

CNTW(O)51

Appendix 1

Cumbria, Northumberland, Tyne & Wear NHS Foundation Trust (“the Trust”) – Scheme of Reservation and Delegation

This Scheme of Reservation and Delegation (“the Scheme”) is referred to in the Trust’s Standing Financial Instructions (SFIs) and it forms part of the Trust’s Corporate Governance Manual. The purpose of the Scheme is to summarise in one document the decision making system that applies at the Trust, including matters which are reserved to the Board of Directors (Part A) and those decisions that have been delegated to certain executives, sub-groups or individuals by the Board of Directors (Part B).

The Board of Directors of the Trust has established a number of direct sub-committees, which provide the Board of Directors with Assurance on specific areas of the Trust’s business and operations. Decision making on management issues is delegated to the Executive Directors, who manage this through a number of sub-groups.

The Trust’s subsidiary company, NTW Solutions Limited has its own Scheme of Reservation and Delegation, under which certain matters are reserved to the Trust as the sole shareholder.

Part A - Decisions reserved to the Board of Directors

HR Decisions	Source of additional advice to support decisions	Source of assurance
Approve the basis for the determination of commencing pay rates, conditions of service, etc. for officers (e.g., AfC terms and conditions and associated regulations)	Director of Finance and the Director of Workforce and OD	Reports and minutes of meetings
Approve pay increases or terms and conditions review for Executive Directors	Remuneration Committee for Executive pay (for Trust and NTW Solutions) with advice from Chief Executive and/or Director of Workforce and OD	Reports and minutes of meetings
Appoint one of the NEDS to be the Senior Independent Director (in consultation with the Council of Governors) per NHSE's Code of Governance	Director of Communications and Corporate Affairs Governors' Nomination Committee	Reports and minutes of meetings
Finance and commercial decisions	Source of additional advice to support decisions	Source of assurance
Approve annual financial plans (including high level budgets and the capital programme)	Director of Finance Resource and Business Assurance Committee	Reports and minutes of meetings
Contracts over £6m (total contract value) for supply of goods, works and services to Trust (non-healthcare)	Director of Finance Resource and Business Assurance Committee	Business Cases/reports Minutes of meetings
Approval of new capital schemes (including acquisitions) above £6m	Director of Finance Resource and Business Assurance Committee	Business Cases/reports Minutes of meetings

	Council of Governors – significant transactions as described in the Trust Constitution require Council of Governor approval (NHSE definition of significant transaction)	
Approval of disposal of a Trust asset with a book or market value above £6m	Director of Finance Resource and Business Assurance Committee	Business cases/reports Minutes of meetings
Approval of Business Cases with revenue implications above £6m per annum and otherwise as prescribed in the Business Change Policy	Director of Finance Resource and Business Assurance Committee	Business cases/reports Minutes of meetings
Approval of Tenders for provision of services by the Trust with revenue implications in excess of £6m per annum	Director of Finance Resource and Business Assurance Committee	Business cases/reports Minutes of meetings
Approval of variations to Trust PFI agreements or agreements with NTW Solutions Ltd with revenue implications in excess of £6m per annum, or capital implications in excess of £6m	Director of Finance Resource and Business Assurance Committee	Business cases/reports Minutes of meetings
Authority to approve matters that are reserved to the Trust in NTW Solutions' own Scheme of Reservation and Delegation.	Director of Finance Resource and Business Assurance Committee	Reports/recommendations from Director of Finance Minutes of meetings
Writing off losses and/or approving special payments in excess of £50,000	Director of Finance Audit Committee	Reports and minutes of meetings

Clinical and operational decisions	Source of additional advice to support decisions	Source of assurance
<p>Agree Trust Level Performance Standards</p> <p>To be agreed in conjunction with Groups and Corporate Directors in line with agreed strategic objectives</p>	<p>Chief Operating Officer</p> <p>Quality and Performance Committee</p> <p>Executive Management Group</p>	<p>Reports and minutes of meetings</p>
Strategic or service development decisions	Source of additional advice to support decisions	Source of assurance
<p>Define the strategic aims and objectives of the Foundation Trust and the strategic framework to deliver these aims and objectives</p>	<p>Chief Executive Officer and wider Executive Team (wider stakeholder engagement to be considered)</p> <p>Board sub-committees</p> <p>Executive Management Group</p>	<p>Trust Strategy document</p> <p>Reports and minutes of meetings</p>
<p>Identify the key strategic risks, evaluate them, and ensure appropriate arrangements are in place to monitor and arrange this risk including ongoing Board oversight (Board Assurance Framework)</p>	<p>Director of Communications and Corporate Affairs</p> <p>Audit Committee</p> <p>All Board sub-committees</p>	<p>Reports and minutes of meetings</p>
<p>Approve the Annual Plan including new business development proposals</p>	<p>Director of Finance</p> <p>Resource and Business Assurance Committee</p> <p>Board sub-committees</p> <p>Executive Management Group</p>	<p>Annual plan submission document</p> <p>Reports and minutes of meetings</p>

