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Health Board

Model Standing Orders

Reservation and Delegation of Powers

For Local Health Boards

ADOPTED BY POWYS TEACHING HEALTH BOARD – MAY 2024 Revised MARCH 2025
Schedule 1

MODEL SCHEME OF RESERVATION AND DELEGATION OF POWERS

This Schedule forms part of, and shall have effect as if incorporated in the Local Health Board Standing Orders

MODEL SCHEME OF RESERVATION AND DELEGATION OF POWERS

Introduction

As set out in Standing Order 2, the Board - subject to any directions that may be made by the Welsh Ministers - shall make appropriate arrangements for certain functions to be carried out on its behalf so that the day to day business of the LHB may be carried out effectively, and in a manner that secures the achievement of the organisation's aims and objectives. The Board may delegate functions to:

- i) A Committee, e.g., Quality and Safety Committee;
- ii) A sub-Committee, e.g., a locality based Quality and Safety Committee taking forward matters within a defined area. Any such delegation would, subject to the Board's authority, usually be via a main Committee of the Board;
- iii) A joint-Committee or joint sub-Committee, e.g., with other LHBs established to take forward matters relating to specialist services; and
- iv) Officers of the LHB (who may, subject to the Board's authority, delegate further to other officers and, where appropriate, other third parties, e.g. shared/support services, through a formal scheme of delegation)

and in doing so, must set out clearly the terms and conditions upon which any delegation is being made. These terms and conditions must include a requirement that the Board is notified of any matters that may affect the operation and/or reputation of the LHB.

The Board's determination of those matters that it will retain, and those that will be delegated to others are set out in the following:

- Schedule of matters reserved to the Board;
- Scheme of delegation to Committees and others; and
- Scheme of delegation to officers.

all of which form part of the LHB's SOs.

DECIDING WHAT TO RETAIN AND WHAT TO DELEGATE: GUIDING PRINCIPLES

The Board will take full account of the following principles when determining those matters that it reserves, and those which it will delegate to others to carry out on its behalf:

- Everything is retained by the Board unless it is specifically delegated in accordance with the requirements set out in Standing Orders or Standing Financial Instructions.
- The Board must retain that which it is required to retain (whether by statute or as determined by the Welsh Ministers) as well as that which it considers is essential to enable it to fulfil its role in setting the organisation's direction, equipping the organisation to deliver and ensuring achievement of its aims and objectives through effective performance management
- Any decision made by the Board to delegate functions must be based upon an assessment of the capacity and capability of those to whom it is delegating responsibility
- The Board must ensure that those to whom it has delegated powers (whether a Committee, partnership or individuals) remain equipped to deliver on those responsibilities through an ongoing programme of personal, professional and organisational development
- The Board must take appropriate action to assure itself that all matters delegated are effectively carried out
- The framework of delegation will be kept under active review and, where appropriate, will be revised to take account of organisational developments, review findings or other changes
- Except where explicitly set out, the Board retains the right to decide upon any matter for which it has statutory responsibility, even if that matter has been delegated to others
- The Board may delegate authority to act, but retains overall responsibility and accountability
- When delegating powers, the Board will determine whether (and the extent to which) those to whom it is delegating will, in turn, have powers to further delegate those functions to others.

HANDLING ARRANGEMENTS FOR THE RESERVATION AND DELEGATION OF POWERS: WHO DOES WHAT

The Board

The Board will formally agree, review and, where appropriate revise schedules of reservation and delegation of powers in accordance with the guiding principles set out earlier.

The Chief Executive

The Chief Executive will propose a Scheme of Delegation to Officers, setting out the functions they will perform personally and which functions will be delegated to other officers. The Board must formally agree this scheme.

In preparing the scheme of delegation to officers, the Chief Executive will take account of:

- The guiding principles set out earlier (including any specific statutory responsibilities designated to individual roles);
- Their personal responsibility and accountability to the Chief Executive, NHS Wales in relation to their role as designated Accountable Officer; and
- Associated arrangements for the delegation of financial authority to equip officers to deliver on their delegated responsibilities (and set out in Standing Financial Instructions).

The Chief Executive may re-assume any of the powers they have delegated to others at any time.

The Board Secretary

The Board Secretary will support the Board in its handling of reservations and delegations by ensuring that:

- A proposed schedule of matters reserved for decision by the Board is presented to the Board for its formal agreement;
- Effective arrangements are in place for the delegation of LHB functions within the organisation and to others, as appropriate; and
- Arrangements for reservation and delegation are kept under review and presented to the Board for revision, as appropriate.

The Audit, Risk and Assurance Committee

The Audit, Risk and Assurance Committee will provide assurance to the Board of the effectiveness of its arrangements for handling reservations and delegations.

Individuals to who powers have been delegated

Individuals will be personally responsible for:

- Equipping themselves to deliver on any matter delegated to them, through the conduct of appropriate training and development activity; and
- Exercising any powers delegated to them in a manner that accords with the LHB's values and standards of behaviour.

Where an individual does not feel that they are equipped to deliver on a matter delegated to them, they must notify the Chief Executive or the Board Secretary of their concern as soon as possible in so that an appropriate and timely decision may be made on the matter.

In the absence of an officer to whom powers have been delegated, those powers will be exercised by the individual to whom that officer reports, unless the Board has set out alternative arrangements.

If the Chief Executive is absent their nominated Deputy may exercise those powers delegated to the Chief Executive on their behalf. However, the guiding principles governing delegations will still apply, and so the Board may determine that it will reassume certain powers delegated to the Chief Executive or reallocate powers, e.g. to a Committee or another officer.

SCOPE OF THESE ARRANGEMENTS FOR THE RESERVATION AND DELEGATION OF POWERS

The Scheme of Delegation to officers referred to here shows only the "top level" of delegation within the LHB. The Scheme is to be used in conjunction with the system of control and other established procedures within the LHB.

SCHEDULE OF MATTERS RESERVED TO THE BOARD¹

THE BOARD		AREA	DECISIONS RESERVED TO THE BOARD
1	FULL	GENERAL	Board may determine any matter for which it has statutory or delegated authority in accordance with SOs (except for those decisions delegated to the NHS Wales Joint Commissioning Committee (the JCC)).
2	FULL	GENERAL	The Board must determine any matter that will be reserved to the whole Board. These will be set out within Schedule of Matters Reserved to the Board.
3	FULL	GENERAL	Approve the LHB's Governance Framework
4	FULL	OPERATING ARRANGEMENTS	<p>Approve, vary and amend:</p> <ul style="list-style-type: none"> ▪ Standing Orders; ▪ Standing Financial Instructions; ▪ Schedule of matters reserved to the LHB; ▪ Scheme of delegation to Committees and others; and ▪ Scheme of delegation to officers. <p>In accordance with any directions set by the Welsh Ministers.</p>
5	FULL	OPERATING ARRANGEMENTS	Ratify any urgent decisions taken by the Chair and the Chief Executive in accordance with Standing Order requirements
6	NO – Audit, Risk &	OPERATING ARRANGEMENTS	Formal consideration of report of Board Secretary on any non-compliance with Standing Orders, making proposals to the Board on any action to be taken.

¹ Any decision to reserve a matter, and the manner in which that retained responsibility is carried out will be in accordance with any regulatory and/or Welsh Government requirements.

	Assurance Committee		
7	FULL	OPERATING ARRANGEMENTS	Receive report and proposals regarding any non-compliance with Standing Orders, and where required ratify in public session any action required in response to failure to comply with SOs.
8	FULL	OPERATING ARRANGEMENTS	Authorise use of the LHB's official seal.
9	FULL	OPERATING ARRANGEMENTS	Approve the LHB's Values and Standards of Behaviour framework.
10	NO - Chair on behalf of Joint Committee, Vice-Chair on behalf of Joint Committee if Chair is declaring interest	ORGANISATION STRUCTURE & STAFFING	Require, receive and determine action in response to the declaration of Board members' interests, in accordance with advice received, e.g. From Audit, Risk and Assurance Committee or Board Secretary
11	FULL	STRATEGY & PLANNING	Determine the LHB's strategic aims, objectives and priorities
12	FULL	STRATEGY & PLANNING	Approve the LHB's key strategies and programmes related to: <ul style="list-style-type: none"> ▪ Population Health Needs Assessment and Commissioning Plan ▪ The development and delivery of patient and population centred health and care/clinical services ▪ Improving quality and patient safety outcomes ▪ Workforce and Organisational Development ▪ Infrastructure, including IM & T, Estates and Capital (including major capital investment and disposal plans)

13	FULL	STRATEGY & PLANNING	Approval of Joint Area Plan prepared under the direction of the Regional Partnership Board and in response to the population assessment
14	FULL	STRATEGY & PLANNING	Agreement of Well-being objectives in accordance with the requirements of the Well-being and Future Generations (Wales) Act 2015
15	FULL	STRATEGY & PLANNING	Approval of Well-being Plan prepared and agreed by the Public Service Board
16	FULL	STRATEGY & PLANNING	Approve the LHB's Integrated Medium Term Plan, including the balanced Medium-Term Financial Plan
17	FULL	STRATEGY & PLANNING	Approve the LHB's budget and financial framework (including overall distribution of the financial allocation and unbudgeted expenditure)
18	FULL	OPERATING ARRANGEMENTS	Approve the LHB's framework and strategy for performance management.
19	FULL	STRATEGY & PLANNING	Approve the LHB's framework and strategy for risk and assurance.
20	FULL	OPERATING ARRANGEMENTS	Ratify policies for dealing with raising concerns, complaints and incidents in accordance with the Putting Things Right and health and safety requirements.
21	FULL	OPERATING ARRANGEMENTS	Agree the arrangements for ensuring the adoption of standards of governance and performance (including the quality and safety of healthcare, and the patient experience) to be met by the LHB, including standards/ requirements determined by Welsh Government, regulators, professional bodies/others, e.g. National Institute of Health and Care Excellence (NICE)
22	FULL	STRATEGY & PLANNING	Approve the LHB's patient, public, staff, partnership and stakeholder engagement and co-production strategies.
23	FULL	OPERATING ARRANGEMENTS	Approve the introduction or discontinuance of any significant activity or operation. Any activity or operation shall be regarded as significant if the Board determines it so

			based upon its contribution/impact on the achievement of the LHB's aims, objectives and priorities
24	FULL	ORGANISATION STRUCTURE & STAFFING	Appointment of officer members of the Board (Chief Executive and Directors) in accordance with the provisions of the Regulations and in accordance with Ministerial Instructions
25	NO – Remuneration and Terms of Service Committee	ORGANISATION STRUCTURE & STAFFING	Termination of appointment and suspension officer members in accordance with the provisions of the Regulations and in accordance with Ministerial instructions
26	NO – Remuneration and Terms of Service Committee	ORGANISATION STRUCTURE & STAFFING	Consider appraisal of officer members of the Board (Chief Executive and Directors)

