

Cwm Taf Morgannwg

UHB – Additional delegations linked to the SFIs

SCHEME OF DELEGATION – VERSION CONTROL

Version		Date
17	Audit Committee August 2021 – Amendments to Section 6&7 amend job description to Head of Corporate Finance & Section 10 Pay Expenditure Amend delegated limit officers with delegated authority.	16/11/2021
18	Audit Committee January 2022 - Amendments to Section 14 B2 Disposals and Condemnations, Losses and Special Payments. Amendments to Section 11 Non Pay Expenditure Final Pay Controls	15/02/2022
18	OJEU Limits/ Threshold for Section 11 Non Pay Expenditure OJEU Threshold 2022 limits	22/02/2022

Introduction

The Standing Orders (SOs) and Standing Financial Instructions (SFIs) specify key responsibilities of the Chief Executive, Director of Finance and other Officers.

The Chief Executive's Job Description, together with ~~her~~their Accountable Officer Memorandum, sets out ~~her~~their specific responsibilities. Individual Job Descriptions determined for Director level posts also define in detail the specific responsibilities assigned to those post holders.

The SOs, together with its schedule of delegations, and the financial delegations set out in the SFIs form the basis of the Health Board's Scheme of Delegation to Officers.

This Schedule of additional delegations identifies those specific areas within the SFIs which require additional delegations from the Chief Executive, the Director of Finance and other Officers.

This Schedule should not be read in isolation and needs to be used alongside the full SFIs available via [Sharepoint](#).

A general principle to note is that, for automated processes, a Director may further delegate to a deputy during periods of absence although they will still retain responsibility for the delegation. Manual processes can only be delegated upwards (except for legal claims settlement where the Executive Director of Nursing may delegate to a deputy – see page 37).

The implementation of the Care Group Delivery model in August 2022, set out the arrangements for six clinical Care Groups, in the Scheme of Delegation we refer to Care Group Directors, these include:

- Group Service Directors
- Group Medical Directors
- Nurse Directors
- Director of Midwifery
- Assistant Medical Director

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1. General

Ref	SFI requirement	SFI Ref.	SFI responsibility	Authority Delegated to
A	The Director of Finance is responsible for ensuring an ongoing training and communication programme is in place to affect these SFIs.	2.3.2	Director of Finance	All Heads of Finance
B	Ensure that any contractor or employee of a contractor who is empowered by the UHB to commit the UHB to expenditure or who is authorised to obtain income shall be covered by the SFIs	2.5.1	CEO	Group Directors (ILGs) Care <u>Group Directors</u> , Relevant Executive Director

2. Audit, Fraud & Corruption, and Security Management

Ref	SFI requirement	SFI Ref.	SFI responsibility	Authority Delegated to
A	Ensuring there are arrangements in place to review, evaluate and report on the effectiveness of internal financial control, including the establishment of an effective Internal Audit function.	3.2.1	CEO	Board Secretary
B	Monitor and ensure compliance with Directions issued by the Welsh Ministers on NHS security management.	3.6.1	CEO	Assistant Director of Facilities Support Services
	Controlling and co-ordinating security.	3.6.2	CEO	Assistant Director of Facilities Support Services

3. Allocations and Financial Duty

Ref	SFI requirement	SFI Ref.	SFI responsibility	Authority Delegated to
A	<p>Prior to the start of each financial year submit to the Board for approval a report showing the total allocations received, assumed in-year adjustments and their proposed distribution including any sums to be held in reserve</p> <p>Ensure that any ring-fenced or non-discretionary allocations are disbursed in accordance with Welsh Ministers' requirements;</p> <p>Periodically review any assumed in-year allocations to ensure that these are reasonable and realistic; and</p> <p>Regularly update the Board on significant changes to the initial allocation and the application of such funds.</p>	4.0.2	Director of Finance	No delegation

4. Budgetary Control

Ref	SFI requirement	SFI Ref.	SFI responsibility	Authority Delegated to
A	Prepare and submit budgets for approval and delegation by the Board.	6.1.1	Director of Finance	No Delegation
	Monitor financial performance against budget and plans and report the current and forecast position on a monthly basis and at every Board meeting. Any significant variances should be reported to UHB members as soon as they come to light and the Board shall be advised on any action to be taken in respect of such variances.	6.1.2	Director of Finance	
B	All budget holders are required to sign up to their allocated budgets at the start of the financial year.	6.1.4	Budget holders	Formal sign off required at Integrated Locality Group (ILG) Care Group level- See B1 below

Delegated to:		Signed off by:	
B1	Delegation of the management of defined Revenue budgets to budget holders:		
	i. Revenue budgets for Locality-Care Group Directors and Director of Operations <u>Group Service Director</u>	i. Budget Holders	i. Locality-Care Group Directors, Clinical Service Group Managers
	ii. Revenue budgets for Corporate directorates	ii. Budget Holders	ii. Corporate Directors and Assistant Directors
	iii. Reserves	iii. Deputy DOF	

Ref	SFI requirement	SFI Ref.	SFI responsibility	Authority Delegated to
C	Ensure that appropriate and timely financial information is provided to budget holders and that adequate training is delivered on an on-going basis to assist budget holders managing their budgets successfully.	6.1.5	Director of Finance	Heads of Finance (Outside of ILGs) Assistant Directors of Finance (ILGs)
D	Delegation of the management of a budget to permit the performance of a defined range of activities (including pooled budgets)	6.2.1	CEO	Revenue budget - Director of Finance (See B1) Capital budget – Director of Finance
E	Delegation to include the authority to exercise virement and budget transfers	6.2.1	CEO	See E1 below

