whole and individual Directors.	<ul style="list-style-type: none"> Proposing the Annual Board Development Plan. Approval of the Chief Executive's and Non-Executive Directors' Personal Development Plans. Being assured that Personal Development Plans for Executive Directors have been agreed. 	Supporting the development needs of the Board as a whole and individual Directors.	<ul style="list-style-type: none"> Contributing to the development of the Annual Board Development Plan and undertaking any actions required. Approval of the Personal Development Plans of each Executive Director. Facilitating, as appropriate, actions to meet the development needs of individual Directors.
2.13	Ensuring the appropriate remuneration of the Executive Directors.	<ul style="list-style-type: none"> Chairing the Remuneration Committee. 	Ensuring advice is provided, as required, to the Remuneration Committee.	<ul style="list-style-type: none"> Commissioning reports to the Remuneration Committee as required.
2.14	Promoting the highest standards of integrity, probity and corporate governance throughout Trust and particularly at Board level.	<ul style="list-style-type: none"> Ensuring that the Chief Executive is held to account for the performance of the organisation. Ensuring that advice about best practice is sought and acted upon on a regular basis. 	Promoting and conducting the affairs of the Trust with the highest standards of integrity, probity and corporate governance.	<ul style="list-style-type: none"> Maintaining the organisation's existing frameworks and reviewing their operation on a regular basis.
2.15	Ensuring effective and constructive	<ul style="list-style-type: none"> Keeping a "weather eye" on 	Ensuring effective and constructive	<ul style="list-style-type: none"> Raising any issues of concern with the

	relationships are established and maintained between Members of the Board of Directors.	<p><i>relationships between Board Members.</i></p> <ul style="list-style-type: none"> • <i>Providing feedback to Non-Executive Directors as required and at their annual appraisals on issues affecting their relationships with other Board Members.</i> • <i>Providing feedback to the Chief Executive on any issues affecting Executive Directors relationships with other Board Members.</i> • <i>In consultation with the Chief Executive and Trust Secretary, identifying any support required to facilitate Board Development.</i> 	relationships are established and maintained between Members of the Board of Directors.	<p><i>Chairman.</i></p> <ul style="list-style-type: none"> • <i>Providing feedback to Executive Directors on issues affecting their relationships with other Board Members.</i> • <i>In consultation with the Chairman and Trust Secretary, identifying any support required to facilitate Board Development.</i>
3.	External Relations			
	Chairman	How this will be achieved	Chief Executive	How this will be achieved
3.1	Ensuring effective communication with Stakeholders.	<ul style="list-style-type: none"> • <i>Promoting the Trust at regional and national meetings and events.</i> • <i>Undertaking activities to enhance the Trust's reputation.</i> 	Leading the communications programme with stakeholders, jointly with the Chairman	<ul style="list-style-type: none"> • <i>Ensuring that the organisation's Communication Plans remain current and are brought to the Board for consideration at appropriate times.</i>
3.2	Ensuring the Trust develops constructive and appropriate relationships with its key stakeholders, including NHS Improvement, the Care Quality Commission and Commissioners.	<ul style="list-style-type: none"> • <i>Meeting with key stakeholders as required.</i> • <i>Ensuring the Board is apprised of feedback received from key stakeholders.</i> • <i>Being assured that issues raised by key stakeholders are being addressed.</i> • <i>Providing feedback on issues arising from national and regional events.</i> 	Jointly with the Chairman, ensuring the Trust develops an understanding of its key stakeholders.	<ul style="list-style-type: none"> • <i>Appointment of Key Relationship Managers.</i> • <i>Developing frameworks for monitoring the views of major stakeholders including commissioning research (e.g. the GP feedback) as required.</i> • <i>Developing and proposing action plans in response to the views of key stakeholders.</i> • <i>Providing briefings to the Chairman on issues affecting the Trust's relationships with its key stakeholders.</i>
3.3	Being ambassador for the Trust, building its reputation and standing in the NHS.	<ul style="list-style-type: none"> • <i>Talking the Trust up at every opportunity at local, regional and</i> 	Working with the Chairman, etc.	-

		<i>national events.</i>		
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