27	NO – Remuneration and Terms of Service Committee	ORGANISATION STRUCTURE & STAFFING	Approve the appointment, appraisal, discipline and dismissal of any other Board level appointments and other senior employees, in accordance with Ministerial Instructions e.g. the Board Secretary
28	NO – Remuneration and Terms of Service Committee	ORGANISATION STRUCTURE & STAFFING	Consider and approve redundancy and Early Release Applications, noting that where the settlement is £50,000 or above subsequent agreement of Welsh Government is required.
29	FULL	ORGANISATION STRUCTURE & STAFFING	Approve, [arrange the] review, and revise the LHB's top level organisation structure and corporate policies
30	FULL	ORGANISATION STRUCTURE & STAFFING	Appoint, [arrange the] review, revise and dismiss LHB Committees, including any joint-Committees directly accountable to the Board
31	FULL	ORGANISATION STRUCTURE & STAFFING	Appoint, equip, review and (where appropriate) dismiss the Chair and members of any Committee, joint-Committee or Group set up by the Board
32	FULL	ORGANISATION STRUCTURE & STAFFING	Appoint, equip, review and (where appropriate) dismiss individuals appointed to represent the Board on outside bodies and groups
33	FULL	ORGANISATION STRUCTURE & STAFFING	Approve the standing orders and terms of reference and reporting arrangements of all Committees, joint-Committees and groups established by the Board
34	NO – Audit, Risk & Assurance Committee	OPERATING ARRANGEMENTS	Approve arrangements relating to the discharge of the LHB's responsibility as a bailee for patients' property

35	FULL - except where Chapter 6 specifies appropriate to delegate to a committee, Chief Executive or Officers	OPERATING ARRANGEMENTS	Approve individual compensation payments in line with the provisions of Annex 4 to Chapter 6 of the Welsh Government Manual for Accounts
36	FULL - except where Chapter 6 specifies appropriate to delegate to a committee, Chief Executive or Officers	OPERATING ARRANGEMENTS	Approve individual cases for the write off of losses or making of special payments above the limits of delegation to the Chief Executive and officers
37	FULL	OPERATING ARRANGEMENTS	Approve proposals for action on litigation on behalf of the LHB
38	FULL	ORGANISATION STRUCTURE & STAFFING	Approve the arrangements relating to the discharge of the LHB's responsibilities as a corporate trustee of funds held on trust in accordance with the provision of Paragraph 20 of the Standing Financial Instructions.

39	FULL	STRATEGY & PLANNING	Approve new contracts for the LHB to provide, or to secure provision from providers for Personal Medical; Dental; Pharmacy; Optometry services to some or all of the LHB's population where the value exceeds the delegated limit of the Chief Executive
40	FULL	STRATEGY & PLANNING	Approve individual contracts (other than NHS contracts) above the limit delegated to the Chief Executive set out in the Standing Financial Instructions
41	FULL	PERFORMANCE & ASSURANCE	Approve the LHB's audit and assurance arrangements
42	FULL	PERFORMANCE & ASSURANCE	Receive reports from the LHB's Executive on progress and performance in the delivery of the LHB's strategic aims, objectives and priorities and approve action required, including improvement plans, as appropriate
43	FULL	PERFORMANCE & ASSURANCE	Receive reports from the LHB's Committees, groups and other internal sources on the LHB's performance and approve action required, including improvement plans, as appropriate
44	FULL	PERFORMANCE & ASSURANCE	Receive reports on the LHB's performance produced by external regulators and inspectors (including, e.g., Audit Wales, HIW, etc) that raise significant issue or concerns impacting on the LHB's ability to achieve its aims and objectives and approve action required, including improvement plans, taking account of the advice of Board Committees (as appropriate)
45	FULL	PERFORMANCE & ASSURANCE	Receive the annual opinion of the LHB's Chief Internal Auditor and approve action required, including improvement plans
46	FULL	PERFORMANCE & ASSURANCE	Receive the annual management report from the Auditor General for Wales and approve action required, including improvement plans
47	FULL	PERFORMANCE & ASSURANCE	Receive assurance regarding the LHB's performance against the Health and Care Standards for Wales and the arrangements for approving required action, including improvement plans.
48	FULL	REPORTING	Approve the LHB's Reporting Arrangements, including reports on activity and performance locally, to citizens, partners and stakeholders and nationally to the Welsh Government where required

49	FULL	REPORTING	Receive, approve and ensure the publication of LHB reports, including its Annual Report and annual financial accounts in accordance with directions and guidance issued
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DELEGATION OF POWERS TO COMMITTEES AND OTHERS²

Standing Order 2 provides that the Board may delegate powers to Committees and others. In doing so, the Board has formally determined the composition, terms of reference and reporting requirements in respect of any such Committees, in accordance with any regulatory requirements and any directions set by the Welsh Ministers.

The Board has delegated a range of its powers to the following Committees and others:

- The Audit, Risk and Assurance Committee
- The Patient Experience, Quality and Safety Committee
- The Workforce and Culture Committee
- The Delivery and Performance Committee
- The Planning, Partnerships and Public Health Committee
- The Charitable Funds Committee
- The Executive Committee
- The Remuneration and Terms of Service Committee

Sub-Committees

- The Pharmaceutical Applications Panel (reporting directly to Board)
- The Mental Health Act, Power of Discharge sub-Group (reporting to the Patient Experience, Quality and Safety Committee)

The scope of the powers delegated, together with the requirements set by the Board in relation to the exercise of those powers are as set out in i) Committee terms of reference, and ii) Formal arrangements for the delegation of powers to others (if applicable). Collectively, these documents form the LHB's Scheme of Delegation to Committees.

² As defined in Standing Orders

SCHEME OF DELEGATION TO EXECUTIVE DIRECTORS, OTHER DIRECTORS AND OFFICERS*

The LHB Standing Orders and Standing Financial Instructions specify certain key responsibilities of the Chief Executive, the Director of Finance and other officers. The Chief Executive's Job Description, together with their Accountable Officer Memorandum sets out their specific responsibilities, and the individual job descriptions determined for Executive Director level posts also define in detail the specific responsibilities assigned to those post holders. These documents, together with the schedule of additional delegations below and the associated financial delegations set out in the Standing Financial Instructions form the basis of the LHB's Scheme of Delegation to Officers.

Scheme of Delegation (May 2024)

Executive Director of Primary Care, Community and Mental Health (previously Executive Director of Operations/
Director of Community & Mental Health)

- Planned care and specialties.
- Learning Disability Services
- Mental Health Services (including CAMHS)
- Palliative Care Services
- Rehabilitation Services
- Intermediate Care Services
- Diabetes Services
- Respiratory Conditions Services
- Older Peoples Services
- Unscheduled Care
- Diagnostic Services
- Continuing Healthcare and Funded Nursing Care – Strategic and operational application
- Meeting of Access Targets / Referral to Treatment Times – Powys provider services
- Oversight of the performance of Ambulance Services
- Pathways of Care Delays
- Medicines Management [in conjunction with the Medical Director – professional]
- Site Coordination

- Primary Care
- Primary Care Out of Hours arrangements, including 111.
- Primary care development including Clusters (with support from CEO)
- Primary Care contractor performance management, including accreditation of enhanced services (with support from Medical Director)
- Removal of violent patients from GMS Services
- Pain Management Services / Powys Living Well service.
- Stroke and Neurological Services
- Responsible Officer- Cottage View

Executive Medical Director

- Professional lead for Medicines Management including Patient Group Directions - written instructions to help supply or administer medicines to patients, usually in planned circumstances.
- Research and Development - Including clinical trials.
- Professional Medical and Dental Workforce: Standards, Education, Regulation and Responsible Officer – Appraisal and Revalidation
- Caldicott Guardian
- Medical Legislation and National Policy
- Medical Leadership and Engagement
- Admission to the performers list
- Blood Safety and Quality
- Human Tissue issues
- Executive lead for Organ Donation
- Clinical Audit
- Resuscitation
- Mortality Review
- Development of and Engagement with Clinical Networks
- Individual Patient Commissioning
- Implementation and compliance with Medical Royal College Standards
- Implementation and compliance with National Institute for Clinical Excellence (NICE) guidelines.

- Strategic responsibility to Board for Clinical Informatics

Executive Director of Nursing, Quality, Women and Family Health (previously Executive Director of Nursing & Midwifery)

- Professional leadership of Nursing and Midwifery
- Lead Executive for implementation of the Duty of Quality and the Duty of Candour, quality of Health and Care Services, Patient Experience and Satisfaction, including raising Concerns – patients and public (Putting Things Right, NHS Redress), review and addressing of patient safety incidents,
- Infection Prevention and Control
- Decontamination
- Implementation and compliance with Patient Safety Alerts
- Executive lead for children and young people services
- Safeguarding Adults and Children
- (CYSUR & CWMPAS – the Regional Safeguarding Boards)
- Safeguarding, protecting and promoting the health and well-being of children, young people, vulnerable adults and victims of domestic abuse.
- PTHB actively contribute locally, regionally and nationally on a number of Safeguarding agendas including Child Protection, Adult Protection, Looked After Children, VAWDASV and Gender Based Violence, Community Safety Partnership, Youth Offending Board, Deprivation of Liberty Safeguards, MAPPA, Female Genital Mutilation, Modern Day Slavery and Trafficking and Child Sexual Exploitation.
- Deprivation of Liberty Safeguards
- Nutrition and Hydration
- Dementia
- Professional Nursing and Midwifery Workforce: Standards; Education; Regulation; Supervision of Midwives; and NMC Revalidation
- Women and Children’s Services including ALN.
- Integration Agenda with Powys County Council in relation to operational delivery: Children
- Nurse Staffing Act Compliance
- Nationally Reportable Incidents and Early Warning Notifications to WG.
- Review and Monitoring of regulation 28 with HM Coroner

- Responsible for PSOW actions and liaison with PSOW office.
- Lead Executive for relationship with HIW

Executive Director of Finance, Capital and Support Services (previously Executive Director of Finance, IT & Information Services)

- NHS Wales Statutory Financial Duties and requirements
- Professional leadership of Finance staff
- Financial Planning (Revenue and Capital)
- Financial Management, Monitoring and Reporting
- Financial Systems and Controls
- Provision of Financial Services to Directorates
- Procurement including tenders and post tender negotiations. Liaison with Shared Services to enable delivery of robust procurement services.
- Counter Fraud including PPV.
- Liaison with External Financial Auditors
- Charitable Funds Accounting
- Health and Care Research Wales financial arrangements including accounts.
- Asset Accounting
- Preparation of Annual Accounts
- Continuing Healthcare and Funded Nursing Care – financial authorisation up to £75k
- Strategic oversight Capital and Estates
- Facilities and Support Services
- Logistics
- Facilities and Support Services
- Fire Safety
- Agile working

Executive Director of Commissioning, Performance & Planning (previously Executive Director of Strategy, Primary Care and Partnerships)

- Commissioning development, monitoring and performance monitoring across the organisation
- Performance management across the organisation, including the development and implementation of the

Improving Performance Framework and integrated reporting.