E1-Approval of variation of budgets, including authority to vire

Delegated Authority	Between budget lines	Capital to revenue & vice versa
Within a department	Budget manager plus line manager	Not allowed
Within a directorate; between departments	Clinical Service Group Manager	
Between Clinical Service Groups	Both Clinical Service Group Managers	
Budget transfers between Reserves and Delegated budgets	Deputy Director of Finance	

Ref	SFI requirement	SFI Ref.	SFI responsibility	Authority Delegated to
F	Devise and maintain systems of budgetary control.	6.3.1	Director of Finance	Heads of Finance (Outside of ILGs) Assistant Directors of Finance (ILGs)
G	The Chief Executive is responsible for identifying and implementing cost and efficiency improvements and income generation initiatives in accordance with the requirements of the Medium Term Financial Plans.	6.3.3	CEO	Executive Directors
H	All monitoring returns must be supported by a detailed commentary signed by the Director of Finance and Chief Executive. This commentary should also highlight and quantify any significant risks with an assessment of the impact and likelihood of these risks	6.5.2	CEO and Director of Finance	No Delegation

5. Annual Accounts and Reports

Ref	SFI requirement	SFI Ref.	SFI responsibility	Authority Delegated to
A	Ensuring that financial reports and returns are prepared in accordance with the accounting policies and guidance determined by the Welsh Ministers and the Treasury and consistent with International Financial Reporting Standards.	7.0.3	Director of Finance	No Delegation
B	The UHB will publish an annual report, in accordance with guidelines on local accountability, and present it at its Annual General Meeting. The document will comply with the Welsh Government's Manual for Accounts.	7.0.5	Board	Board Secretary/Director of Corporate Services <u>Director of Governance/Board Secretary</u>

6. Banking arrangements

Ref	SFI requirement	SFI Ref	SFI responsibility	Authority delegated to
A	Ensuring payments made from bank accounts do not exceed the amount credited to the account except where arrangements have been made	9.2.1	Director of Finance	Head of Corporate Finance
B	The Director of Finance will prepare detailed instructions on the operation of bank accounts which must include: <ul style="list-style-type: none"> i. The conditions under which bank accounts is to be operated ii. Those authorized to sign cheques or other orders drawn on the UHB accounts 	9.3.1	Director of Finance	<ul style="list-style-type: none"> i. Head of Corporate Finance ii. See B1 below
B1	Day to day operation of bank accounts: <ul style="list-style-type: none"> i. maintain list of approved signatories for manual payments ii. approval to authorize automated payments: <ul style="list-style-type: none"> •accounts payable¹ •payroll •primary care contractors iii. maintain list of bankline authorisizers and users for internet banking transactions 		<ul style="list-style-type: none"> i. Head of <u>Corporate</u> Finance ii. NHSWSSP lii Head of Corporate Finance 	

¹after confirmation from Head of Corporate Finance that sufficient funds are available in the bank account

7. Income, fees and charges and security of cash, cheques and other negotiable instruments

Ref	SFI requirement	SFI Ref	SFI responsibility	Authority Delegated to
A	<p>Income Systems. Designing and maintaining procedures to ensure compliance with systems for the proper recording, invoicing, and collection and coding of all monies due.</p> <p>Ensuring that systems are in place for the prompt banking of all monies received.</p> <ul style="list-style-type: none"> (i) General Offices in Hospitals (ii) Other Locations 	10.2.1	<p>Director of Finance</p> <p>Director of Finance</p>	<p>Head of Corporate Finance</p> <ul style="list-style-type: none"> i. Assistant Director of Facilities Support Services ii. Heads of Department
B	<p>Fees and Charges- Approving and regularly reviewing the level of all fees and charges , other than those determined by the Welsh ministers or by statute</p>	10.3.1	Director of Finance	See below

Fees and Charges:		Authority Delegated to
B1	<p>Long Term Agreements with other NHS bodies</p> <ul style="list-style-type: none"> i. Approval and Signing of the Long Term Agreement ii. Variations to the Agreement 	<ul style="list-style-type: none"> i. Annual value up to £10m -Director of Finance Annual value over £10m- Chief Executive ii. Up to £200,000- Director of Finance Over £200,000 – Chief Executive

B2	Service Level Agreements – NHS and Non NHS Agreement to provide services with an annual value: <ul style="list-style-type: none"> i. up to £50,000 ii. £50,000 to £100,000 iii. Over £100, 000 	<ul style="list-style-type: none"> i. Clinical Service Group Manager and Head of Finance, (Non ILG), Assistant Directors of Finance (ILGs) ii. <u>Care</u> Group Director (ILG) and Deputy Director of Finance iii. Director of Clinical Services <u>Deputy Chief Operating Officer</u>, Relevant Director and Director of Finance
B3	Individual NHS patient treatment charges outside of LTAs and SLAs Agreement to provide treatment: <ul style="list-style-type: none"> i. up to £5,000 ii. between £5,000 and £25,000 iii. over £25,000 	<ul style="list-style-type: none"> i. Finance Manager – Commissioning & Contracting ii. Head of Finance – Financial Planning & Reporting iii. Deputy Director of Finance
B4	Private Patients and overseas patients without reciprocal agreements <ul style="list-style-type: none"> i. pricing policy and price structure ii. payment policy, including use of deposits, income guarantees, arrangements with insurance companies 	<ul style="list-style-type: none"> i. Director of Finance ii. Director of Finance
B5	Commercial sponsorship offers (including funding contributions for staff & non staff costs) Agreement to receive commercial sponsorship or funding: <ul style="list-style-type: none"> i. up to £50,000 ii. £50,000 to £100,000 iii. Over £100, 000 	<ul style="list-style-type: none"> i. Clinical Service Group Manager and Head of Finance (Non ILG) <u>or</u>, Assistant Directors of Finance (ILGs) ii. <u>Care</u> Group Director (ILG) and Deputy Director of Finance iii. Director of Clinical Services, Relevant Director and Director of Finance