Approve short term and long-term financing arrangements, loans and working capital facilities	Director of Finance Resource and Business Assurance Committee	Planning submissions and Business cases Reports and minutes of meetings
Agree temporary or permanent closure of a ward or service where the closure will be for a period in excess of 72 hours. Or where there has been a previous instance in the preceding three-month period of an immediate closure of the ward of less than 72 hours, approved under Part B of this SoD	Chief Operating Officer Director of Finance Quality and Performance Committee	Reports and minutes of meetings Urgent communications
Approve the establishment of legal partnerships, Provider Collaboratives, subsidiaries, joint ventures, sale/divestment of shares or membership in any company, LLP or partnership, or the winding-up/dissolution of any of these, and other significant transactions (including mergers and acquisitions)	Director of Finance recommendation on investments and significant transactions Resource and Business Assurance Committee (assurance on the application of the Trust's Investment Policy) Provider Collaborative/Lead Provider committee Executive Management Group View of Council of Governors is required to proceed with significant transaction as defined in the Trust Constitution (incl., mergers and/or acquisitions)	Business Cases Reports and minutes of meetings
Regulation and Control Decisions	Source of additional advice to support decisions	Source of assurance
Any matter for which the Board has delegated or statutory authority within its statutory powers.	Chief Executive Officer Director of Communications and Corporate Affairs	Trust Constitution and associated statutory and regulatory guidance

Approve amendments to the Trust's constitution. Jointly agreed by the Board of Directors and Council of Governors. Where amendments are made to the powers or duties of the Council of Governors, this is subject to a vote by the members at the Annual Members Meeting to ratify the change.	Director of Communications and Corporate Affairs Council of Governors	Trust Constitution Reports and minutes of meetings
Approve <ul style="list-style-type: none"> • Standing Orders and any variation and amendment • Standing Financial Instructions for the regulation of its proceedings and business • Investment Policy • Standards of Business Conduct and Conflicts of Interest Policy • Any other guidance regarded as key to the governance framework 	Director of Communications and Corporate Affairs Director of Finance Audit Committee Council of Governors	Reports and minutes of meetings Published documents
Suspend Standing orders	Chief Executive Director of Communications and Corporate Affairs Audit Committee	Reports and minutes of meetings
Ratify urgent decisions by Chair and Chief Executive	Chairman Chief Executive	Reports and minutes of meetings Urgent communications
Require and receive the declaration of Board of Directors members' interests	Director of Communications and Corporate Affairs	Reports and minutes of meetings Published documents
Adopt the organisation governance structures i.e., the structure of the Board of Directors and its sub-committees.	Director of Communications and Corporate Affairs	Reports and minutes of meetings

		Published documents
Ratify or otherwise instances of failure to comply with Standing Orders brought to the Chief Executive's attention.	Chief Executive Director of Communications and Corporate Affairs	Reports and minutes of meetings
Approval of how the Trust's charitable funds held on Trust will be administered	Director of Finance Director of Communications and Corporate Affairs Charitable Funds Committee	Reports and minutes of meetings Terms of Reference for Charitable Funds Committee outlining delegated authority.
Approve the Trust's registration with the CQC.	Executive Director of Nursing, Therapies and Quality Assurance Quality and Performance Committee	Publication of formal documentation Reports and minutes of meetings
Approve mandatory and statutory reports as required, e.g., Medical Revalidation Annual Report, Safer Staffing, etc.	Executive Directors Director of Communications and Corporate Affairs Board sub-committees	Cycle of business Reports and minutes of meetings
Decisions relating to Sub-Committees of the Board	Source of additional advice to support decisions	Sources of assurance
Establish and agree terms of reference for all sub-committees of the Board of Directors. These must include: <ul style="list-style-type: none"> • Audit Committee • Remuneration Committee • Mental Health Legislation Committee 	Director of Communications and Corporate Affairs Committee Chairs/Executive Leads for Board sub-committees	Minutes of meetings Approved Terms of Reference