- Meeting of Access Targets/ Referral to Treatment Times – commissioned services
- Executive lead for commissioning relationship with WHSCC and EASC
- Executive lead for liaison and engagement with third sector
- Executive lead for Planning (strategic and operational), including strategic planning with key partners, and partnership working.
- Executive lead for the organisation’s longer-term strategy, including its transition into a clinical service plan.
- Continuous engagement and consultation and liaison with Llais on those matters relating to service change (supported by the Deputy Director of Engagement and Communication).
- Board level lead for service change and public consultation (supported by the Deputy Director of Engagement and Communication).
- Compliance with national guidance on service delivery change - engagement and consultation
- Continuous engagement and consultation and liaison with Llais on those matters relating to service change.
- Executive Lead for the development of the organisation’s Integrated Medium Term Plan/Integrated Plan

Executive Director Public Health

- Health Improvement Strategy (as part of overarching health and care strategy)
- Health Needs Assessment
- Public Health Planning
- Public Health Initiatives linked to the NHS Wales Delivery Framework.
- Stop Smoking
- Vaccination and Immunisation
- Flu
- Obesity
- Screening
- Professional Public Health Workforce: Standards; Education; and Regulation
- Outbreak Control
- Public Health Monitoring and Surveillance
- Provision of Public Health Advice

- Production of Director of Public Health Annual Report
- Executive lead for Armed Forces and Veterans
- Civil Contingency, Emergency Planning, Business Continuity
- Executive lead for Prudent Health and Care
- Executive lead for the Well-being of Future Generations Act
- Strategic lead for co-ordination of RPB/PSB
- Carers

Executive Director of Allied Health Professions Health Sciences and Digital (previously Executive Director of Therapies & Health Science)

- Medical Devices including implementation and compliance with Medical Device safety Alerts.
- Professional Allied Health professionals and Healthcare Sciences and Social Workers: Leadership; Standards; Education; Point of Care Testing; and Regulation and Revalidation
- Data quality and clinical coding
- Delivery of Information management and Technology Strategy and Services
- Provision of Clinical Information Systems - hosting and enabling connectivity. This does not include system administration or management.
- Provision of ICT management systems
- Business Intelligence systems
- Provision of ICT infrastructure and telephony

Executive Director of People and Culture (previously Executive Director Workforce and OD)

- Professional Workforce and Organisational Development Workforce: Standards; Education; and Regulation
- Employment and staff relations
- Workforce Planning
- Workforce Policies and Practices
- Employee Health and Well-being including the provision of Occupational Health Services
- Employee Engagement
- Trade Union partnership arrangements
- Employee Record Management
- Workforce Information Management Systems

- Values and Standards of Behaviour Framework
- Raising Concerns
- Barring and Disclosure Arrangements
- Equality and Diversity & Human Rights
- Welsh Language provision
- Executive Lead for Violence & Aggression
- Volunteering
- Hosting arrangements – Health and Care Research Wales
- Wellbeing Guardian
- Speaking Up Safely Exec Lead
- Library Services
- Health and Safety

Director of Corporate Governance/ Board Secretary

- Risk Management
- Board Assurance Framework
- Board and Committee Arrangements and Annual Work Programme
- Board Development Programme
- Production of the Annual Governance Statement and Coordination of the Annual General Meeting
- Compliance with Standing Orders including delivery of the Board governance structure
- Legislation and Legal Services / provision of legal advice
- Use of the Common Seal
- Register of Interests and Gifts and Hospitality
- Policies Management
- Internal and External Audit Liaison
- Public inquiries, including COVID-19
- Board level lead for the Health Board's Charity
- Information Governance
- Records Management Framework
- Intellectual Property Rights and Commercialisation

- Corporate Communications
- Corporate Business support to the executive team, Chair, Vice Chair and Independent Members
- Professional advice to the Chair, CEO and Board on all matters relating to corporate governance

Director of Strategic Improvement and Transformation (previously Director of Performance & Commissioning)

- Service Improvement
- Senior Responsible Officer for North Powys
- Transformation & Value

This scheme only relates to matters delegated by the Board to the Chief Executive and their Executive Directors, together with certain other specific matters referred to in Standing Financial Instructions.

Each Executive Director is responsible for delegation within their department. They shall produce a scheme of delegation for matters within their department, which shall also set out how departmental budget and procedures for approval of expenditure are delegated.

SCHEME OF DELEGATION LINKED TO STANDING FINANCIAL INSTRUCTIONS

Introduction

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

This Schedule should not be read in isolation and needs to be used alongside the full set of Standing Financial Instructions at Schedule 3 of Standing Orders.

1. General Requirements, Overriding Financial Instructions and Financial Provisions and Obligations

Ref	SFI requirement	SFI Ref.	Accountability for deliver and compliance with the SFI sits with	Related responsibilities delegated to
1A	LHB's must agree Standing Financial Instructions (SFIs) for the regulation of their financial proceedings and business. They shall have the effect as if incorporated in the Standing Orders (SOs).	1.1.1	Board	Board Secretary working with the Director of Finance and IT to ensure SFIs are in place and agreed by the full Board.
1B	All financial procedures must be approved by the Director of Finance and Audit, Risk and Assurance Committee.	1.1.3	Director of Finance and IT Audit, Risk and Assurance Committee	No further delegation
1C	Should any difficulties arise in the interpretation of the any of the SFIs then advice of the Board Secretary and Director of Finance should be sought before acting.	1.1.4	All Board Members and Officers of the health board	Board Secretary is responsible for ensuring all Board members are aware of this requirement Executive Directors are responsible for ensuring that their teams are aware of this requirement.

Ref	SFI requirement	SFI Ref.	Accountability for deliver and compliance with the SFI sits with	Related responsibilities delegated to
1D	The users of SFIs should also be familiar with the provisions of the health boards SOs.	1.1.5	All Board Members and Officers of the Health Board who use the SFIs	Board Secretary is responsible for ensuring all Board members are aware of this requirement Executive Directors are responsible for ensuring that their teams are aware of this requirement.
1E	Full details of any non-compliance with SFIs and explanation of the reasons for non-compliance to be reported to the Director of Finance and Board Secretary.	1.2.1	All Board Members and Officers of the health board	Board Secretary is responsible for ensuring all Board members are aware of this requirement Executive Directors are responsible for ensuring that their teams are aware of this requirement.
1F	Director of Finance and Board Secretary to refer any matters of non-compliance to the Audit, Risk and Assurance Committee to formally consider the matter.	1.2.1	Director of Finance and IT/ Board Secretary Audit and	Head of Financial Services in the absence of the Director of finance and the Head of Corporate governance and Corporate Business in the

	Audit, Risk and Assurance Committee to make proposals to the Board on any action to be taken.		Assurance Committee	absence of the Board Secretary.
1G	The Board as a whole and the Chief Executive in particular, in their role as the Accountable Officer must ensure that the health board meets its statutory obligation to perform its functions within the available financial resources.	1.3.1	Board Chief Executive specifically	No further delegation. Guidance on the responsibility of budget holders is set out later in this document.

2. Responsibilities and delegation

Ref	SFI requirement	SFI Ref.	Accountability for deliver and compliance with the SFI sits with	Related responsibilities delegated to
2A	<p>The Board exercises financial supervision and control by:</p> <p>a) Formulating the Medium Term Financial Plan (MTFP) as part of the Integrated Medium Term Plan (IMTP);</p> <p>b) Requiring the submission and approval of budgets within approved allocations/overall funding</p> <p>c) Defining and approving essential features in respect of important policies and financial systems (including the need to obtain value for money and sustainability); and</p> <p>d) Defining specific responsibilities placed on Board members and LHB officers, and LHB committees and Advisory Groups as indicated in</p>	2.1.1	Board	<p>Coordination and management of the development of the IMTP - Director of Planning and Performance</p> <p>Coordination and development of the MTFP – Director of Finance and IT</p>

Ref	SFI requirement	SFI Ref.	Accountability for deliver and compliance with the SFI sits with	Related responsibilities delegated to
	the 'Scheme of delegation' document.			
2B	Responsibility for the health board's system of internal control.	2.2.2	Chief Executive	Executive Directors are responsible for ensuring adequate systems of internal control are in place across their areas of responsibility.
2C	It is the duty of the Chief Executive to ensure that Board members, health board officers, and all new appointees are notified of, and put in a position to understand their responsibilities within these SFIs	2.2.3	Chief Executive	Board Secretary and Director of Finance and IT are responsible for ensuring all Board members understand their responsibilities. Executive Directors are responsible for ensuring that their teams understand their responsibilities.

Ref	SFI requirement	SFI Ref.	Accountability for deliver and compliance with the SFI sits with	Related responsibilities delegated to
2D	<p>Director of Finance is responsible for:</p> <p>a) Implementing the health board’s financial policies and for coordinating any corrective action necessary to further these policies;</p> <p>b) Maintaining an effective system of internal financial control including ensuring that detailed financial procedures and systems incorporating the principles of separation of duties and internal checks are prepared, documented and maintained to supplement these instructions;</p> <p>c) Ensuring that sufficient records are maintained to show and explain the health board’s transactions, in order to disclose, with reasonable accuracy, the financial position of the health board at any time; and</p> <p>d) Without prejudice to any other functions of the health board, and Board members and health board officers, the duties of the Director of Finance include:</p>	2.3.1	Director of Finance and IT	<p>Head of Financial Services</p> <p>Head of Financial Services, Financial Business Partners and Management Accountants.</p> <p>Head of Financial Services, Financial Business Partners and Management Accountants.</p> <p>No further delegation</p>

Ref	SFI requirement	SFI Ref.	Accountability for deliver and compliance with the SFI sits with	Related responsibilities delegated to
	<p>(i) the provision of financial advice to other Board members and health board officers, and health board committees and Advisory Groups,</p> <p>(ii) the design, implementation and supervision of systems of internal financial control, and</p> <p>(iii) the preparation and maintenance of such accounts, certificates, estimates, records and reports as the health board may require for the purpose of carrying out its statutory duties.</p>			
2E	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 and IT	Head of Financial Services
2F	<p>All Board members and health board officers, and health board Committees and Advisory Groups, severally and collectively, are responsible for:</p> <p>a) The security of the property of the health board;</p> <p>b) Avoiding loss;</p> <p>c) Exercising economy, efficiency and</p>	2.4.1	All Board members, officers, Committees and Advisory Groups	No further delegation

Ref	SFI requirement	SFI Ref.	Accountability for deliver and compliance with the SFI sits with	Related responsibilities delegated to
	sustainability in the use of resources; and d) Conforming to the requirements of SOs, SFIs, Financial Procedures and the Scheme of delegation.			
2G	Any contractor or employee of a contractor who is empowered by the health board to commit the health board to expenditure or who is authorised to obtain income shall be covered by the SFIs. It is the responsibility of the Chief Executive to ensure that such persons are made aware of this.	2.5.1	Chief Executive	Executive Directors are responsible for ensuring this is understood by contractors working in their area.