B6	Approval of concession arrangements	Director of Finance
B7	Commercial and non-commercial research projects and trials Agreement to receive funding: <ul style="list-style-type: none"> i. up to £50,000 ii. £50,000 to £100,000 iii. Over £100,000 	<ul style="list-style-type: none"> i. Clinical Service Group Manager and Head of Finance responsible for Research plus Ass<u>istant</u> Director for R&D ii. Relevant Director and Deputy Director of Finance plus Ass<u>istant</u> Director for R&D iii. Relevant Executive Director and Director of Finance plus Ass<u>istant</u> Director for R&D
B8	Agreements for non patient care fees and charges (e.g. tenancy agreements rents, licenses) Agreement to enter into agreements based on total annual income: <ul style="list-style-type: none"> i. up to £50,000 ii. £50,000 to £100,000 iii. Over £100,000 	<ul style="list-style-type: none"> i. Clinical Service Group Manager and Head of Finance (Non-ILG), /Assistant Directors of Finance (ILGs) ii. Locality Care Group Director and Deputy Director of Finance iii. Relevant Director and Director of Finance

Ref	SFI requirement	SFI Ref	SFI responsibility	Authority Delegated to
C	Debt recovery-			
	(i) Appropriate recovery action on all outstanding debts.	10.4.1	Director of Finance	Head of Corporate Finance
	(ii) Ensuring the Welsh Ministers' guidance on disputed debt arbitration is strictly adhered to.	10.4.4	Chief Executive & Director of Finance	Deputy Director of Finance
D	Security of cash, cheques and other negotiable instruments- Approving the form of all receipt books, agreement forms, or other means of officially acknowledging or recording monies received or receivable, and establishing systems and procedures for handling cash and negotiable securities on behalf of the UHB. The provision of adequate facilities and systems for officers whose duties include collecting and holding cash, including the provision of safes or lockable cash boxes, the procedures for keys, and for coin operated machines;	10.5.1	Director of Finance	Head of Corporate Finance Assistant Director of Facilities Support Services/ Heads of Departments

8. Grant funding, procurement and contracts for goods and services

Ref	SFI requirement	SFI Ref.	SFI responsibility	Authority Delegated to
A	Maintaining detailed policies and procedures for all aspects of grant funding- i.e. awarding of grants	11.1	CEO	Director of Finance
B	Maintaining detailed policies and procedures for procurement, tendering and contracting	11.4.2	CEO	Director of Finance
C	All contracts exceeding the delegated limit ¹ , all acquisitions and disposals of land of any limit, and the acceptance of gifts of property, must receive the written approval of the Welsh Ministers before being entered into. (i) Contracts (ii) Acquisition and disposals of land, and acceptance of gifts of property	11.9.5	Board	(i) Director of Finance (ii) Director of Finance
D	Procurement Thresholds Minimum thresholds for quotes and competitive tendering arrangements	11.10	Director of Finance	Section 11C below
E	Contract Management. The Chief Executive shall nominate an officer who shall oversee and manage each contract on behalf of the UHB so as to ensure that obligations on delivery of business and operational objectives, and achieving value for money, are met	11.12.1	CEO	Executive Directors

¹Current delegated limit for contracts before requiring Ministerial approval is £1m

9. Contracts for Health Care Services

Ref	SFI requirement	SFI Ref	SFI responsibility	Authority Delegated to
A	The CEO is responsible for ensuring the UHB enters into suitable Health Care Agreements or individual patient commissioning agreements where appropriate.	12.1	CEO	See A1 – A12 below
B	The Chief Executive will need to ensure that regular reports are provided to the Board detailing performance and associated financial implications of all Health Care Agreements	12.3	CEO	i. Director of Finance ii. Director of Planning & Performance

Agreements for the purchase of services		Authority delegated to
A1	Long Term Agreements with other NHS bodies <ul style="list-style-type: none"> i. Approval and Signing of the Long Term Agreement ii. Variations to the Agreement 	<ul style="list-style-type: none"> i. Annual value up to £10m -Director of Finance Annual value over £10m- Chief Executive ii. Up to £200,000- Director of Finance Over £200,000 – Chief Executive
A2	Service Level Agreements - NHS Agreement to purchase services with an annual value: <ul style="list-style-type: none"> i. up to £50,000 ii. £50,000 to £100,000 iii. Over £100,000 	<ul style="list-style-type: none"> i. Clinical Service Group Manager and Head of Finance (Non ILG), /Assistant Directors of Finance (ILGs) ii. <u>Care</u> Group Director (ILG) and Deputy Director of Finance iii. Director of Clinical Services, Relevant Director and Director of Finance

**For the purpose of the Scheme of Delegation, Executive Director refers to the post holder who has budget responsibility delegated by the CEO.

