


Scheme of Delegation

The Tavistock and Portman  <small>NHS Foundation Trust</small>		Delegated Matter	Reference documents and notes	Chief Executive	Dir of Finance	Medical Director	Trust Director	Nurse Director	Dir of HR	Dir of Perf	Dir of Central Services	Trust Secretary	Dean	Clinical Director	Head of IM&T	Line/Dept Manager	Librarian	Supplies Officer	Budget holder	Petty Cash holder	Other	
1. Management of Budgets	Responsibility of keeping expenditure within budgets	SFIs Section 3																				
2. Maintenance / Operation of Bank Accounts		SFIs Section 5																				
3. Non Pay Revenue and Capital Expenditure/Requisitioning/ Ordering/ Payment of Goods & Services	a) Requisitions	SFIs Section 9																				
	b) Purchase Orders issued based on a requisition.																					
	c) Purchase Orders not covered by a requisition	Note: these are only permitted for stock items. The Supplies Officer is responsible for the storage and issue of these items, and therefore instigates the purchase of additional stock.																				
	d) Orders for Library books and services.																					
	e) Retaining documents to evidence that competitive quotations have been obtained (see also 5 below).																					
4. Capital Schemes	a) Selection of architects, quantity surveyors, consultant engineer and other professional advisors, within EU regulations	SFIs Section 11 & BDSO 7																				
	b) Financial monitoring and reporting on all capital scheme expenditure																					
5. Quotation and Tendering Procedures (see also 3(e) above)	a) Obtaining 2 written quotations for goods/services from £5,000 to £9,999	BDSO 7																				
	b) Obtaining 3 written quotations on the basis of a written specification for goods/services from £10,000 to £29,999																					
	c) Obtaining at least 3 written competitive tenders for goods/services above £30,000																					
	d) Waiving of the requirements to obtain quotations or tenders subject to SFIs																					
	e) Opening Tenders and Quotations																					
	f) Retaining records																					

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6. Contracts for NHS Clinical Services	a) Setting prices	SFIs Section 7																			
	b) Signing agreements																				
7. Setting of Fees for Training courses, Consultancy work and other services	a) New training courses	SFIs Section 6.2																			
	b) Annual review of fees for all courses																				Management Committee
	c) Daily fee rates (range) to be charged for all consultancy work																				Dir of Tavistock Consultancy
	d) Approval of fees for other services including the Tavistock Mulberry Bush Day Unit and the Monroe Young Family Centre																				
8. Expenditure of Charitable Funds	a) From grants received for specific purposes (e.g. research grants; donations for specific services)	SFIs Section 16 and the Terms of Reference for the Charitable Funds Committee																			
	b) From staff earnings funds																				
	c) From all other funds:																				
	• Up to £20,000																				
	• Above £20,000																				
9. Agreements/Licences	a) Letting of premises to outside organisations	SFIs Section 6.2.3																			
	b) Approval of rents to be paid	SFIs Section 9.2.6.1 To be based on professional assessment and subject to competitive tendering requirements)																			
10. Condemning & Disposal - items which are obsolete, obsolescent, redundant, irreparable or which cannot be repaired cost effectively	i) with current/estimated purchase new price <£200	BDSO 7 and SFIs Section 13																			


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	ii) with current purchase new price >£200 but expected sale value and current book value† both < £1,000	† = This will apply only to items with an original purchase price of at least £5,000, which have been capitalised on the Trust's asset register																				
		† = This will apply only to items with an original purchase price of at least £5,000, which have been capitalised on the Trust's asset register																				
	iv) expected sale value or current book value† > £5,000	† = This will apply only to items with an original purchase price of at least £5,000, which have been capitalised on the Trust's asset register																				Note: Subject also to competitive quotations or tendering
11. Losses, Write-offs & Compensation	a) Losses due to theft, fraud, overpayment & others Up to £50,000	FDL(98)02 and SFIs Section 13.2																				
	b) Fruitless Payments (including abandoned Capital Schemes) Up to £50,000																					
	c) Bad Debts and Claims Abandoned up to £50,000																					


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	d) Damage to buildings, fittings, furniture and equipment and loss of equipment and property in stores and in use, up to £50,000																					
	e) Compensation payments made under legal obligation (no limit)																					
	f) Extra Contractual payments to contractors, up to £50,000																					
	Ex-Gratia Payments																					
	g) Patients and staff for loss of personal effects																					
	Less than £100																					
	Between £100 and £50,000																					
	h) For clinical negligence up to £50,000 (including plaintiff's costs) for negotiated settlements following legal advice and in compliance with guidance																					
	i) For personal injury claims involving negligence, up to £50,000 (including plaintiff's costs), where legal advice has been obtained and guidance applied																					
	j) Other, up to £50,000 (but note that the Trust has no delegated authority to make any payments in cases of maladministration where there was no financial loss by the claimant)																					
12. Reporting of Incidents to the Police	a) Where a fraud is suspected	SFIs Section 13.2.2 and the Fraud Response Plan																				
	b) Violence, theft or any other offence or suspicion																					Central Service Manager or Receptionist
13. Petty Cash Disbursements	a) Expenditure up to £50	SFIs Section 9.2.6.11-12																				
Note. Items which cannot be covered from petty cash floats are to be submitted as cheque requests (e.g. for long distance patient fares) or invoices approved for payment)	b) Expenditure above £50 and up to £100 per item																					Financial controller