3. Audit, Fraud and Corruption, and Security

Ref	SFI requirement	SFI Ref.	Accountability for deliver and compliance with the SFI sits with	Related responsibilities delegated to
3A	In accordance with SOs the Board shall formally establish an Audit, Risk and Assurance Committee (or equivalent) with clearly defined terms of reference.	3.1.1	Board	No further delegation. Board Secretary will support the establishment of the Committee and ensure clear terms of reference are in place.
3B	Audit, Risk and Assurance Committee Committee to follow the guidance set out in the NHS Wales Audit Committee Handbook. <i>Note: revised guidance has been issued by Treasury since model SFIs issued. Audit and Assurance Committees should follow this guidance.</i>	3.1.1	Chair of Audit, Risk and Assurance Committee	No further delegation. Chair of Audit, Risk and Assurance Committee to be supported by Board Secretary.
3C	Ensuring there are arrangements in place to review, evaluate and report on the effectiveness of internal financial control, including the	3.2.1 (a)	Chief Executive	Board Secretary

Ref	SFI requirement	SFI Ref.	Accountability for deliver and compliance with the SFI sits with	Related responsibilities delegated to
	establishment of an effective Internal Audit function.			
3D	Ensuring that the Internal Audit function meets the NHS mandatory audit standards in accordance with the internal audit manual and provides sufficient independent and objective assurance to the Audit and Assurance Committee and the Accountable Officer.	3.2.1 (b)	Chief Executive supported by Board Secretary	Shared Services – Director of Audit and Assurance Services Head of Internal Audit
3E	Deciding at what stage to involve the police in cases of misappropriation and other irregularities not involving fraud or corruption	3.2.1 (c)	Chief Executive	Board Secretary and Director of Finance and IT
3F	Ensuring that an annual Internal Audit report is prepared for the consideration of the Audit Committee and the Board.	3.2.1 (d)	Chief Executive	Head of Internal Audit
3G	The health board’s Audit Committee must ensure that a cost effective external audit service is delivered.	3.4.1	Audit and Assurance Committee	No further delegation. Board Secretary and Director of Finance to support the Audit, Risk and Assurance Committee. Board Secretary to

Ref	SFI requirement	SFI Ref.	Accountability for deliver and compliance with the SFI sits with	Related responsibilities delegated to
				ensure review scheduled in to the Committees work programme.
3H	The Auditor General's representative should be invited to attend every Audit Committee.	3.4.2	Board Secretary	Head of Corporate Governance and Corporate Business
3I	The Audit, Risk and Assurance Committee should formally consider and review the external auditors audit strategy.	3.4.4	Audit, Risk and Assurance Committee	No further delegation. Board Secretary to ensure review scheduled in to the Committees work programme.
3J	The Audit, Risk and Assurance Committee should consider the annual audit plan prepared by the external auditors and the associated fees. The Audit, Risk and Assurance Committee should consider material changes to the annual audit plan.		Audit, Risk and Assurance Committee	No further delegation. Board Secretary to ensure review scheduled in to the Committees work programme
3K	The health board will provide the Auditor General and his representatives with whatever facilities are necessary to facilities audits, including accommodation and access to IT facilities.	3.4.8	Director of Finance and IT	Head of financial Services

Ref	SFI requirement	SFI Ref.	Accountability for deliver and compliance with the SFI sits with	Related responsibilities delegated to
3L	The Chief Executive and Director of Finance shall monitor and ensure compliance with Directions issued by the Welsh Ministers on fraud and corruption.	3.5.1	Chief Executive and Director of Finance and IT	No further delegation The Director of Finance and IT will be responsible for regular liaison with Counter Fraud Services
3M	The health board shall nominate a suitable person to carry out the duties of the Local Counter Fraud Specialist.	3.5.2	Board	Director of Finance and IT to put arrangements in place. Audit, Risk and Assurance Committee to review adequacy of arrangements.
3N	Local Counter Fraud Specialist to provide a written report to the Director of Finance and Audit, Risk and Assurance Committee at least annually, on counter fraud work within the health board	3.5.4	Local Counter Fraud Specialist	No further delegation. Board Secretary to ensure report scheduled in to the work programme of the Audit, Risk and Assurance Committee.

Ref	SFI requirement	SFI Ref.	Accountability for deliver and compliance with the SFI sits with	Related responsibilities delegated to
3O	The health board must participate in the annual National Fraud Initiative.	3.5.5	Director of Finance and IT	No further delegation
3P	The Audit, Risk and Assurance Committee should consider the health board's participation in additional dataset matching in order to support the detection of fraud across the whole public sector.	3.5.5	Audit, Risk and Assurance Committee	No further delegation Director of Finance and IT to provide advice to the Committee. Board Secretary to ensure discussion scheduled in the Committee work programme.
3Q	The health board Chief Executive will monitor and ensure compliance with Directions issued by the Welsh Ministers on NHS security management.	3.6.1	Chief Executive	Director of Primary and Community Care and Mental Health
3R	The Chief Executive has overall responsibility for controlling and co-ordinating security.	3.6.2	Chief Executive	Director of Primary and Community Care and Mental Health

4. Allocations and Financial Duty

Ref	SFI requirement	SFI Ref.	Accountability for deliver and compliance with the SFI sits with	Related responsibilities delegated to
4A	<p>The Director of Finance of the LHB will:</p> <ul style="list-style-type: none"> a) 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; b) Ensure that any ring-fenced or non-discretionary allocations are disbursed in accordance with Welsh Ministers' requirements; c) Periodically review any assumed in-year allocations to ensure that these are reasonable and realistic; and d) Regularly update the Board on significant changes to the initial allocation and the application of such funds. 	4.0.2	Director of Finance and IT	No further delegation

Ref	SFI requirement	SFI Ref.	Accountability for deliver and compliance with the SFI sits with	Related responsibilities delegated to
4B	The Chief Executive has overall executive responsibility for the health board's activities and is responsible to the Board for ensuring that it meets its financial duty.	4.0.3	Chief Executive	Executive Directors

5. Integrated Planning

Ref	SFI requirement	SFI Ref.	Accountability for deliver and compliance with the SFI sits with	Related responsibilities delegated to
5A	The Chief Executive will compile and submit to the Board, on an annual basis, the rolling 3 year Integrated Medium Term Plan.	5.1.3	Chief Executive	Director of Planning and Performance
5B	The Board approved Integrated Medium Term Plan will be submitted to the Welsh Government in line with the requirements of the Integrated Planning Framework.	5.1.3	Board	Chief Executive on Board's behalf
5C	The Board will: <ul style="list-style-type: none"> a) Approve the Integrated Medium Term Plan (IMTP) prior to the beginning of the financial year of implementation. b) Approve a balanced Medium Term Financial Plan (MTFP) as part of the Integrated Medium Term Plan, which meets all probity and value for money requirements; and c) Prepare and agree with the Welsh Government a robust and sustainable recovery plan in accordance with Welsh Ministers' guidance where the LHB plan is 	5.2.2	Board	Performance & Resources Committee will scrutinise the draft IMTP and MTFP and make recommendations to the Board.

Ref	SFI requirement	SFI Ref.	Accountability for deliver and compliance with the SFI sits with	Related responsibilities delegated to
	not in place or in balance.			

6. Budgetary Control, Delegation and Reporting

Ref	SFI requirement	SFI Ref.	Accountability for deliver and compliance with the SFI sits with	Related responsibilities delegated to
6A	Prior to the start of the financial year the Director of Finance will, on behalf of the Chief Executive, prepare and submit budgets for approval and delegation by the Board.	6.1.1	Director of Finance and IT	Assistant Director of Finance
6B	Approval and delegation of budgets	6.1.1	Board	No further delegation for Directorate level budgets
6Bi	Approval of annual detailed budget for Directorates within budget approved by Board	Local	Executive Directors	No further delegation

Ref	SFI requirement	SFI Ref.	Accountability for deliver and compliance with the SFI sits with	Related responsibilities delegated to
6Bii	Delegation of budgets to budget holders including ensuring the appropriate documentation is completed and returned to the Finance Directorate	Local	Executive Directors	No further delegation
6Biii	Authorisation of expenditure above budget	Local	Chief Executive	Reported to Audit, Risk and Assurance Committee
6C	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 LHB 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 and IT	No further Delegation <i>[Head of Financial Planning supports preparation]</i>
6D	All budget holders must provide information as required by the Director of Finance to enable budgets to be compiled and managed appropriately.	6.1.3	Budget Holders	No further delegation
6E	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 Directorate level only -See Table 6E (1) below
6F	The Director of Finance has a responsibility to ensure that appropriate and timely financial	6.1.5	Director of Finance and IT	Head of Financial Services, Financial

Ref	SFI requirement	SFI Ref.	Accountability for deliver and compliance with the SFI sits with	Related responsibilities delegated to
	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.			Business Partners and Management Accountants.

Table 6E (1)

Delegated Matter	Delegated to:	Agreed by:
Delegation of the management of defined Revenue budgets to budget holders:		
i. Revenue budgets for Clinical Directorates	i. Budget Holders	i. Executive Directors
ii. Revenue budgets for Corporate directorates	ii. Budget Holders	ii. Executive Directors
iii. Reserves	iii. Director of Finance and IT	

Ref	SFI requirement	SFI Ref.	Accountability for deliver and compliance with the SFI sits with	Related responsibilities delegated to
6G	<p>The Chief Executive may delegate, via the Director of Finance, the management of a budget to permit the performance of a defined range of activities, including pooled budget arrangements under Regulations made in accordance with Section 33 of the NHS (Wales) Act 2006 (C.42).</p> <p>This delegation must be in writing and be accompanied by a clear definition of:</p> <ul style="list-style-type: none"> a) The amount of the budget; b) The purpose(s) of each budget heading; c) Individual or committee responsibilities; d) Arrangements during periods of absence; e) Authority to exercise virement; f) Achievement of planned levels of service; and g) The provision of regular reports. 	6.2.1	Chief Executive	Director of Finance and IT to ensure that the requirements of the delegation as set out in 6.2.1 are met
6H	Delegation to include the authority to exercise virement and budget transfers	6.2.1	Chief Executive	See Table 6H (1) below
6I	The Chief Executive, Director of Finance and delegated budget holders must not exceed the budgetary total or virement limits set by the	6.2.2	Chief Executive	Director of Finance and IT Budget Holders

	Board.			
6J	Non-recurring budgets should not be used to finance recurring expenditure without the authority in writing of the Chief Executive, as advised by the Director of Finance.	6.2.4	Chief Executive <i>[advised by Director of Finance and IT]</i>	No further delegation

Table 6H (1) -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	Director of Finance and IT in liaison with Welsh Government
Within a directorate; between departments	Executive Director	
Between directorates	Executive Director of both directorates and Director of Finance	
Budget transfers between Reserves and Delegated budgets	Director of Finance and IT	
Notification of virement to Directorate of Finance to ensure budget updated	Individual authorising the virement	

Ref	SFI requirement	SFI Ref.	Accountability for deliver and compliance with the SFI sits with	Related responsibilities delegated to
6K	Devise and maintain systems of budgetary control.	6.3.1	Director of Finance and IT	Head of Financial Services
6L	<p>Each Budget Holder is responsible for ensuring that:</p> <p>a) Any likely overspending or reduction of income that cannot be met by virement is not incurred without the prior consent of the Chief Executive subject to the Board’s scheme of delegation;</p> <p>b) The amount provided in the approved budget is not used in whole or in part for any purpose other than that specifically authorised, subject to the rules of virement;</p> <p>c) No permanent employees are appointed without the approval of the Chief Executive other than those provided for within the available resources and workforce establishment as approved by the Board.</p>	6.3.2	Budget Holders	No further delegation
6M	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	6.3.3	Chief Executive	Executive Directors

Ref	SFI requirement	SFI Ref.	Accountability for deliver and compliance with the SFI sits with	Related responsibilities delegated to
	Term Financial Plans.			
6N	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 maturing.	6.5.2	Chief Executive and Director of Finance and IT	No further delegation
6O	All information made available to the Welsh Ministers must be made available to the Board.	6.5.3	Chief Executive and Director of Finance and IT	No further delegation

7. Annual Accounts and Reports

Ref	SFI requirement	SFI Ref.	Accountability for deliver and compliance with the SFI sits with	Related responsibilities delegated to
7A	The Board must approve the health board's annual accounts prior to submission to the Welsh Ministers and the Auditor General for Wales in accordance with the annual timetable.	7.0.1	Board	No further delegation The Audit, Risk and Assurance Committee will provide advice and make recommendations.
7B	The Chair and Chief Executive have responsibility for signing the accounts on behalf of the health board. The Chief Executive has responsibility for signing the Annual Governance Statement and the Annual Quality Statement.	7.0.2	Chair and Chief Executive Chief Executive	No further delegation No further delegation
7C	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 and IT	No further delegation
7D	The health board's audited annual accounts must be adopted by the Board at a public meeting and	7.0.4	Board	No further delegation

Ref	SFI requirement	SFI Ref.	Accountability for deliver and compliance with the SFI sits with	Related responsibilities delegated to
	made available to the public.			<i>[Board Secretary responsible for ensuring arrangements for a public meeting are made]</i>
7E	The health board 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 to prepare draft for Board consideration.