A3	Grant funding agreements Agreement to give a grant with a total value: <ol style="list-style-type: none"> up to £5,000 £5,000 to £25,000 Over £25,000 	<ol style="list-style-type: none"> Clinical Service Group Manager and Head of Finance (Non ILG), Assistant Directors of Finance (ILGs) <u>Care</u> Group Director (ILG) and Deputy Director of Finance Director of Clinical Services, Relevant Director and Director of Finance
A4	Individual Continuing Healthcare Placements /Packages Authorisation of individual placements/packages following recommendation from the CHC Panel : <ol style="list-style-type: none"> Annual value up to £50,000 Annual value between £50,000 and £150,000 Annual Value over £150,000 Agreement of Changes to annual standard rates 	<ol style="list-style-type: none"> Chair of CHC Panel **Relevant Executive Director Chief Executive and Director of Finance Director of Nursing & Director of Finance
A5	NHS Funded Nursing Care (FNC) <ol style="list-style-type: none"> Authorisation of individual placements/packages following recommendation from a Nurse Assessor Agreement of changes to annual standard rates 	<ol style="list-style-type: none"> FNC Coordinator Director of Nursing & Director of Finance
A6	Individual Patient Commissioning Agreements – NHS Providers and non NHS providers Authorisation of individual agreements following recommendation from the IPC Panel: <ol style="list-style-type: none"> Annual value up to £50,000 Annual value over £50,000 	<ol style="list-style-type: none"> Director of Public Health Chief Executive or Director of Finance

A7	Primary Care Contracts – General Medical Services (excluding enhanced services) <ul style="list-style-type: none"> i. Approval and Signing of the GMS contracts with practices ii. Variations to the Agreement iii. Payments under the contracts 	<ul style="list-style-type: none"> i. Director of Clinical Services ii. Director of Clinical Services iii. Delegated to NHSWSSP
A8	Primary Care Contracts – General Medical Services (Enhanced services) <ul style="list-style-type: none"> i. Approval and Signing of agreements to provide Enhanced services ii. Variations to the Agreement iii. Payments under the Agreements 	<ul style="list-style-type: none"> i. Director of Clinical Services ii. Director of Clinical Services iii. Delegated to NHSWSSP
A9	Primary Care Contracts – General Dental Services <ul style="list-style-type: none"> i. Approval and Signing of the GDS contracts with practices ii. Amendments to the Agreement iii. Payments under the contracts 	<ul style="list-style-type: none"> i. Director of Clinical Services ii. Director of Clinical Services iii. Delegated to NHSWSSP
A10	Primary Care Contracts – Pharmaceutical Services (including enhanced and advanced services) <ul style="list-style-type: none"> i. Payments under the contracts or enhanced service agreements ii. Approval and signing of agreements to provide enhanced services 	<ul style="list-style-type: none"> i. Delegated to NHSWWP ii. Director with responsibility for Medicines Management
A11	Primary Care Contracts – General Ophthalmic Services <ul style="list-style-type: none"> i. Payments under the contracts or enhanced service agreements ii. Approval and signing of agreements to provide enhanced services 	<ul style="list-style-type: none"> i. Delegated to NHSWWP iv. Director of Clinical Services
A12	Providing services jointly with Local authorities under Section 32 and 33 of NHS (Wales) Act 2006. <ul style="list-style-type: none"> i. Approval and Signing of the pooled budget arrangements ii. Amendments to the Agreement 	<ul style="list-style-type: none"> i. Relevant Director and Director of Finance ii. Relevant Director and Director of Finance

10. Pay expenditure

Ref	SFI requirement	SFI Ref.	SFI responsibility	Authority Delegated to
A	The funded establishment of any department may not be varied without the approval of the Chief Executive or an officers with delegated authority (provided that the change in funded establishment is in line with the virement of budget approver under 4E)	13.2.2	CEO	Director of Finance
B	No Board member or UHB official may engage, re-engage, or re-grade employees, either on a permanent or temporary nature, or hire agency staff, or agree to changes in any aspect of remuneration outside the limit of their approved budget and funded establishment unless authorised to do so by the Chief Executive.	13.3.1	CEO	Director of Finance

	New Appointments, Bank and agency costs	
	Delegated Approval / Sign Off by:	
B1	Employment of all fixed term and permanent staff – except medical consultants	VR form signed by Clinical Service Group Managers and Finance lead prior to submission to VCP
B2	Employment of fixed term and permanent staff (subject to any vacancy review policy in place)- Medical consultants only	VR form signed by Directorate manager and Finance lead prior to submission to Executive Catch up Meeting
B3	Nursing bank and On contract agency	Ward Manager

B4	Nursing agency Off contract	Clinical Service Group Manager
B5	Medical agency - On Contract - Off Contract Engagements above price caps as determined by Welsh Government (On and Off Contract)	Clinical Service Group Manager Executive Director Medical Director
B6	Engage non-medical, non-payroll staff (subject to contracting and tax assurance rules):*	Director of W&OD and Head of Procurement to confirm agreement on off contract hires prior to any commitment.
	- Below £10k gross commitment	Clinical Service Group Manager
	- £10k to £25k gross commitment	Locality Care Group Director
	- up to £100k gross commitment	Executive Board/Executive Directors
	- > £100k gross commitment	Director of Finance or Chief Executive

¹Urgent Out of Hours request to be approved by the Executive Director on call

Ref	SFI requirement	SFI Ref.	SFI responsibility	Authority Delegated to
C	Procedures to be presented by the Chief Executive for Board approval for the determination of commencing pay rates, condition of service, etc, for employees in accordance with pay, terms and conditions set out in Agenda for Change and other pay review bodies	13.3.2	CEO	Director of Workforce & OD
D	The Director of Workforce and Organisational Development is responsible for securing the provision of an efficient, value for money payroll service.	13.4.1	Director of Workforce & OD	No delegation
E	<p>(i) Ensuring that any shared or hosted service arrangement is supported by appropriate contract terms and conditions, adequate internal controls and audit review procedures;</p> <p>(ii) Ensuring a sound system of internal control and audit review of any internally provided payroll service;</p>	13.4.2	CEO	<p>(i) Director of Workforce & OD</p> <p>(ii) Director of Finance</p> <p>Head of Corporate Finance</p>
F	<p>Appropriately nominated managers have delegated responsibility for:</p> <p>(i) Submitting time records, and other notifications in accordance with agreed timetables;</p> <p>(ii) Completing time records and other notifications in accordance with the contract of Service Level Agreements;</p> <p>(iii) Submitting termination forms in the prescribed form immediately upon knowing the effective date of an employee's or officer's resignation, termination or retirement</p>	13.4.3	CEO	See below