Approve any amendments to existing Terms of Reference for the above		
Disestablish any existing sub-committee of the Board of Directors	Director of Communications and Corporate Affairs Committee Chairs/Executive Leads for Board sub-committees	Minutes of meetings
Take decisions on reports received from sub-committees that are established by the Board of Directors, including those that the Trust is required by the regulation to establish and to take appropriate action on	Committee Chairs/Executive Leads for Board sub-committees Director of Communications and Corporate Affairs	Minutes of meetings
Decisions relating to Audit matters	Source of additional advice to support decisions	Source of assurance
Receive the annual management letter received from the external auditor and agreement of proposed action, taking account of the advice, where appropriate, of the Audit Committee	External auditors Audit Committee	Reports and minutes of meetings Publication of documentation
Decisions relating to the Annual Report and Accounts	Source of additional advice to support decisions	Source of additional advice to support decisions
Receipt and approval of the Foundation Trust's Annual Report and Annual Accounts, Annual Governance Statement and Quality Accounts	Director of Finance Director of Communications and Corporate Affairs	Reports and minutes of meetings

	Chief Operating Officer Audit Committee	Publication of Annual Report and Accounts, Quality Account, Annual Governance Statement
Receipt and approval of the Annual Report and Annual Accounts for charitable funds held on trust	Director of Finance Charitable Funds Committee Audit Committee	Reports and minutes of meetings Publication of Annual Report and Accounts
Board Monitoring Arrangements	Source of additional advice to support decisions	Source of additional advice to support decisions.
Continuous appraisal of the affairs of the Foundation Trust by means of the receipt of reports as it sees fit from Board members, committees, and officers of the Foundation Trust. All statutory returns required by the Independent Regulator shall be reported, at least in summary, to the Board of Directors. Approval of all legal and regulatory requirements.	Director of Communications and Corporate Affairs All sub-committees of the Board	Reports and minutes of meetings Cycles of business Published documentation

Part B – Matter Delegated by the Board of Directors to Executive Directors, Management Groups and members of staff

This Section sets out the corporate decisions making powers that have been delegated by the Trust’s Board of Directors to the Trust’s Executive Directors, established sub-groups and officers and employees of the Trust to whom the Executive Directors have in turn delegated certain of their decision-making powers.

Many of the day to day decisions that are made by employees of the Trust do not feature in this document. Such decisions should be made within the context of the individual’s role, profession and the Trust’s Risk Strategy and Risk Management Policy and the Standing Financial Instructions. Where the employee requires support, the matter shall be referred to their line manager or relevant Executive Director.

Decision makers must evidence that they have factored in the Trust’s published Risk Appetite from time to time and that any decisions taken that will create a risk that exceeds the relevant threshold is reported and managed in accordance with the Risk Management Policy. In order to support employees to understand the scope of their decision making powers a series of Decision Making Guides are to be produced to support this document.

Finance/Commercial/Estates Decisions

Delegated responsibility / details	Decision making Forum/ Meeting	Individual Decision Maker(s)						Document to evidence decision
		Chief Executive	Executive Director	Triumvirate Director, Corporate Director or Deputy	Associate Director or Corporate Head of Service	Clinical Manager or Corporate Manager	Ward/Team Manager	
Finance, commercial and estates decisions								
Levels of budget responsibility by reference to roles within the organisation Postholders are delegated responsibility for financial management of resources and act as authorised signatories for commitments to spend Trust monies		Levels are set out in Annex	Levels are set out in Annex	Levels are set out in the Annex	Levels are set out in the Annex	Agreed budgets	Agreed budgets	SoD and SFIs