8. Shared Services

Ref	SFI requirement	SFI Ref.	Accountability for deliver and compliance with the SFI sits with	Related responsibilities delegated to
8A	<p>A Memorandum of Co-operation and a Hosting Agreement must be in place between the health board's and Trusts within Wales setting out the obligations of NHS bodies to participate in the Shared Services Partnership Committee and to take collective responsibility for setting the policy and delivery of the Shared Services to the health service in Wales.</p> <p>The Hosting Agreement will provide the terms upon which Velindre NHS Trust provides the legal framework for the management and provision of Shared Services to the NHS in Wales.</p>	8.0.4	Board	Board Secretary
8B	The health board shall nominate a member of the Board to represent its interests on the Shared Services Committee	Local	Board	Director of Finance and IT

9. Banking arrangements

Ref	SFI requirement	SFI Ref.	Accountability for deliver and compliance with the SFI sits with	Related responsibilities delegated to
9A	<p>The Director of Finance is responsible for managing the LHB's banking arrangements and for advising the Board on the provision of banking services and operation of accounts. This advice will take into account guidance/ Directions issued from time to time by the Welsh Ministers.</p> <p>Health Board's should consider using the Government Banking Service (GBS) for its banking services unless there is sound reasoning and value for money considerations to justify the use of commercial accounts.</p>	9.1.1	Director of Finance and IT	No further delegation
9B	Approval of banking arrangements	9.1.2	Board	Audit, Risk and Assurance Committee
9C	<p>The Director of Finance is responsible for:</p> <p>a) Establishing bank accounts;</p> <p>b) Establishing additional commercial accounts where there is sound reasoning and a value for money assessment;</p>	9.2.1	Director of Finance and IT	Head of Financial Services

	<p>c) Establishing separate bank accounts for the LHB's non-exchequer funds;</p> <p>d) Ensuring payments made from bank accounts do not exceed the amount credited to the account except where arrangements have been made;</p> <p>e) Reporting to the Board all arrangements made with the health board's bankers for accounts to be overdrawn;</p> <p>f) Monitoring compliance with Welsh Ministers' guidance on the level of cleared funds.</p>			
9D	All accounts should be held in the name of the LHB. No officer other than the Director of Finance shall open any account in the name of the LHB or for the purposes of furthering LHB activities	9.2.2	Director of Finance and IT	No further delegation
9E	<p>The Director of Finance will prepare detailed instructions on the operation of bank accounts which must include:</p> <p>i. The conditions under which bank accounts is to be operated</p> <p>ii. Those authorised to sign cheques or other orders drawn on the health board accounts</p>	9.3.1	Director of Finance and IT	<p>i. Head of Financial Services</p> <p>ii. See Table 9E (1) below</p>
9F	The Director of Finance must advise the LHB's bankers in writing of the conditions under which each account will be operated.	9.3.2	Director of Finance and IT	No further delegation
9G	The Director of Finance shall approve security procedures for any cheques issued without a hand-written signature	9.3.3	Director of Finance and IT	Head of Financial Services

9H	The Director of Finance will review banking arrangements of the health board at regular intervals to ensure they reflect best practice and represent best value for money by periodically seeking competitive tenders for the health board's banking business.	9.4.1	Director of Finance and IT	Head of Financial Services
9J	The results of bank tendering exercises should be reported to Board	9.4..2	Director of Finance and IT	Board Secretary to ensure that such reports go to the Board.

Table 9E(1)

<p>Day to day operation of bank accounts:</p> <ul style="list-style-type: none"> i. maintain list of approved signatories for manual payments ii. approval to authorise automated payments: <ul style="list-style-type: none"> ▪ accounts payable* ▪ payroll ▪ primary care contractors iii. maintain list of bankline authorisers and users for internet banking transactions 	<ul style="list-style-type: none"> i. Head of Financial Services ii. NHSWSSP iii Head of Financial Services
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***after confirmation from Head of Finance that sufficient funds are available in the bank account**

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

Ref	SFI requirement	SFI Ref.	Accountability for deliver and compliance with the SFI sits with	Related responsibilities delegated to
10A	<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. (i) General Offices in Hospitals (ii) Other Locations</p>	10.2.1	Director of Finance and IT	Head of Financial Services (i) Assistant Directors of Community & Mental Health (ii) Heads of Department
10B	Ensuring that systems are in place for the prompt banking of all monies received.	10.2.1	Director of Finance and IT	Head of Financial Services
10C	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 (<i>Private patients, overseas visitors, income generation and other related services</i>)	10.3.1	Director of Finance and IT	No further delegation
10D	All officers must inform the Director of Finance promptly of money due arising from transactions	10.3.2	All Officers of the Health Board	Executive Directors are responsible for ensuring

Ref	SFI requirement	SFI Ref.	Accountability for deliver and compliance with the SFI sits with	Related responsibilities delegated to
	which they initiate/deal with, including all contracts, leases, tenancy agreements, private patient undertakings and other transactions.			that all their teams are aware of this requirement. Table 10D (1) sets out details of delegations related to fees and charges.
10E	The Director of Finance is responsible for the appropriate recovery action on all outstanding debts.	10.4.1	Director of Finance and IT	Director of Financial Services

Table 10D(1)

Fees and Charges:	Authority Delegated to
Long Term Agreements with other NHS bodies i. Approval and Signing of Long Term Agreements ii. Variations to the Agreement	i. Annual value up to £1m -Director of Finance and IT Annual value over £1m- Chief Executive ii. Up to £200,000- Director of Finance and IT

	Over £200,000 – Chief Executive
Service Level Agreements – NHS and Non NHS Agreement to provide services with an annual value: i. up to £50,000 ii. up to £100,000 iii. Over £100,000	i. Executive Directors ii. Relevant Director and Director of Finance and IT iii. Board
Individual NHS patient treatment charges outside of LTAs and SLAs Agreement to provide treatment: i. up to £5,000 ii. over £5,000	i. Assistant Director of Commissioning ii. Medical Director
Private Patients and overseas patients without reciprocal agreements i. pricing policy and price structure ii. payment policy, including use of deposits, income guarantees, arrangements with insurance companies	i. Director of Finance and IT ii. Director of Finance and IT
Commercial sponsorship offers (including funding contributions for staff & non staff costs) Agreement to receive commercial sponsorship or funding: i. up to £1,000 ii. over £1,000	i. Relevant Director and Director of Finance and IT ii. Relevant Director and Director of Finance plus Medical Director
Approval of concession arrangements	Director of Finance
Commercial and non commercial research projects and	

trials Agreement to receive funding: i. up to £50,000 ii. £50,000 to £100,000 iii. Over £100,000	i. Medical Director ii. Medical Director and Director of Finance and IT iii. Executive Committee
Agreements for non patient care fees and charges (e.g. tenancy agreements rents ,licences) Agreement to enter into agreements based on total annual income: i. up to £10,000 ii. Over £10,000	i. Relevant Director and Assistant Director of Finance ii. Chief Executive and Director of Finance and IT

Ref	SFI requirement	SFI Ref.	Accountability for deliver and compliance with the SFI sits with	Related responsibilities delegated to
10F	Debt recovery- (i) Appropriate recovery action on all outstanding debts. (ii) Ensuring the Welsh Ministers' guidance on disputed debt arbitration is strictly adhered to.	10.4.1	Director of Finance and IT	Head of Financial Services
		10.4.4	Chief Executive & Director of Finance and IT	Head of Financial Services

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

Ref	SFI requirement	SFI Ref.	Accountability for deliver and compliance with the SFI sits with	Related responsibilities delegated to
11A	Maintaining detailed policies and procedures for all aspects of grant funding- i.e. awarding of grants	11.1.1	Board <i>[Chief Executive is ultimately responsible]</i>	Director of Finance and IT
11B	LHBs are responsible for ensuring that appropriate procedures exist in relation to all the grants and funding for which they are accountable. They are also responsible for ensuring that any grant provided to an entity that engages in economic activity complies with the State aid rules.	11.3.2	Board <i>[Chief Executive is ultimately responsible]</i>	Director of Finance and IT
11C	LHBs are required to undertake due diligence checks on all potential delivery organisations to determine the economic and financial viability of any organisation(s) to administer public funds, and the reliability of the organisation(s).	11.3.3	Board <i>[Chief Executive is ultimately responsible]</i>	Director of Finance and IT
11D	The health board is responsible for ensuring that all third party delivery organisations comply with and adhere to the terms and conditions of the Funding Agreement.	11.3.5	Board <i>[Chief Executive is ultimately responsible]</i>	Director of Finance and IT

11E	The health board shall maintain detailed policies and procedures for all aspects of procurement including tendering and contracting processes.	11.4.1	Board <i>[Chief Executive is ultimately responsible]</i>	Director of Finance and IT
11F	EU Directives and UK regulations (the Public Contracts Regulations 2006 (2006/5)) exist covering the whole field of procurement, and these Directives set thresholds above which special and demanding procurement protocols and legal requirements apply. All Directors and their staff are responsible for seeing that those Directives are understood and fully implemented.	11.6.2	Executive Directors	Officers of the Health Board
11G	The health board shall adopt a Sustainable Development Strategy consistent with the NHS Wales Sustainable Development Strategy	11.7.1	Board	No further delegation Director of Planning and Performance – to develop on behalf of Board
11H	The health board shall benchmark its performance in sustainable procurement and produce annual action plans for improvement through its use of the Sustainable Procurement Assessment Framework (SPAF). For all contracts over £25,000, the health board shall take account of social, economic and	11.7.2	Board Board	Director of Finance Director of Finance

	must receive the written approval of the Welsh Ministers before being entered into.			
11K	Procurement Thresholds Minimum thresholds for quotes and competitive tendering arrangements are to be complied with.	11.10	Director of Finance	All Officers of the Health Board See Table 14(G)1
11L	Contract Management. The Chief Executive shall nominate an officer who shall oversee and manage each contract on behalf of the health board so as to ensure that obligations on delivery of business and operational objectives, and achieving value for money, are met	11.12.1	Chief Executive Officer	Executive Directors

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

12. Contracts for Health Care Services

Ref	SFI requirement	SFI Ref.	Accountability for deliver and compliance with the SFI sits with	Related responsibilities delegated to
12A	<p>The Chief Executive is responsible for ensuring the health board enters into suitable Health Care Agreements or individual patient commissioning agreements where appropriate.</p> <p>All agreements must be in accordance with the functions conferred on the LHB by the Welsh Ministers.</p>	<p>12.1.1</p> <p>12.1.3</p>	Chief Executive	See 12A (1) – 12 A(12) below
12B	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	Chief Executive	<p>Director of Finance and IT and Director of Planning and Performance</p> <p>Board Secretary to ensure that such reports are built in to work programmes.</p>