General Payroll Approvals		Delegated to
F1	Grant additional increments to staff (outside of Department of Health national T&C)	Director of Workforce and OD Noted at Remuneration Committee
F2	Electronic and paper timesheets and other reporting forms to confirm: <ul style="list-style-type: none"> Non-attendance at work; sickness and absence records; overtime, unsocial hours and on call. 	Line Managers (as determined by Clinical Service Group Managers or equivalent)
F3	Travel and subsistence claims (via e-expenses)	Line Manager
F4	Annual leave applications	Line Manager
F5	Applications for carry forward of annual leave to next year within A4C limits/Medical & Dental Handbook	Clinical Service Group Manager (or equivalent)
F6	Annual leave carry forward to next year in excess of A4C limits	Executive Director
F7	Buying additional annual leave	Operations/Group Director for ILGs <u>Care Group Director</u> (or equivalent)
F8	Study leave applications	Line Manager
F9	Salary Sacrifice Scheme applications	Assistant Director of Workforce and OD
F10	Specific benefits in kind <ul style="list-style-type: none"> i. Lease cars ii. Authorised phone user, remote access and good apps 	Clinical Service Group Manager (or equivalent)
F11	Termination Forms	Clinical Service Group Manager (or equivalent)
F12	Staff Change Forms impacting on pay (e.g. change of hours, re-grading, extension of fixed term contracts etc)	Clinical Service Group Manager (or equivalent)

Ref	SFI requirement	SFI Ref.	SFI responsibility	Authority Delegated to
G	Ensuring that all employees are issued with a Contract of Employment in a form approved by the Board and which complies with employment legislation; and dealing with variations to, or termination of, contracts of employment (i) Non-medical posts advertised on NHS Jobs (ii) Non-medical posts not advertised via NHS Jobs (iii) Medical posts (wherever advertised)	13.5.1	Director of Workforce & OD	(i) NWSSP (ii) & (iii) no delegation

G1	Approve departure under agreement (Voluntary Early Release)	All applications to be approved by ILG Director of Operations / ILG Director of Nursing <u>Care Group Director</u> and ILG Head of Finance <u>Assistant Director of Finance</u> and ILG Head of Workforce & OD Plus Executive Directors of Finance and Workforce & OD – then final approval by the Remuneration Committee i. Any VER payments over £50k also need to be approved by WG.		
G2	Approve redundancy	Remuneration Committee (subject to any Welsh Government approval mechanisms)		
G3	Approve departure under settlement agreement (other than VERs)	Relevant Executive Director, Executive Director of W&OD and Executive Director of Finance and Remuneration Committee (subject to any Welsh Government approval mechanisms)		

*Any agreements that are deemed contentious to be referred to Remuneration Committee

11. Non Pay expenditure

Ref	SFI requirement	SFI Ref.	SFI responsibility	Authority Delegated to
A	The CEO will approve the level of non pay expenditure and operational scheme of delegation and authorisation to budget holders and managers within the parameters set out in the UHB's scheme of delegation	14.1	CEO	See Below for Oracle and non Oracle requisitions ¹

¹ All Financial Limits shown below are ~~exclusive-inclusive~~ of VAT

ORACLE REQUISITIONS	Authority Delegated to
Below £1,500	Tier 7 – Nominated Budget holder for specific cost centers
£1,500 to £5,000	Tier 6 - Head of Department or equivalent
Up to £25,000	Tier 5 - Clinical Service Group Manager (or equivalent)
Up to £50,000	Tier 4 - Acute Services General Manager (or equivalent)
Up to £100,000	Tier 3 – Group/Operations Director for ILGs <u>Care Group Director</u> or Relevant Director
Up to £250,000	Tier 2 - Executive Director <u>and Deputy Chief Operating Officer</u>
Up to £500,000	Tier 1 – Director of Finance
Over £500,000	Chief Executive

Expenditure commitments made outside of the ORACLE requisition process		Authority Delegated to
Contracts for HealthCare Services	See Section 5	See Section 5
Pharmacy drugs ordered via Pharmacy system	i. Up to £10,000 per order (Pharmaceutical homecare orders only) ii. Up to £75,000 iii. Up to £50,000 iv. Up to £20,000	i. Homecare pharmacist ii. Head of Medicines Management iii. Chief Pharmacist iv. Pharmacy Team Leaders
Pension Agency Invoices (Injury Benefit/Compensation/ Final Pay Controls)	i. >£100,000 ii. <£100,000	i. Director of Finance ii. Group/ Operations Director for ILGSCare <u>Group Director</u> or Relevant Director
Legal Claims and Defense costs	i. >£100,000 ii. <£100,000 iii. <£50,000 iv. <£5,000	i. Director of Finance or Chief Executive ii. Director of Nursing & Quality iii. Assistant Director Quality and Patient Experience iv. Head of Patient Experience

Ref	SFI requirement	SFI Ref.	SFI responsibility	Authority Delegated to
B	Maintaining the list of managers who are authorized to place requisitions for the supply of goods and services for both Oracle and Non Oracle requisitions.	14.1.2 & 14.1.3	CEO	Head of Finance/Assistant Directors of Finance (ILGs)
C	The Director of Finance will advise the Board regarding the setting of thresholds above which quotations (competitive or otherwise) or formal tenders should be sought.	14.3.1	Director of Finance	See Below

Value ¹	Minimum Competition ²	Lead	Waivers, or exceptions to tender rules
Up to £5,000	Best value to be shown	Tier 5	Head of Department
£5,000 to £24,999	3 quotations	Procurement Services	Head of Procurement
£25,000 to OJEU threshold for supplies and services ³ £25,000 to £1m for works	4 tenders	Procurement Services	Single Tender Action a Authorised by Director of Finance
Above OJEU threshold for supplies and services ³ to £1m	5 tenders	Procurement Services	Single tender action prohibited
Above OJEU threshold for works ⁴	Procured via Designed for Life: Building for Wales	Procurement Services	Single tender action prohibited

Over £1m (other than D4L)	WG approval required	Procurement Services	-
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¹ Total value inclusive of VAT.