Delegated responsibility / details	Decision making Forum/ Meeting	Individual Decision Maker(s)						Document to evidence decision
		Chief Executive	Executive Director	Triumvirate Director, Corporate Director or Deputy	Associate Director or Corporate Head of Service	Clinical Manager or Corporate Manager	Ward/Team Manager	
<p>Authority to vary the Annual Financial Plan in respect of the amount of contribution delivered or budget allocated to a department. Resource allocation– expenditure (revenue) Variations approved at relevant level of authorisation.</p> <p>Movement of resources across staff and non-staff.</p> <p>Follow Trust Guidance note – Budgetary Control</p>		Authorised to vary resource allocation across Trust	Authorised to vary resource allocation for cost centre and across their budgets	Authorised to vary resource allocation for cost centre and across Locality / CBU / Corporate Depts	Authorised to vary resource allocation for designated CBU	Authorised to vary resource allocation for designated cost centre and across cost centres	Authorised to vary resource allocation for designated cost centre and across cost centres	Financial performance reports
<p>Authority to vary the Annual Financial Plan in respect of income levels – income (revenue) contract with commissioners.</p> <p>Variation of the agreed income plan as approved by the board in the Annual Financial Plan.</p> <p>Follow Trust Guidance note – Budgetary Control</p>			Approval of the Director of Finance	Must be consulted with by Director of Finance				Financial performance reports
<p>Authority to vary the Resource allocation in the agreed Annual financial plan – capital – funding arrangements and expenditure.</p> <p>This delegation operates within the agreed resource allocation. To change the overall value of the Trust funded</p>	Executive Management Group		Advice provided by Director of Finance					EMG minutes.

Delegated responsibility / details	Decision making Forum/ Meeting	Individual Decision Maker(s)						Document to evidence decision
		Chief Executive	Executive Director	Triumvirate Director, Corporate Director or Deputy	Associate Director or Corporate Head of Service	Clinical Manager or Corporate Manager	Ward/Team Manager	
<p>capital programme requires agreement of the Board.</p> <p>Where external funding is made available for specific schemes this can be incorporated into the capital programme through agreement at Executive Management Group</p>								
Decision regarding banking arrangements, investments, and external loans			Approval through Director of Finance					Written decision and instruction to Bank
<p>Authority to approve a waiver of SFIs to enter a contract.</p> <p>The SFIs set out the limited circumstances where the SFIs may be waived and a contract with a third-party supplier entered into (SFI 8.8)</p>		Chief Executive (jointly with DoF)	Director of Finance (jointly with CEO)					Written decision via SFI waiver document. Record of waivers is maintained by the Head of Procurement (NTWS)
<p>Authority to agree and enter a contract – to provide Healthcare services to a commissioner body or customer.</p> <p>Agree and sign a contract to provide / deliver healthcare (SFI – 7.3)</p>	Locality Operational Management Group		Director of Finance approves and signs these contracts up to value stated in the Annex	Triumvirate Director(s) consulted with by Director of Finance		Assoc. Directors of Contracting (Income) may authorise Trust invoices under an existing contract up		<p>Reports and minutes of LOMG</p> <p>Contract documentation</p>

Delegated responsibility / details	Decision making Forum/ Meeting	Individual Decision Maker(s)						Document to evidence decision
		Chief Executive	Executive Director	Triumvirate Director, Corporate Director or Deputy	Associate Director or Corporate Head of Service	Clinical Manager or Corporate Manager	Ward/Team Manager	
							to the value stated in the Annex	
<p>Authority to agree and enter a contract with a third party healthcare provider including in the Trust's capacity as a Lead Provider.</p> <p>Agree and sign a contract with a third party to provide healthcare services to the Trust SFI 7.3</p>	Locality Operational Management Group		Director of Finance approves and signs these contracts up to value stated in the Annex and authorises purchase orders and invoices to that value	Triumvirate Director(s) to be consulted with by Director of Finance			Assoc. Directors of Contracting (Income) can authorise payments to providers under an existing contract up to the value stated in the Annex	<p>Reports and minutes of LOMG</p> <p>Contract documentation</p>
<p>Launch a procurement and agree and enter a contract for Trust to purchase services and/or goods or to materially vary a contract for the same</p> <p>Agree and sign a contract with a third-party provider to deliver non-healthcare services and/or goods.</p> <p>SFI section 8 sets out the requirements and steps at different financial levels which must be followed to put in place a contract.</p> <p>NTWS Head of Procurement must be consulted with for contracts above £25k</p>	All goods and services contracts between procurement threshold level and £6m to be approved at Executive Management Group before sign off by relevant Director or officer	CEO and DoF to jointly sign contracts > £2m - £6m CEO and DoF can each individually sign and authorise contracts with a value of >£500k - £2m	Executive Directors other than CEO and DOF can sign and authorise contracts up to £500k as set out in the Annex	Approve and sign contracts at the levels set out in the Annex – and sign contracts at those levels following Executive Management Group approval where required.	Approve and sign contracts at the authority levels set out in the Annex	Approve and sign contracts at the authority levels set out in the Annex	Approve and sign contracts at the authority levels set out in the Annex	<p>Business cases, reports and minutes – EMG.</p> <p>Signed contracts.</p> <p>Records of tender or procurement process retained by Head of Procurement or delegated officer</p>