	Agreements for the purchase of services	Authority delegated to
12A (1)	Long Term Agreements with other NHS bodies i. Approval and Signing of the Long Term Agreement ii. Variations to the Agreement	i. Annual value up to £1m -Director of Finance and IT Annual value over £1m - Chief Executive ii. Up to £200,000- Director of Finance Over £200,000 – Chief Executive
12A (2)	Service Level Agreements - NHS Agreement to purchase services with an annual value: i. up to £50,000 ii. upto £100,000 iii. Over £100,000	i. Relevant Executive Director ii. Relevant Executive Director and Director of Finance and IT iii. Director of Finance and IT and Chief Executive Officer
12A (3)	Grant funding agreements Agreement to give a grant with a total value: i. up to £25,000 iii. Over £25,000	i. Relevant Assistant Director and Assistant Director of Finance ii. Relevant Executive Director and Director of Finance and IT
12A (4)	Individual Continuing Healthcare Placements /Packages Authorisation of individual placements/packages following recommendation from the CHC Panel : i. Annual value up to £30,000 ii. Annual value between £30,000 and £50,000	i. Chair of CHC Panel ii. Director of Nursing and Midwifery and

	<ul style="list-style-type: none"> iii. Annual value up to £75,000 iv. Annual value over £50,000 v. Agreement of changes to annual standard rates 	<p>Director of Finance, Information and IT</p> <ul style="list-style-type: none"> iii. Deputy Chief Executive iv. Chief Executive iv. Director of Nursing and Midwifery and Director of Finance and IT
12A (5)	<p>NHS Funded Nursing Care (FNC)</p> <ul style="list-style-type: none"> i. Authorisation of individual placements/packages following recommendation from a Nurse Assessor ii. Agreement of changes to annual standard rates 	<ul style="list-style-type: none"> i. FNC Co-ordinator ii. Director of Nursing and Midwifery and Director of Finance and IT
12A (6)	<p>Individual Patient Commissioning Agreements – NHS Providers and non NHS providers (including European Economic Area applications)</p> <p>Authorisation of individual agreements following recommendation from the IPC Panel:</p> <ul style="list-style-type: none"> i. Annual value up to £50,000 ii. Annual value over £50,000 	<ul style="list-style-type: none"> i. Medical Director ii. Chief Executive or Director of Finance and IT
12A (7)	<p>Primary Care Contracts – General Medical Services (excluding enhanced services)</p> <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 Primary and Community Care and Mental Health ii. Director of Primary and Community Care and Mental Health iii. Delegated to NHSWSSP

<p>12A (8)</p>	<p>Primary Care Contracts – General Medical Services (Enhanced services) i. Approval and Signing of agreements to provide Enhanced services ii. Variations to the Agreement iii. Payments under the Agreements</p>	<p>i. Director of Primary and Community Care and Mental Health ii. Director of Primary and Community Care and Mental Health iii. Delegated to NHSWSSP</p>
<p>12A (9)</p>	<p>Primary Care Contracts – General Dental Services i. Approval and Signing of the GDS contracts with practices ii. Amendments to the Agreement iii. Payments under the contracts</p>	<p>i. Director of Primary and Community Care and Mental Health ii. Director of Primary and Community Care and Mental Health iii. Delegated to NHSWSSP</p>
<p>12A (10)</p>	<p>Primary Care Contracts – Pharmaceutical Services (including enhanced and advanced services) i. Payments under the contracts or enhanced service agreements ii. Approval and signing of agreements to provide enhanced services</p>	<p>i. Delegated to NHSWWP ii. Director of Primary and Community Care and Mental Health</p>
<p>12A (11)</p>	<p>Primary Care Contracts – General Ophthalmic Services i. Payments under the contracts or enhanced service agreements ii. Approval and signing of agreements to provide enhanced services</p>	<p>i. Delegated to NHSWWP ii. Director of Primary and Community Care and Mental Health</p>

12A (12)	Providing services jointly with Local authorities under Section 32 and 33 of NHS (Wales) Act 2006. i. Approval and Signing of the pooled budget arrangements ii. Amendments to the Agreement	i. Chief Executive and Director of Finance and IT ii. Chief Executive and Director of Finance and IT
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13. Pay expenditure

Ref	SFI requirement	SFI Ref.	Accountability for deliver and compliance with the SFI sits with	Related responsibilities delegated to
13A	In accordance with SOs the Board shall establish a Remuneration and Terms of Service (RaTS) Committee, with clearly defined terms of reference and operating arrangements that specify which posts fall within its area of responsibility.	13.1.2	Board	Board Secretary to ensure Committee in place
13B	<p>The RaTS Committee shall report in writing to the Board the basis for its recommendations.</p> <p>The Board shall use the report as the basis for their decisions, but remain accountable for taking decisions on the remuneration and terms of service of Directors and other senior employees, in accordance with the framework set by the Welsh Ministers.</p> <p>Minutes of the Board's meetings should record such decisions.</p>	13.1.3	<p>RaTS Committee Chair</p> <p>Board</p> <p>Chair supported by Board Secretary</p>	<p>Board Secretary to ensure reports from the Committee go to the Board</p> <p>No further delegation</p> <p>No further delegation</p>
13C	The Board will after due consideration and amendment if appropriate approve proposals presented by the Chief Executive for the setting of remuneration and	13.1.4	Board	W&OD Committee

Ref	SFI requirement	SFI Ref.	Accountability for deliver and compliance with the SFI sits with	Related responsibilities delegated to
	terms of service for those employees and officers not covered by the Committee.			
13D	The workforce plans incorporated within the approved Integrated Medium Term Plan will form the funded establishment, i.e., the budget for all approved posts.	13.2.1	Board to approve	Director of Workforce and OD to coordinate All Executive Directors to contribute
13E	The funded establishment of any department may not be varied without the approval of the Chief Executive or an officer with delegated authority.	13.2.2	Chief Executive	Director of Finance and IT
13F	No Board member or health board 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	Chief Executive	Director of Finance and IT

	New Appointments, Bank and agency costs	Delegated Approval / Sign Off by:
B1	Employment of all fixed term and permanent staff – except medical	VR form signed by relevant Executive Director and Director of

	consultants	Finance
B2	Employment of fixed term and permanent staff (subject to any vacancy review policy in place)- Medical consultants only	VR form signed by Medical Director and Director of Finance
B3	Nursing bank and On contract agency	Ward Manager
B4	Nursing agency Off contract	Assistant Directors of Community & Mental Health
B5	Medical agency - On Contract - Off Contract	Assistant Directors of Community & Mental Health Medical Director
B6	Engage non-medical, non-payroll staff (subject to contracting and tax assurance rules):	Director of W&OD and Director of Finance to confirm agreement on off contract hires prior to any commitment.
	- Below £25k gross commitment	Assistant Directors of Community & Mental Health
	- up to £50k gross commitment	Executive Directors
	- > £50k gross commitment	Chief Executive

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

Ref	SFI requirement	SFI Ref.	Accountability for deliver and compliance with the SFI sits with	Related responsibilities delegated to
13G	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	Chief Executive	Director of Workforce & OD
13H	<p>The Director of Workforce and Organisational Development is responsibility for:</p> <ul style="list-style-type: none"> a) Securing the provision of an efficient, value for money payroll service; b) Specifying timetables for submission of properly authorised time records and other notifications; c) The final determination of pay and allowances including verification that the rate of pay and relevant conditions of service are in accordance with current agreements; d) Agreeing the timing and method of payment with the payroll service; e) Authorising the release of payroll data where in accordance with the provisions of the Data Protection Act 1998 (C.29); f) Verification and documentation of data; g) The timetable for receipt and preparation of payroll 	13.4.1	Director of Workforce & OD	No further delegation

Ref	SFI requirement	SFI Ref.	Accountability for deliver and compliance with the SFI sits with	Related responsibilities delegated to
	<p>data and the payment of employees and allowances;</p> <p>h) Maintenance of subsidiary records for superannuation, income tax, social security and other authorised deductions from pay;</p> <p>i) Security and confidentiality of payroll information;</p> <p>j) Checks to be applied to completed payroll before and after payment;</p> <p>k) A system to ensure the recovery from those leaving the employment of the LHB of sums of money and property due by them to the LHB.</p>			
13I	<p>The Chief Executive is responsible for:</p> <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> <p>iii) Maintenance and/or the authorisation of regular and independent reconciliation of pay control accounts.</p>	13.4.2	Chief Executive	<p>(i) Board Secretary</p> <p>(iii) Head of Financial Services</p> <p>(iii) Director of Finance and IT</p>
13J	Appropriately nominated managers have delegated responsibility for:	13.4.3	Line Managers	See Table 13J (1 to 11) below

Ref	SFI requirement	SFI Ref.	Accountability for deliver and compliance with the SFI sits with	Related responsibilities delegated to
	<p>a) Submitting time records, and other notifications in accordance with agreed timetables; b) Completing time records and other notifications in accordance with the contract of Service Level Agreements; and c) 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> <p>Where an employee fails to report for duty or to fulfil obligations in circumstances that suggest they have left without notice, the Director of Workforce and Organisational Development and/or Chief Executive must be informed immediately. In circumstances where fraud is suspected, this must be reported to the Director of Finance.</p>			

	General Payroll Approvals	Delegated to:
13J1	Grant additional increments to staff (outside of national T&C)	Director of Workforce and OD Noted at Remuneration Committee
13J2	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 Executive Director or equivalent)
13J3	Travel and subsistence claims (via e-expenses)	Line Manager
13J4	Annual leave applications	Line Manager
13J5	Applications for carry forward of annual leave to next year within A4C limits/Medical & Dental Handbook	Assistant Directors
13J6	Annual leave carry forward to next year in excess of A4C limits	Executive Directors
13J7	Buying additional annual leave	Assistant Directors
13J8	Study leave applications	Line Manager
13J9	Salary Sacrifice Scheme applications	Assistant Director of Workforce and OD
13J10	Specific benefits in kind <ul style="list-style-type: none"> i. Lease cars ii. Authorised phone user, remote access 	Executive Directors
13J11	Termination Forms	Locality General Managers or Assistant Directors

Ref	SFI requirement	SFI Ref.	Accountability for deliver and compliance with the SFI sits with	Related responsibilities delegated to
13K	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

<p>Approve departure under compromise agreement (VERs)</p> <ul style="list-style-type: none"> ○ Up to £50k ○ Above £50k 	<p>i. All applications to be approved by Executive Director and Director of Finance and IT.</p> <p>ii. All applications also need to be approved by the Remuneration and Terms of Service Committee</p> <p>iii. Any VER payments over £50k also need to be approved by WG.</p>
<p>Approve redundancy</p>	<p>i. Remuneration and Terms of Service Committee (subject to any Welsh Government approval mechanisms)</p>
<p>Approve departure under compromise agreement (other than VERs)</p>	<p>Relevant Executive Director and Director of W&OD*</p>

(subject to any Welsh Government approval mechanisms)

***Note: Any agreements that are deemed contentious to be referred to Remuneration and Terms of Service Committee**

14. Non Pay expenditure

Ref	SFI requirement	SFI Ref.	Accountability for deliver and compliance with the SFI sits with	Related responsibilities delegated to
14A	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 health board's scheme of delegation	14.1	Chief Executive	See Below for Oracle and non Oracle requisitions