² Subject to existence of suitable suppliers

³ Threshold from January 2022 for Supply and Services is £213,477

⁴ Threshold from January 2022 for works is £5,336,937

⁵ Threshold from January 2022 for Light Touch Regime for Service is £663,540

SFI requirement		SFI Ref.	SFI responsibility	Authority Delegated to
D	Petty cash <ul style="list-style-type: none"> Purchases from petty cash are restricted in value and by type of purchase in accordance with instructions issued by the Director of Finance Petty cash records are maintained in a form as determined by the Director of Finance 	14.6.1	Director of Finance Director of Finance	Head of Corporate Finance Head of Corporate Finance
E	Approve petty cash expenditure <ul style="list-style-type: none"> i. up to £75 per transaction ii. over £75 per transaction 			i. Budget Manager ii. Director of Finance
F	<ul style="list-style-type: none"> The Chief Executive and Director of Finance shall ensure that the arrangements for financial control and financial audit of building and engineering contracts and property transactions comply with the guidance issued by the Welsh ministers. The technical audit of these contracts shall be the responsibility of the relevant Director as set out in the UHB's scheme of delegation 	14.6.2	Chief Executive and Director of Finance	Director of Planning

12. Capital investment, fixed asset registers and security of assets

SFI requirement		SFI Ref.	SFI responsibility	Authority Delegated to
A	(i) ensure that there is an adequate appraisal and approval process in place for determining capital expenditure priorities and the effect of each proposal upon plans	15.1.1	CEO	(i) to (v) Director of Finance
	(ii) management of all stages of capital schemes and for ensuring that schemes are delivered on time and to cost			
	(iii) ensure that any capital investment above the Welsh Ministers' delegated limit is not undertaken without approval of the Welsh Ministers and that confirmation of capital resources has been received;			(vi) Head of Capital Planning
	(iv) ensure that an annual capital programme is adopted by the Board prior to the commencement of the financial year			
	(v) ensure the availability of resources to finance all revenue consequences of the investment, including capital charges			
	(vi) ensure that any 3rd party use of NHS estate is properly controlled, reimbursed and reported			
B	The CEO will issue a scheme of delegation for capital investment management in accordance with the Welsh Ministers' guidance and the UHB's SOs.	15.1.7	CEO	See below

Capital Schemes funded by Discretionary Allocation

Discretionary Capital Programme Approvals		Gross Expenditure on Whole Project		
Approval / Sign Off ² by:	Initial Annual Discretionary Programme	New Approvals Schemes under £500k	Scheme over £500K to £1m	Schemes over £1m ¹
Executive Board			Agree project mandate and priority	
Service Group Manager or equivalent	Sign Statement of Need (SON) up to £50K	Sign Statement of Need (SON) up to £50K	-	-
Director of Operations (ILGs) Group Service Director or equivalent	Sign Statement of Need (SON) over £50K	Sign Statement of Need (SON) over £50K	Sign Statement of Need (SON) and BJC if requested by ECMG	Sign BJC
Executive Director / Director of Clinical Services	-	-	Sign BJC	Sign BJC
Director of Finance	-	-	Review and agreement	Review and agreement
Executive Capital Management Group (ECMG)	Approve	Approve	Approve BJC	Approve
Finance, Performance and Workforce Committee (FPW)	Noted	Noted	Noted	-
Health Board	-	-	-	Approve

¹ Projects over £1m need to get approval from the WG

² Signature indicates sufficient understanding and confidence in the details of the business case to confirm responsibility for support for the proposal

Capital Schemes funded by Welsh Government

Scheme under £1m	Scheme over £1m
Executive Team considers overall priorities and project mandates	
↓	↓
Scoping document submitted to WG followed by a scoping meeting with WG to jointly sign off	Scoping document submitted to WG followed by a scoping meeting with WG to jointly sign off
↓	↓
Business Justification Template signed off by Directorate manager and Executive Director	Strategic Outline Case signed off by ECMG and Health Board
↓	↓
ECMG Approve	Outline Business Case signed off by ECMG and Health Board
↓	↓
-	Full Business Case signed off by ECMG and Health Board
	↓
Submission to WG for approval	Final approval required from WG at each stage of Business Case process

SFI requirement	SFI Ref.	SFI responsibility	Authority Delegated to
C The Director of Finance shall issue procedures governing the financial management, including variations to contract of capital investment projects and valuation for accounting purposes	15.1.8	Director of Finance	See Below

Capital orders and payment authorisation

Delegated authority	Variations to Discretionary Schemes	Variations to Capital Schemes funded by WG ¹ (within Approved Sum)	Financial monitoring and reporting	Enter lease arrangement (all types) total value
Up to £5k	Assistant Director of Planning	External Project Manager (following agreement with the Head of Capital Planning)	Head of Capital Planning and Head of Finance	Up to £25k Head of Finance/Assistant Directors of Finance (ILGs)
Up to £20k	Director of Finance	Head of Capital Planning		Over £25k Director of Finance
Up to £50k	ECMG	Assistant Director of Planning		
Up to £100k	ECMG	Director of Finance		
Over £100k	ECMG	ECMG (Director of Finance to be one of the approvers)		

¹ Excludes major capital schemes procured through the National or Regional frameworks where a Project Board has been set up with executive level membership. These schemes follow specific delegations below

Any variations to Capital Schemes funded by WG that exceed the approved sum require further approval from WG
If further approval and funding is not provided by WG, the variations needs to be discussed at ECMG.