Delegated responsibility / details	Decision making Forum/ Meeting	Individual Decision Maker(s)						Document to evidence decision
		Chief Executive	Executive Director	Triumvirate Director, Corporate Director or Deputy	Associate Director or Corporate Head of Service	Clinical Manager or Corporate Manager	Ward/Team Manager	
		In all instances following approval at Executive Management Group						
Authority to raise an order or multiple orders under an existing contract. Contracts are to be put in place in accordance with the SFIs		Authority levels are as per the Annex	Authorised up to the levels set out in the Annex	Authorised up to the levels set out in the Annex	Authorised up to the levels set out in the Annex	Authorised up to the levels set out in the Annex	Authorised up to the levels set out in the Annex	Requisitions and purchase orders
Authority to agree to enter into a contract for the provision by the Trust of non-healthcare services This includes consultancy services such as those provided by Trust Innovation Group, commercial projects, and joint ventures	Executive Management Group. Note that the Board of Directors has reserved powers for partnerships and joint ventures, as set out in Part A	Signature of contract by CEO and/or DoF at the authorisation levels stated in annex	Signature of contract at authorisation levels set out in the Annex	Signature of contract at authorisation levels set out in the Annex	Signature of contract at authorisation levels set out in the Annex	Signature of contract at authorisation levels set out in the Annex	Signature of contract at authorisation levels set out in the Annex	Business cases, reports, and minutes of EMG Signed contracts
Authority to agree and enter into a research & development contract	None – dealt with at operational departmental level	CEO and/or DoF to the levels set out in the Annex		Director of Research & Clinical Effectiveness – up to the level of Executive Director of Finance				Departmental/ operational papers and recommendation from Director of R&CE to DoF/CEO

Delegated responsibility / details	Decision making Forum/ Meeting	Individual Decision Maker(s)						Document to evidence decision
		Chief Executive	Executive Director	Triumvirate Director, Corporate Director or Deputy	Associate Director or Corporate Head of Service	Clinical Manager or Corporate Manager	Ward/Team Manager	
<p>Approval of a Business Case as defined in the Trust's Business Change Process Policy</p> <p>Development of business cases are led by relevant CBU/dept supported by subject experts in line with Business Change process / Policy and/or Investment Policy</p>	<p>Executive Management Group. Note that the Board has reserved powers to approve significant business cases at the value stated in Part A and in relation to investments in other bodies corporate</p>							<p>Business cases, reports and minutes of EMG</p>
<p>Initiation and approval of a tender submission with revenue implications with a value >£500k and £6m per annum</p> <p>Development of tenders are led by relevant CBU / Dept supported by subject experts. Follow the Tender Process Policy for guidance on the production of a tender</p>	<p>Executive Management Group</p> <p>Note the Trust Board has reserved powers to approve significant Tenders as set out in Part A</p>							<p>Business case to recommend decision to tender.</p> <p>EMG minutes</p> <p>Tender document and submission</p> <p>DDoF Project Log</p>
<p>Disposal or acquisition of a Trust Asset with a book or net value up to £6m</p>	<p>Executive Management Group up to £6m.</p>		<p>DoF to sign contract documentation</p>					<p>EMG minutes, reports and business cases</p>

Delegated responsibility / details	Decision making Forum/ Meeting	Individual Decision Maker(s)						Document to evidence decision
		Chief Executive	Executive Director	Triumvirate Director, Corporate Director or Deputy	Associate Director or Corporate Head of Service	Clinical Manager or Corporate Manager	Ward/Team Manager	
<p>Sale, transfer, or acquisition of a Trust asset.</p> <p>NTW Solutions advise the Trust on these matters.</p>	<p>Note that the Board has reserved powers for disposals or acquisitions above £6m</p>							
<p>Authority to manage and vary contracts with NTW Solutions with revenue implications up to £6m per annum, or capital implications up to £6m</p> <p>The Operated Healthcare Facilities Agreement and the Estates Management Services Agreement are the main agreements between the Trust and NTWS. NTWS is also required to seek Trust approval to enter into leases in its own name.</p>	<p>Executive Management Group</p>		<p>Director of Finance is the accountable Executive for the contracts with NTWS and procurement and contracting activity</p>					<p>Contracts report to EMG</p> <p>Recommendation from Trust Rep (Associate Dir of Contracting)</p> <p>Minutes and reports to EMG</p> <p>Contract variation documents</p>
<p>Authority to approve and sign a contract change note/contract variation.</p>		<p>CEO to levels set out in Annex</p>	<p>Directors to levels set out in Annex</p>	<p>To levels set out in annex</p>	<p>To levels set out in annex</p>	<p>To levels set out in annex</p>	<p>To levels set out in annex</p>	<p>Written advice of the Procurement Team and/or Associate Director of Contracting, confirm that</p>