Note: All Financial Limits shown below are exclusive of VAT

ORACLE REQUISITIONS	Authority Delegated to
Up to £10,000	Nominated Budget holder for specific cost centres
£1,000 to £25,000	Assistant Directors
Up to £50,000	Executive Directors
Up to £100,000	Chief Executive

Expenditure commitments made outside of the ORACLE requisition process		Authority Delegated to
Contracts for HealthCare Services	See Section 12	See Section 12
Pharmacy drugs ordered via Pharmacy system	i. Up to £50,000 ii. Up to £25,000	i. Medical Director ii. Head of Pharmacy and R&D
Pension Agency Invoices (Injury Benefit/Compensation)	i. > £100,000 ii. < £100,000	iii. Director of Finance and IT iv. Head of Financial Services
Legal Claims and Defence costs	i. >£50,000 ii. <£50,000 iii. <£25,000	i. Chief Executive ii. Director of Nursing and Midwifery iii. Assistant Director Quality
Legal Advice Requests	Board Secretary	Relevant Executive Director in absence of Board Secretary

Ref	SFI requirement	SFI Ref.	Accountability for deliver and compliance with the SFI sits with	Related responsibilities delegated to
14B	The Chief Executive will approve the level of non-pay expenditure and the operational scheme of	14.1.1	Chief Executive	No further delegation [Director of Finance to

Ref	SFI requirement	SFI Ref.	Accountability for deliver and compliance with the SFI sits with	Related responsibilities delegated to
	delegation and authorisation to budget holders and managers within the parameters set out in the health board's scheme of delegation.			<i>provide advice and support]</i>
14C	The Chief Executive will set out in the operational scheme of delegation and authorisation: a) The list of managers who are authorised to place requisitions for the supply of goods and services; and b) The maximum level of each requisition and the system for authorisation above that level	14.1.2	Chief Executive	Director of Finance and IT Head of Financial Services
14D	The Director of Finance is responsible for ensuring that the authorisation processes within any automated procurement systems is through the provision of electronic "signatures" authorised in accordance with the access and authority controls as set out in the operational scheme of delegation and authorisation.	14.1.3	Director of Finance	Head of Financial Services
14E	The Chief Executive shall set out procedures on the seeking of professional advice regarding the supply of goods and services.	14.1.4	Chief Executive	Director of Finance and IT
14F	The budget manager in choosing the item to be supplied (or the service to be performed) shall always obtain the best value for money for the	14.2.1	Budget Managers	All individuals authorised to requisition items

Ref	SFI requirement	SFI Ref.	Accountability for deliver and compliance with the SFI sits with	Related responsibilities delegated to
	<p>Ensure system of verification is in place</p> <p>Ensure system of certification of receipt of goods and services is in place</p>		<p>Director of Finance and IT</p> <p>Director of Finance and IT</p>	<p>Head of Financial Services</p> <p>Head of Financial Services</p>
14H	Be responsible for ensuring compliance with the Public Sector Payment policy ensuring that a minimum of 95 percent of creditors are paid within 30 days of receipt of goods or a valid invoice (whichever is later) unless other payment terms have been agreed.	14.3.1	Director of Finance and IT	Head of Financial Services
14I	<p>Ensure prepayments are only permitted where either:</p> <ul style="list-style-type: none"> ▪ The financial advantages outweigh the disadvantages (i.e. cash flows must be discounted to Net Present Value (NPV) using the National Loans Fund (NLF) rate plus 2%); 	14.4.1	Director of Finance and IT	Executive Directors

Ref	SFI requirement	SFI Ref.	Accountability for deliver and compliance with the SFI sits with	Related responsibilities delegated to
	<ul style="list-style-type: none"> ▪ It is the industry norm e.g. courses and conferences; ▪ · There is specific Welsh Ministers' approval to do so e.g. voluntary services compact. 			
14J	<p>Ensuring robust procedures are in place for dealing with exceptional circumstances prepayments can be made subject to:</p> <p>a) The appropriate Executive Director must provide, in the form of a written report, a case setting out all relevant circumstances of the purchase. The report must set out the effects on the LHB if the supplier is at some time during the course of the prepayment agreement unable to meet their commitments;</p> <p>b) The Director of Finance will need to be satisfied with the proposed arrangements before contractual arrangements proceed (taking into account the EU public procurement rules where the contract is above a stipulated financial threshold);</p>	14.4.2	Director of Finance and IT	Executive Directors
14K	The budget holder is responsible for ensuring that all items due under a prepayment contract are received and they must immediately inform the appropriate	14.4.2	Budget Holders	No further delegation

Ref	SFI requirement	SFI Ref.	Accountability for deliver and compliance with the SFI sits with	Related responsibilities delegated to
	Director or Chief Executive if problems are encountered.			
14L	Compliance with the requirements set out in SFI 14.6.1	14.6.1	Budget Holders	<p>Director of Finance and IT to put arrangements to ensure compliance</p> <p>Executive Directors to ensure all budget holders within their Directorate are aware of the requirements</p>
14M	<p>Petty cash</p> <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	<p>Director of Finance and IT</p> <p>Director of Finance and IT</p>	<p>Head of Financial Services</p> <p>Head of Financial Services</p>
	Approve petty cash expenditure			

Ref	SFI requirement	SFI Ref.	Accountability for deliver and compliance with the SFI sits with	Related responsibilities delegated to
	i. up to £20 per transaction ii. over £20 up to £100 per transaction			i. Budget Manager ii. Executive Director or Head of Financial Services
14N	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.	14.6.2	Chief Executive Director of Finance and IT Director of Planning and Performance	No further delegation No further delegation

Table 14 G(1)

Value1	Minimum Competition2	Lead	Waivers, or exceptions to tender rules
Up to £5,000	Best value to be shown	Budget owners	-
£5,000 to £24,999	3 quotations	Procurement Services	Head of Procurement or Director of Finance or CEO

£25,000 to OJEU threshold for supplies and services ³ £25,000 to £1m for works	4 tenders	Procurement Services	Single Tender Action Authorised by CEO
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	-

1 Total value excluding VAT.

2 Subject to existence of suitable suppliers

3 Threshold from January 2014 for Supply and Services is £111,676

4 Threshold from January 2014 for works is £4,322,012

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

Ref	SFI requirement	SFI Ref.	Accountability for deliver and compliance with the SFI sits with	Related responsibilities delegated to
15A	<p>(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</p> <p>(ii) management of all stages of capital schemes and for ensuring that schemes are delivered on time and to cost</p> <p>(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;</p> <p>(iv) ensure that an annual capital programme is adopted by the Board prior to the commencement of the financial year</p> <p>(v) ensure the availability of resources to finance all revenue consequences of the investment,</p>	15.1.1	Chief Executive	<p>(i) to (iv) Director of Environment</p> <p>(v) Director of Finance and IT</p> <p>(vi) Director of Environment</p>

	including capital charges (vi) ensure that any 3rd party use of NHS estate is properly controlled, reimbursed and reported			
15B	For every capital expenditure proposal the Chief Executive shall ensure: a) That a business case is produced in line with Welsh Ministers' guidance and where appropriate the 5-case Model; b) That the Director of Finance has certified professionally to the costs and revenue consequences detailed in the business case and involved appropriate LHB personnel and external agencies in the process.	15.1.2	Chief Executive	Board Secretary to undertake relevant checks
15C	For capital schemes where the contracts stipulate stage payments, the Chief Executive will issue procedures for their management in accordance with the Welsh Ministers' guidance.	15.1.3	Chief Executive	Director of Environment and Director of Finance and IT
15D	The Director of Finance shall issue procedures for the regular reporting of expenditure and commitment against authorised expenditure.	15.1.4	Director of Finance	Head of Financial Services
15E	The Chief Executive shall issue to the manager responsible for any scheme: a) Specific authority to commit expenditure;	15.1.6	Chief Executive <i>[with advice from Director of</i>	No further delegation

	b) Authority to proceed to tender; c) Approval to accept a successful tender.		<i>Finance and IT]</i>	
15F	The Chief Executive will issue a scheme of delegation for capital investment management in accordance with the Welsh Ministers' guidance and the health board's SOs.	15.1.7	Chief Executive <i>[with advice from Director of Finance and IT]</i>	See below

Capital Schemes funded by Discretionary Allocation

Discretionary Capital Programme Approvals		Gross Expenditure on Whole Project		
Approval / Sign Off by:	Initial Annual Discretionary Programme	New Approvals Schemes under £500k	Scheme over £500K to £1m	Schemes over £1m*
Executive Committee		Agree project mandate and priority		
Executive Director	Sign Statement of Need (SON)	Sign Statement of Need (SON)	Sign Statement of Need (SON) and BJC	Sign BJC
Director of Finance	Review and agreement	Review and agreement	Review and agreement	Review and agreement
Innovative Environments Group	Recommend	Approve	Recommend	Recommend
Performance & Resources Committee	Approve	Note	Recommend	Recommend
Health Board	Ratify	Note quarterly	Approve	Approve submission to WG

**** 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 Executive Director	Strategic Outline Case signed off by Innovative Environments Improvement Board , Strategy & Planning Committee and Board
Innovative Environments Group Discussion and recommendation	Outline Business Case signed off by Strategy & Planning Committee and Board
Full Business Case signed off by Strategy & Planning Committee and Board	Full Business Case signed off by Strategy & Planning Committee and Board
Submission to WG for approval	Final approval required from WG at each stage of Business Case process

Ref	SFI requirement	SFI Ref.	Accountability for deliver and compliance with the SFI sits with	Related responsibilities delegated to
15G	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 and IT	See Table 15G(1) below

15H	Approval for any new capital financing arrangements with the private sector, including Private Financing Initiatives and third party Developments, without the consent of the Welsh Ministers.	15.2.1	Welsh Ministers	No further delegation
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Table 15G(1)

Capital orders and payment authorisation

Delegated authority	Variations to Discretionary Schemes	Variations to Capital Schemes funded by WG (within Approved Sum)	Financial monitoring and reporting responsibility	Enter lease arrangement (all types) total value
Up to £25k	Associate Director of Capital & Estates (and reported to IEG)	Associate Director of Capital & Estates	Associate Director of Capital & Estates and Head of Financial Services	Director of Finance and IT
Up to £50k	Associate Director of Capital & Estates (and reported at IEG)	Associate Director of Capital & Estates	Director of Finance and IT	
Up to £100k	Chief Executive through IEG	CEO and Director of Finance and IT	CEO and Director of Finance and IT	
Over £100k	Performance & Resources Committee All changes over £100k also need to	Associate Director of Capital & Estates and CEO/ Deputy CEO All changes over £100k also need to be reported to IEG and Performance & Resources Committee		

	be reported to Board	
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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 and Capital Programme Board

Ref	SFI requirement	SFI Ref.	Accountability for deliver and compliance with the SFI sits with	Related responsibilities delegated to
15I	<p>The Chief Executive is responsible for the maintenance of registers of assets, taking account of the advice of the Director 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</p> <p>Each LHB shall maintain an asset register recording fixed assets. The minimum data set to be held within these registers shall be in accordance with the Welsh Ministers' guidance.</p> <p>Additions to the fixed asset register must be clearly identified to the delegated budget holder and be validated by reference to appropriate documentation</p>	15.3.1 – 15.3.3	Chief Executive	Head of Financial Services
15J	The Director of Finance shall approve procedures for reconciling balances on fixed assets accounts in ledgers against balances on fixed asset registers.	15.3.5	Director of Finance and IT	Head of Financial Services
15K	The overall control of fixed assets is the responsibility of the Chief Executive.	15.4.1	Chief Executive	Director of Finance and IT to put control procedures in place