Delegated authority ¹¹	Variations to major capital schemes funded by WG (within Approved Sum). Applies only to schemes procured through the National or Regional frameworks where a Project Board has been set up with executive level membership	
Up to £5k	Internal Project Manager	External Project Manager can proceed with variations up to 5k if decision is required urgently and is immediately reported to the internal project manager or above Groups of variations should be managed within a monthly delegated authority which shall be a maximum of £25k
Up to £100k	Assistant Director of Planning	Generally only required In the absence of the Project Director. Groups of variations should be managed within a monthly delegated authority which shall be a maximum of £250k
Up to £100k	Project Director (or Programme Director/Deputy SRO if applicable to the scheme)	Groups of variations should be managed within a monthly delegated authority which shall be a maximum of £250k
Up to £250k	Director of Finance	Groups of variations should be managed within a monthly delegated authority which shall be a maximum of £500k
Over £250k	Project Board	Out of committee approval can be sought where the timing of meetings does not allow in line with the terms of reference for the Project Board

¹¹ Delegations apply if operating within existing overall scheme budget and does not impact in-year cash flow.

Any variation which impacts on the agreed financial outturn or the cash flow in- year requires approval from ECMG

SFI requirement	SFI Ref.	SFI responsibility	Authority Delegated to
D the maintenance of registers of assets, taking account of the advice of the D irector of Finance concerning the form of any register and the method of updating, and arranging for a physical check of assets against the asset register to be conducted periodically	15.3.1	CEO	Head of Finance Capital(Non ILG)

13. Stores and receipt of goods

SFI requirement		SFI Ref.	SFI responsibility	Authority Delegated to
A	(i)	16.2.1	CEO	Clinical Service Group Managers
	(ii)			Head of Medicines Management
	(iii)			Head of Estates

¹Directorate Managers may delegate the day-to-day responsibility to departmental officers and stores managers/keepers, subject to such delegation being entered in a record available to the Director of Finance

B	Stocktaking arrangements shall be agreed with the Director of Finance and there shall be a physical check covering all items in store at least once a year	16.2.4	Director of Finance	Head of Finance (Non ILG) /Assistant Directors of Finance (ILGs)
	Where a complete system of stores control is not justified, alternative arrangements shall require the approval of the Director of Finance	16.2.5	Director of Finance	Head of Finance (Non ILG) /Assistant Directors of Finance (ILGs)

14. Disposals and condemnations, losses and special payments

Ref	SFI requirement	SFI Ref	SFI responsibility	Authority delegated to
A	Disposals and condemnations <ol style="list-style-type: none"> Prepare detailed procedures for the disposal of assets, including condemnations, and ensure that these are notified to managers. All unserviceable articles shall be condemned or otherwise disposed of by an officer authorized for that purpose by the Director of Finance. 	17.1	Director of Finance	<ol style="list-style-type: none"> Head of Corporate Finance Following advice from appropriate heads of service (eg Clinical engineering, IM&T, Estates etc): <p>Estimated value:</p> <ul style="list-style-type: none"> up to £1,000 Clinical Service Group Managers /Corporate manager £1,000 to £10,000 Deputy Director of Finance over £10,000 Director of Finance

Ref	SFI requirement	SFI Ref	SFI responsibility	Authority delegated to
B	Losses and Special payments <ul style="list-style-type: none"> Ensuring procedural instructions on the recording of and accounting for losses and special payments are in place; and that all losses and special payments cases are properly managed in accordance with the guidance set out in the Assembly Government's Manual for Accounts. Ensure all financial aspects of losses and special payments cases are properly registered and maintained on the centralized Losses and Special Payments Register and that 'case write off' action is recorded on the system. The Audit Committee shall approve the writing off of losses or the making of special payments within delegated limits determined by Welsh Ministers and as set out in Schedule 3 of the SOs. Ensure that all losses and special payments are reported to the Audit Committee at every meeting 	17.2.2	Director of Finance	Head of Corporate Finance
		17.2.8	Director of Finance	Head of Corporate Finance
		17.2.9	Audit committee	See B1 Below
		17.2.13	Director of Finance	Head of Corporate Finance