Delegated responsibility / details	Decision making Forum/ Meeting	Individual Decision Maker(s)						Document to evidence decision
		Chief Executive	Executive Director	Triumvirate Director, Corporate Director or Deputy	Associate Director or Corporate Head of Service	Clinical Manager or Corporate Manager	Ward/Team Manager	
								the proposed variation is permissible
<p>Approval of variations to Trust PFI contracts with revenue implications up to £6m per annum, or capital implications up to £6m</p> <p>NTW Solutions manages the PFI contracts on behalf of the Trust and will submit papers on these matters to EMG . Note the reservation of powers to the Board of Directors on these matters above this value, as per Section A.</p>	Executive Management Group		Director of Finance is the accountable Executive for the contracts with NTWS					<p>Business cases, reports and minutes of EMG</p> <p>Contract variation documents</p>
Property & Capital works								
<p>Approval of Minor Works (below £5k) and capital works up to £25k in value.</p> <p>Follow Trust approved Minor Works process and Capital works process. This process is managed by NTW Solutions on behalf of the Trust.</p> <p>Follow minor works and capital works processes</p>	Capital Programme meeting		DOF is the accountable Executive Officer for minor works and overall Capital Programme					Reports and minutes from Capital Programme Meeting and Informed Client meeting
The approval of purchases from third parties of utilities, goods, capital works and or services that relate to the Estate/ Property up to £6m.	Executive Management Group		Responsibility is delegated by CEO to DoF					Business cases and contract reports to EMG.

Delegated responsibility / details	Decision making Forum/ Meeting	Individual Decision Maker(s)						Document to evidence decision
		Chief Executive	Executive Director	Triumvirate Director, Corporate Director or Deputy	Associate Director or Corporate Head of Service	Clinical Manager or Corporate Manager	Ward/Team Manager	
This process is managed by NTW Solutions on behalf of the Trust and as per SFI 8.2.6	Note that the Board has reserved powers for capital schemes with a value above £6m							Procurement and tender documentation Contracts with suppliers
Approval of new capital schemes (including acquisitions) up to £6m. The Trust's capital construction programme is managed by NTW Solutions on behalf of the Trust	Executive Management Group Note that the Board has reserved powers capital schemes above £6m		DoF is the accountable Executive Officer for the Capital Programme					Business cases and reports to EMG.
Agree a lease All lease agreements are subject to approval through a business case to Executive Management Group. Lease matters are managed by NTW Solutions on behalf of the Trust and therefore they must be consulted with and engaged on these matters	Executive Management Group		DoF or his delegate are authorised to sign any lease agreements on behalf of the Trust					EMG contract reports and minutes

Delegated responsibility / details	Decision making Forum/ Meeting	Individual Decision Maker(s)						Document to evidence decision
		Chief Executive	Executive Director	Triumvirate Director, Corporate Director or Deputy	Associate Director or Corporate Head of Service	Clinical Manager or Corporate Manager	Ward/Team Manager	
Workforce decisions								
Development of systems and processes linked to local pay arrangements outside of Agenda for Change			Director of Workforce and OD					
Appointment of staff outside general terms and conditions (i.e., appointment on higher pay scale on AfC scale)			Director of Workforce & OD					Evidence of rationale for approval and recommended salary point
Appointment onto local pay		CEO	Director of Finance Director of Workforce and OD					Evidence of rationale
Use of agency worker above cap			Director of Finance Director of Workforce and OD					Discussion with Medical Director / Director of WOD
Introduction of any local terms and conditions (i.e., mileage allowances, continuous service etc)			Director of Workforce and OD					
Introduction of additional expenditure unrelated to terms and conditions (i.e., recruitment incentives, introduction of allowances etc).			Director of Workforce and OD					
Termination of employment through redundancy			Director of Finance					