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14. Receiving Hospitality	Applies to both individual and collective hospitality in excess of £10 per item received	Staff Handbook, see also SFIs Section 9.2.6.4, BDSO 6, and BDSO 7.39																			Declaration required in Trust's hospitality register
15. Ensuring that Internal and External Audit recommendations are implemented		SFIs Section 2																			
16. Maintenance & Update of Trust Financial Procedures		SFIs Section 1.3.7																			
17. Investment of Funds	a) The Trust's exchequer funds.	SFIs Section 10.2																			
	b) Charitable funds.	SFIs Section 16 and the Terms of Reference for the Charitable Fund Committee																			
18. Application to the Department of Health for Advance of Public Dividend Capital																					Any 2 directors
19. Human Resources & Pay	a) Authority to fill funded post on the establishment with permanent staff.	Recruitment procedures																			
	b) Authority to appoint staff to post not on the formal establishment.	Recruitment procedures																			
	c) <u>Additional Increments</u> -The granting of additional increments to staff within budget	Agenda for Change Conditions of Service																			
	d) <u>Grading and other remuneration matters</u> -All requests shall be dealt with in accordance with Trust Procedure:	Trust regrading procedure																			
	i) Staff listed in "Duties (1)" of the Remuneration Committee Terms of Reference	Remuneration Committee Terms of Reference																			Remuneration Committee
	ii) All other staff																				
	e) <u>Establishments</u>																				
	i) Additional staff to the agreed establishment with specifically allocated finance.																				
	ii) Additional staff to the agreed establishment without specifically allocated finance.																				
	f) <u>Pay</u>																				

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	i) Authority to complete standing data forms affecting pay, new starters, variations and leavers																				HR officer
	ii) Authority to authorise overtime																				
	iii) Authority to authorise travel & subsistence expenses																				
	iv) Approval of Performance Related Pay Assessment																				
	g) Leave																				
	i) Approval of annual leave	Whitley Council Conditions of Service and Trust policies on Leave																			
	ii) Annual leave - approval of carry forward (up to maximum of 5 days or in the case of Ancillary & Maintenance staff as defined in their initial conditions of service).																				
	iii) Annual leave - approval of carry over in excess of 5 days.																				
	iv) Compassionate leave																				
	v) Special leave arrangements																				
	vi) Leave without pay																				
	vii) Time off in lieu (to be documented)																				
	viii) Maternity Leave - paid and unpaid																				HR officer
	h) <u>Sickness Absence</u>																				
	i) Extension of sick pay on half pay up to three months																				
	ii) Return to work part-time on full pay to assist recovery																				
	iii) Extension of sickness absence on full pay																				
	i) <u>Study Leave</u>																				
	i) Medical staff study leave																				Head of Medical Discipline
	ii) All other study leave																				
	j) <u>Removal Expenses and House Purchase, etc</u> - Authorisation of payment of removal expenses incurred by officers taking up new appointments (providing consideration was promised at interview) up to £2,000	Trust Staff Removal Policy																			

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	k) <u>Grievance Procedure</u> - All grievances cases must be dealt with strictly in accordance with the <u>Grievance Procedure</u>	Trust Grievance Procedure																			
	l) <u>Authorised Mobile Phone Users</u> - Requests for new posts to be authorised as mobile telephone users																				
	m) <u>Renewal of Fixed Term Contract</u>																				
	n) <u>Staff Retirement Policy</u> - Authorisation of extensions of contract beyond normal retirement age in exceptional circumstances																				
	o) <u>Redundancy</u>																				CEO & Remuneration Committee for senior staff
	p) <u>Ill Health Retirement</u> - Decision to pursue retirement on the grounds of ill-health																				
	q) <u>Dismissal</u>	Disciplinary Procedures																			Dismissing officer
	20. Authorisation of Sponsorship deals																				Management Committee
	21. Authorisation of Research Projects																				Research Committee and Research Ethics Committee
	22. Authorisation of Clinical Trials																				Research Ethics Committee
	23. Insurance Policies and Risk Management	SFIs Section 22																			
	24. Patients & Relatives Complaints	a) Overall responsibility for ensuring that all complaints are dealt with effectively																			CEO office manager
		b) Responsibility for ensuring complaints relating to a department are investigated thoroughly.																			Dept director
		c) Management of the legal aspects of complaints																			
	25. Relationship with the media																				
	26. Patient Services	Variation of clinic sessions																			
	27. Facilities for staff not employed by the Trust to gain practical experience	Professional Recognition, Honorary Contracts, & Insurance of Medical Staff.																			
		Work experience students																			
	28. Review of fire precautions																				
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29. Review of all statutory compliance with legislation on health and safety																						
30. Review of Medicines Inspectorate Regulations																						
31. Review of compliance with environmental regulations																						
32. Review of Trust's compliance with the Data Protection Act																						Informatics Manager
33. Review the Trust's compliance with the Access to Records Act																						
34. Membership management and governor elections		Constitution																				
35. The keeping of registers for the Declaration of Interests, the register of members and the		SO Annex 7 Code of Governance																				
36. Attestation of sealings in accordance with Standing Orders		BDSO 9																				Or officers nominated by CEO and FD
37. The keeping of a register of sealings, and reporting to the Board of Directors		BDSO 9																				
38. The keeping of the Gifts and Hospitality Register																						
39. Information Governance		SFIs Section 17																				Head of Informatics; Caldecott Guardian
40. Clinical Governance																						
41. Review of the Trust's compliance with Monitor's Code of Governance		Code of Governance																				
42. Review of the Trust's compliance with Monitor's Compliance Framework	Financial matters	Compliance Framework																				
	Governance declaration																					
	Membership matters																					
43. Review of the Trust's compliance with the Code of Conduct Colour Code		Code of Conduct																				

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44. Patient and Public Involvement		BD Mins Jul 07																				PPI lead
45. Risk		Compliance Framework																				
46. The review and keeping of the Assurance Framework and Risk Register		Compliance Framework																				
47. Borrowing		Operating Cash																				

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