B1	<p>Approve losses, write-offs and compensation payments due to:</p> <ul style="list-style-type: none"> i. losses of cash (theft, fraud, etc) ii. damage to buildings, fittings, furniture and equipment and property in stores and in use due to culpable cause (theft, fraud, arson) iii. extra contractual payments to contractors; iv. ex-gratia payments to patients and staff for loss of personal effects v. fruitless payments including abandoned capital schemes vi. ex-gratia payments - voluntary release payments to staff vii. bad debts and claims abandoned <ul style="list-style-type: none"> • No delegated approval over £50,000 – WG approval required 	<ul style="list-style-type: none"> i. Chief Executive/ Deputy Chief Executive (within delegated limits issued by Welsh Government - £50,000) ii. Director of Finance(up to £25,000) Chief Executive/ Deputy Chief Executive (>£25,000 to within delegated limits issued by Welsh Government - £50,000) iii. Director of Finance (within delegated limits issued by Welsh Government - £50,000) iv. ILG Nurse Directors (up to £10,000) Chief Executive/ Deputy Chief Executive (>£10,000 to within delegated limits issued by Welsh Government - £50,000) v. Director of Finance (up to £50,000) Chief Executive/ Deputy Chief Executive (> £50,000 to within delegated limits issued by Welsh Government - £250,000) vi. Remuneration Committee (within delegated limits issued by welsh Government- £50,000) vii. Head of Corporate Finance (<£1,000), Deputy Director of Finance (£1,000 to £10,000) Director of Finance (£10,000 to £25,000) Chief Executive (£25,000 to £50,000).
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B2	<p>Approve compensation payments made under legal obligation</p> <ul style="list-style-type: none"> Personal injury and medical negligence claims <ul style="list-style-type: none"> i. Up to £25,000 ii. £25,000 to £75,000 iii. £75,000 to £500,000 iv. £500,000 to £1m Employment matters <ul style="list-style-type: none"> i. up to £20,000 ii. £20,000 to £50,000 iii. over £50,000 Other matters 	<ul style="list-style-type: none"> Personal injury and medical negligence claims- On receipt of legal advice to pay <ul style="list-style-type: none"> i. Legal Services Manager ii. Assistant Director Legal Services and Concerns iii. Director of Corporate Governance iv. Chief Executive Employment claims – on receipt of legal advice/tribunal <ul style="list-style-type: none"> i. Deputy Director of Workforce & OD ii. Director of Workforce & OD iii. Chief Executive Chief Executive
B3	<p>Approve compensation payments made without legal obligation</p>	<p>Chief Executive / Deputy Chief Executive (within delegated limits issued by Welsh Government - £50,000)</p>

*Director of Nursing may delegate this authority to a Deputy during periods of absence.

Cwm Taf UHB – Additional delegations linked to the SFIs

15. Information Management & Technology

Ref	SFI requirement	SFI Ref	SFI responsibility	Authority delegated to
A	The UHB shall publish and maintain a Freedom of Information (FOI) publication scheme, or adopt a model publication scheme approved by the Information Commissioner.	18.1.2	Board	Board Secretary/Director of Corporate Services and Governance
B	<p>The Director of Planning & Performance has responsibility for:</p> <ul style="list-style-type: none"> the accuracy and security of the computerised data of the UHB ensuring 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 responsible Director for IM&T shall periodically seek assurances that adequate controls are in operation. ensuring that the risks to the UHB arising from the use of IT are effectively identified and considered and that appropriate action is taken to mitigate or control risk. This shall include the preparation and testing of an appropriate disaster recovery plan. 	<p>18.2.1</p> <p>18.4.1</p> <p>18.4.2</p> <p>18.5.1</p>	Director of Planning & Performance	No Delegation other than responsibilities for security of patient data is delegated to the Medical Director in the role of Caldicott Guardian
C	The Director of Finance shall ensure that new financial systems and amendments to current financial systems are developed in a controlled manner and thoroughly tested prior to implementation.	18.3.1	Director of Finance	Head of Finance(Non-ILG)

Cwm Taf UHB – Additional delegations linked to the SFIs

16. Patients' property

Ref	SFI requirement	SFI Ref	SFI responsibility	Authority delegated to
A	Ensuring patients or their guardians have appropriate information before or at admission, including that the UHB will not accept responsibility or liability for patients' property brought into Health Service premises, unless it is handed in for safe custody and a copy of an official patients' property record is obtained as a receipt	19.2.1	CEO	Heads of Nursing/ Heads of Service
B	Provide detailed written instructions on the collection, custody, investment, recording, safekeeping and disposal of patients' property	19.3.1	Director of Finance	Head of Finance (Non-ILG)

Cwm Taf UHB – Additional delegations linked to the SFIs

17. Funds held on Trust

Ref	SFI requirement	SFI Ref	SFI responsibility	Authority delegated to
A	The Schedule of Matters reserved to the Board and the Scheme of delegation make clear where decisions regarding the exercise of discretion regarding the disposal and use of funds are to be taken and by whom	20.2.2	Board	See below

Access to Charitable funds

Delegated authority	Approve expenditure from charitable funds
(i) Approval and setting up of designated fund signatories for new funds.	(i) Director of Finance
(ii) Approval of changes to fund signatories	(ii) Head of Finance/Assistant Directors of Finance (ILGs)
All expenditure requests for Charitable funds	To be submitted to Senior Finance Officer - Charitable Funds for initial review
Up to £5,000 (non-contentious) ¹	Designated fund signatories subject to confirmation from the Senior Finance Officer that sufficient funds are available
>£5k to £15k	Clinical Service Group Manager
>£15k to £30k	Operations or Group Director (ILGs) <u>Care Group Director</u> or Relevant Executive Director
>£30k to £50k	**Executive Director

Cwm Taf UHB – Additional delegations linked to the SFIs

Over £50k	Charitable Funds Committee
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¹The term “contentious” refers to the appropriateness of the expenditure either due to its nature or its compatibility with fund objectives and will be determined by the Senior Finance Officer - Charitable Funds during initial review.

****For the purpose of the Scheme of Delegation, Executive Director refers to the post holder who has budget responsibility delegated by the CEO.**

Investment of Charitable Funds

Investments	Authority
Investment of funds	
i. Decision on nature and value of investment ¹	i. Audit committee with guidance from appointed investment advisors and Director of Finance
ii. Placing of investment	ii. Charitable Funds Committee or Audit Committee via an authorisation to pay into the advisors’ investment account

¹The term “investment” refers to stocks, shares, bonds, property, unit funds or other instruments derived to generate a rate of return and/or valuation gains, other than interest bearing bank accounts

18. Retention of Records

Ref	SFI requirement	SFI Ref	SFI responsibility	Authority delegated to
A	CEO shall be responsible for maintaining archives for all records required to be retained in accordance with Welsh Ministers guidance.	21.1.1	CEO	Relevant Executive Director