Delegated responsibility / details	Decision making Forum/ Meeting	Individual Decision Maker(s)						Document to evidence decision
		Chief Executive	Executive Director	Triumvirate Director, Corporate Director or Deputy	Associate Director or Corporate Head of Service	Clinical Manager or Corporate Manager	Ward/Team Manager	
			Director of Workforce and OD					
Termination of employment for some other substantial reason			Director of Workforce and OD	Would be consulted with by Director of Workforce and OD				Rationale for decision to be shared with Executive Director of Workforce
Clinical and Operational decisions								
Emergency closure to admissions (<1 month)			Consultation with Chief Operating Officer and Director of Finance					Recorded at Locality Operational Management Group and Business Delivery Group
Variation to Group internal targets			Chief Operating Officer	Triumvirate Director				Recorded at Locality Operational Management Group
Close a ward/service due to urgent clinical risk (where closure will be for a maximum period of 72 hours) Where the ward has previously been subject to this type of closure within the preceding 3-month period the matter must be referred to the Board under Part A of this SORD			Chief Operating Officer or with on-call Director if out of hours	Triumvirate Director				

Delegated responsibility / details	Decision making Forum/ Meeting	Individual Decision Maker(s)						Document to evidence decision
		Chief Executive	Executive Director	Triumvirate Director, Corporate Director or Deputy	Associate Director or Corporate Head of Service	Clinical Manager or Corporate Manager	Ward/Team Manager	
Agree changes to Trust wide Clinical protocols and standards and Trust policies.	Business Delivery Group							BDG minutes and reports Clinical lead sign off and Trust Safety Group where appropriate.
Expansion of current service	If business case required then EMG or Board dependent upon value.		Consultation with Director of Finance, Medical Director and Chief Operating Officer	Triumvirate Director				Business Case where required under Business Change Policy
Provision of services out with agreed pathways (For example where a child is admitted to an acute adult ward - classed as a "never event")				Triumvirate Director				
Change of service provision linked to OPEL framework – emergency planning/contingency Often linked to staff availability or a surge in demand			Chief Operating Officer (as Exec Lead for EPRR)	Triumvirate director following discussion with Chief Operating Officer				Decisions made and documented as per escalation process for emergency planning.
Amending ward/team skill mix to meet service need						Clinical Manager	Ward/team manager decision	Discussion between managers at these levels is

Delegated responsibility / details	Decision making Forum/ Meeting	Individual Decision Maker(s)						Document to evidence decision
		Chief Executive	Executive Director	Triumvirate Director, Corporate Director or Deputy	Associate Director or Corporate Head of Service	Clinical Manager or Corporate Manager	Ward/Team Manager	
								documented in meeting notes

Annex – authorisation levels

Delegating Authorisers	Authorisation Limits	
Post	Revenue £000	Capital £000
Executive Officers Chief Executive and Executive Director of Finance jointly Director of Finance – <i>for contracts with third party healthcare providers where Trust is the lead provider</i> Chief Executive and Executive Director of Finance individually Executive Medical Director/Deputy Chief Executive Executive Director of Nursing, Therapies and Quality Assurance Chief Operating Officer Executive Director of Workforce and Organisational Development	6,000 4,000 2,000 500 500 500 500	6,000 2,000
Chief Executive Directorate Director of Communications and Corporate Affairs/Company Secretary	50	
Chief Nursing Officer’s Directorate Deputy Director – Positive and Safe Director of AHPs and Psychological Services	50 50	
Chief Operating Officer’s Directorate Deputy Chief Operating Officer Group Directors – operational, nursing and medical Associate Directors – Group CBU Teams Clinical Nurse Managers Ward / Team Managers	500 500 50 5 5	

Delegating Authorisers	Authorisation Limits	
Post	Revenue £000	Capital £000
Deputy Chief Executive & Medical Directorate Chief Pharmacist Deputy Chief Pharmacists Director Research, Innovation and Clinical Effectiveness Director of Medical Education Chief Clinical Information Officer Group Medical Director – Safer Care	100 100 100 50 50 50	
Finance Directorate Deputy Director of Finance and Business Development Director of Audit One Chief Information Officer Associate Directors of Contracting Associate Director of Finance	100 100 100 50 50	100
Workforce and Organisational Development Directorate Deputy Director of Workforce and Organisational Development Deputy Director – NTW Academy Development	100 50	
Board of Directors	No limit	No limit