15L	All discrepancies revealed by verification of physical assets to fixed asset register shall be notified to the Director of Finance.	15.4.3	Executive Directors	Officers of health board
15M	Approval of routine security practices in relation to NHS property as may be determined by the Board. Any breach of agreed security practices must be reported in accordance with agreed procedures.	15.4.4	Board All officers of health board	No further delegation

16. Stores and receipt of goods

Ref	SFI requirement	SFI Ref.	Accountability for deliver and compliance with the SFI sits with	Related responsibilities delegated to
16A	<p>i) overall responsibility for the control of stores shall be delegated to a senior officer by the Chief Executive.</p> <p>(ii) The control of any Pharmaceutical stocks shall be the responsibility of a designated Pharmaceutical Manager</p> <p>(iii) the control of any fuel oil and coal of a designated estates manage.</p>	16.2.1	Chief Executive	<p>To be confirmed</p> <p>Head of Pharmacy and R&D</p> <p>Head of Facilities</p>
16B	The responsibility for security arrangements and the custody of keys for any stores and locations shall be clearly defined in writing by the designated manager/Pharmaceutical Manager. Wherever practicable, stocks should be marked as health service property.	16.2.2	Director of Primary and Community care and Mental Health	To be confirmed
16C	Stock taking 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 Where a complete system of stores control is not	16.2.4	Director of Finance and IT	Head of Financial Services

	justified, alternative arrangements shall require the approval of the Director of Finance	16.2.5	Director of Finance and IT	Head of Financial Services
16D	<p>For goods supplied via NHS Wales Shared Services Partnership – Procurement Services (NWSSP-PS) or any other NHS purchasing and supplies agency central warehouses, the Chief Executive shall identify those authorised to requisition and accept goods from the store.</p> <p>The authorised person shall check receipt against the delivery note before forwarding this to the Director of Finance or authorised officer who shall satisfy himself that the goods have been received before accepting the recharge.</p>	16.3.1	<p>Chief Executive</p> <p>To be confirmed</p>	Director of Finance and IT

17. Disposals and condemnations, losses and special payments

Ref	SFI requirement	SFI Ref.	Accountability for deliver and compliance with the SFI sits with	Related responsibilities delegated to
17A	<p>Disposals and condemnations</p> <p>a. Prepare detailed procedures for the disposal of assets, including condemnations, and ensure that these are notified to managers.</p> <p>b. All unserviceable articles shall be condemned or otherwise disposed of by an officer authorised for that purpose by the Director of Finance.</p>	17.1	Director of Finance	<p>a. Head of Financial Services</p> <p>b. Following advice from appropriate heads of service (eg. Clinical engineering, IM&T, Estates etc.) items with original value obsolete, obsolescent, redundant, irreparable or cannot be repaired cost effectively may be condemned or otherwise disposed of in accordance with the delegations set</p>

				out in Table 17A(1)
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Table 17 A (1)

with current/estimated purchase price <£499	Budget Manager
with current purchase new price >£500	Relevant Executive Director
with current purchase new price > £5000	Director of Finance
Disposal of mechanical and engineering plant (subject to estimated income exceeding £1,000 per sale)	Director of Finance
Disposal of property or land	Board

Ref	SFI requirement	SFI Ref.	Accountability for deliver and compliance with the SFI sits with	Related responsibilities delegated to
17 B	<p>Losses and Special payments</p> <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 Welsh Government’s Manual for Accounts. ▪ Ensure all financial aspects of losses and special payments cases are properly registered and maintained on the centralised Losses and Special Payments Register and that ‘case write off’ action is recorded on the system. ▪ The Audit, Risk and Assurance Committee shall approve the 	17.2.2	Director of Finance and IT	Head of Financial Services
	17.2.8	Director of Finance and IT	Head of Financial Services	
	17.2.9	Audit, Risk and Assurance	See Table 17B(1) Below	

	<p>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.</p> <ul style="list-style-type: none"> ▪ Ensure that all losses and special payments are reported to the Audit, Risk and Assurance Committee at every meeting 	17.2.13	<p>Committee</p> <p>Director of Finance and IT</p>	<p>Head of Financial Services/Board Secretary</p>
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Table 17B(1)

Ratify fruitless payments (including abandoned capital schemes)	Audit, Risk and Assurance Committee
<£250k	Chief Executive on advice from the Director of Finance and IT
>£250k	Welsh Government
Ratify payment for clinical negligence and personal injury claims where legal advice has been obtained and guidance applied (negotiated settlements)	Audit, Risk and Assurance Committee
<£1m (including plaintiffs' costs)	Director of Nursing and Midwifery

>£1m	Welsh Government
Other clinical negligence and personal injury claims where legal advice has not been obtained	Audit, Risk and Assurance Committee
<£25k	Assistant Director of Nursing
£25k-£50k	Director of Nursing and Midwifery
>£50k	Welsh Government
Authority to write off losses and authorise special payments for bad debts and claims abandoned - private patients, overseas visitors and others.	
<£50k	Audit, Risk and Assurance Committee
>£50k	Welsh Government
Authority to write off damage to buildings, fittings, furniture and equipment, loss of equipment and property in stores and in use due to culpable causes (e.g. fraud, theft, arson) or other.	
<£50k	Audit, Risk and Assurance Committee

>£50k	Welsh Government
Authorise compensation payments made under legal obligation (excluding Clinical Negligence and Personal Injury)	Chief Executive
Authorise extra contractual payments to contractors.	
<£50k	Director of Finance
>£50k	Welsh Government
Authorise ex-gratia payments to patients and staff for the loss of personal effects	
<£1k	Small Claims Panel
<£10k	Director of Nursing
<£50k	Chief Executive
>£50k	Welsh Government
Authority to write off Losses of cash due to theft, fraud, overpayment of salaries, wages, fees and allowances	
<£50k	Audit, Risk and Assurance Committee
>£50k	Welsh Government

18. Information Management & Technology

Ref	SFI requirement	SFI Ref.	Accountability for deliver and compliance with the SFI sits with	Related responsibilities delegated to
18A	The health board 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
18B	<p>The responsible Director for IM&T has responsibility for:</p> <ul style="list-style-type: none"> ▪ the accuracy and security of the computerised data of the health board ▪ 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 	<p>18.2.1</p> <p>18.4.1</p>	<p>Director of Finance and IT</p> <p>Director of Finance and IT</p>	No Delegation other than responsibilities for security of patient data is delegated to the Medical Director in their role of Caldicott Guardian

Ref	SFI requirement	SFI Ref.	Accountability for deliver and compliance with the SFI sits with	Related responsibilities delegated to
	<p>data during processing, transmission and storage. The contract should also ensure rights of access for audit purposes.</p> <ul style="list-style-type: none"> ▪ 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 health board 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 	<p>18.4.2</p> <p>18.5.1</p>	<p>Director of Finance and IT</p> <p>Director of Finance and IT</p>	

Ref	SFI requirement	SFI Ref.	Accountability for deliver and compliance with the SFI sits with	Related responsibilities delegated to
	plan.			
18C	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 and IT	Head of Financial Services
18D	All purchases of hardware and software must be undertaken in line with agreed IT policies, Procedures and contractual arrangements.	Requirement in support of SFIs	All Officers	

Ref	SFI requirement	SFI Ref.	Accountability for deliver and compliance with the SFI sits with	Related responsibilities delegated to
18E	No purchase or installation may be made of IT software whether new or upgrades to existing systems other than via the IT department	Requirement in support of SFIs	All Officers	
18F	Purchases of routine desktop hardware should be procured via health board contracts. Purchasing of servers should always be via IT	Requirement in support of SFIs	All Officers	

19. Patients' property

Ref	SFI requirement	SFI Ref.	Accountability for deliver and compliance with the SFI sits with	Related responsibilities delegated to
19 A	Ensuring patients or their guardians have appropriate information before or at admission, including that the health board 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	Chief Executive Officer	Assistant Director of Community & Assistant Director of Mental Health
19 B	Provide detailed written instructions on the collection, custody, investment, recording, safekeeping and disposal of patients' property	19.3.1	Director of Finance and IT	Head of Financial Services

20. Funds held on Trust

Ref	SFI requirement	SFI Ref.	Accountability for deliver and compliance with the SFI sits with	Related responsibilities delegated to
20A	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 Table 20A(1) below

Table 20A(1) Access to Charitable Funds

Delegated authority	Approve expenditure from charitable funds
(i) Approval and setting up of designated fund signatories for new funds. (ii) Approval of changes to fund signatories	(i) Chief Executive/Director of Finance and IT (ii) Director of Finance and IT
All expenditure requests for Charitable funds	To be submitted to Head of Financial Services - for initial review
Up to £10,000 (non-contentious)*	Designated fund signatories subject to confirmation from the Head of Financial Services that sufficient funds are available
Over £10,000 (+ under £10,000 if deemed contentious)	Charitable Funds Committee

**The 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 Head of Financial Services during initial review.

Investment of Charitable Funds

Investments Authority	
Investment of funds	
i. Decision on nature and value of investment	i. Charitable Funds Committee with guidance from appointed investment advisors and Director of Finance and IT
ii. Placing of investment	ii. Director of Finance and IT

****The 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**

21. Retention of Records

Ref	SFI requirement	SFI Ref.	Accountability for deliver and compliance with the SFI sits with	Related responsibilities delegated to
A	The CEO shall be responsible for maintaining archives for all records required to be retained in accordance with Welsh Ministers guidance.	21.1.1	Chief Executive	Relevant Executive Director

22. Commercial and Non-Commercial Research and Development (additional section to SFIs local requirements)

Ref	SFI requirement	SFI Ref.	Accountability for deliver and compliance with the SFI sits with	Related responsibilities delegated to
Commercial R&D				
22A	Approval and execution (by signature), on behalf of the health board, of the contract between the health board and commercial Sponsor for the health board’s delivery of a clinical trial/investigation on behalf of the Sponsor.	Local	Medical Director	No further delegation
22B	Approval and execution (by signature) of service level agreements between the health board and other NHS organisations and/or third parties for support services required for commercial trials	Local	Medical Director	No further delegation

22C	Allocation of Commercial R & D Income	Local	Director of Finance and IT at direction of Medical Director	No further delegation
22D	Responsibility for delivering R&D activity in line with funded budgets and maintaining audit trail of expenditure to demonstrate that it is expended on R&D	Local	Medical Director	Health Board lead for trial
22E	Approval of expenditure to support Commercial R & D	Local	Medical Director	In line with SFIs
Non-commercial Funded R&D				
22F	Approval of health board led R & D Grant applications	Local	Director of Finance and IT on advice of Medical Director	No further delegation
22G	Approval of R & D Grant applications led by other organisations where health board commitment is up to £50k	Local	Medical Director	No further delegation
22H	Approval of R & D Grant applications led by other organisations where health board commitment is £50k-£100k	Local	Chief Executive	No further delegation
22I	Approval of R & D Grant applications led by other organisations where health board	Local	Board	No further delegation

	commitment is over £100k			
22K	Acceptance of health board R & D Grants	Local	Director of Finance and IT on advice of Medical Director	No further delegation