

## Reservation of Powers to the Board & Delegation of Powers

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## 1 Decisions Reserved to the Board

Reference:	Reserved To:	Decision:
General Enabling Provision		
	Trust Board	<ul style="list-style-type: none"> <li>The Board may determine any matter, for which it has delegated or statutory authority, it wishes in full session within its statutory powers</li> </ul>
Regulations & Control		
	Trust Board	<ul style="list-style-type: none"> <li>Approve Standing Orders, a schedule of matters reserved to the Board and Standing Financial Instructions for the regulation of its proceedings and business</li> </ul>
SO 2.13	Trust Board	<ul style="list-style-type: none"> <li>Suspend Standing Orders</li> </ul>
SO 2.14	Trust Board	<ul style="list-style-type: none"> <li>Vary or amend the Standing Orders</li> </ul>
SO 4.2	Trust Board	<ul style="list-style-type: none"> <li>Ratify any urgent decisions taken by the Chairman and Chief Executive in public session</li> </ul>
SO 4	Trust Board	<ul style="list-style-type: none"> <li>Approve a scheme of delegation of powers from the Board to Committees</li> </ul>
SO 6.1	Trust Board	<ul style="list-style-type: none"> <li>Require and receive the declaration of Board Members' interests that may conflict with those of the Trust and determining the extent to which that Member may remain involved with the matter under consideration</li> </ul>
SO 6.4	Trust Board	<ul style="list-style-type: none"> <li>Require and receive the declaration of Officers' interests that may conflict with those of the Trust</li> </ul>
	Trust Board	<ul style="list-style-type: none"> <li>Approve arrangements for dealing with complaints</li> </ul>
	Trust Board	<ul style="list-style-type: none"> <li>Adopt the organisation structures, processes and procedures to facilitate the discharge of business by the Trust and to agree modifications thereto</li> </ul>

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Reference:	Reserved To:	Decision:
	Trust Board	<ul style="list-style-type: none"> <li>Receive reports from Committees including those that the Trust is required by Monitor or other regulation to establish and to take appropriate action on</li> </ul>
	Trust Board	<ul style="list-style-type: none"> <li>Confirm the recommendations of the Trust's Committees where the Committees do not have executive powers</li> </ul>
	Trust Board	<ul style="list-style-type: none"> <li>Approve arrangements relating to the discharge of the Trust's responsibilities as a corporate trustee for funds held on trust</li> </ul>
SO 3.4	Trust Board	<ul style="list-style-type: none"> <li>Establish terms of reference and reporting arrangements of all Committees and sub-Committees that are established by the Board</li> </ul>
SFI 17	Trust Board	<ul style="list-style-type: none"> <li>Approve arrangements relating to the discharge of the Trust's responsibilities as a bailer for patients' property</li> </ul>
SO 4.6	Trust Board	<ul style="list-style-type: none"> <li>Ratify or otherwise instances of failure to comply with Standing Orders brought to the Chief Executive's attention</li> </ul>
	Trust Board	<ul style="list-style-type: none"> <li>Discipline members of the Board or Employees who are in breach of statutory requirements or Standing Orders</li> </ul>
Appointments/Dismissals		
SO 3	Trust Board	<ul style="list-style-type: none"> <li>Appoint and dismiss Committees (and individual Members) that are directly accountable to the Board</li> </ul>
	Trust Board	<ul style="list-style-type: none"> <li>Appoint, appraise, discipline and dismiss Executive Directors (subject to Standing Order 1.2)</li> </ul>
SO 3	Trust Board	<ul style="list-style-type: none"> <li>Confirm appointment of Members of any Committee of the Trust as representatives on outside bodies</li> </ul>
SFI 9.1	Trust Board	<ul style="list-style-type: none"> <li>Approve proposals of the Remuneration Committee regarding Directors and senior Employees and those of the Chief Executive for staff not covered by the Remuneration Committee</li> </ul>
Strategy, Plans & Budgets		
	Trust Board	<ul style="list-style-type: none"> <li>Define the strategic aims and objectives of the Trust</li> </ul>

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Reference:	Reserved To:	Decision:
	Trust Board	<ul style="list-style-type: none"> <li>• Approve the Integrated Business Plan and Annual Business Plan</li> </ul>
	Trust Board	<ul style="list-style-type: none"> <li>• Approve proposals for ensuring quality and developing clinical governance in services provided by the Trust, having regard to any guidance issued by Monitor and other applicable regulators</li> </ul>
	Trust Board	<ul style="list-style-type: none"> <li>• Approve the Trust's policies and procedures for the management of risk</li> </ul>
	Trust Board	<ul style="list-style-type: none"> <li>• Approve Outline and Final Business Cases for Revenue and Capital Investments over £500,000</li> </ul>
	Trust Board	<ul style="list-style-type: none"> <li>• Approve budgets</li> </ul>
	Trust Board	<ul style="list-style-type: none"> <li>• Approve annually Trust's proposed organisational development proposals</li> </ul>
	Trust Board	<ul style="list-style-type: none"> <li>• Ratify proposals for acquisition, disposal or change of use of land and/or buildings</li> </ul>
	Trust Board	<ul style="list-style-type: none"> <li>• Approve Private Finance Initiative proposals</li> </ul>
	Trust Board	<ul style="list-style-type: none"> <li>• Approve the opening of bank accounts</li> </ul>
	Trust Board	<ul style="list-style-type: none"> <li>• Approve proposals on individual contracts (other than NHS contracts) of a revenue nature amounting to, or likely to amount to over £500,000 over the contract period, £1,000,000 in case of capital spend.</li> </ul>
	Trust Board	<ul style="list-style-type: none"> <li>• Approve proposals in individual cases for the write off of losses or making of special payments above the limits of delegation to the Chief Executive and Director of Finance (for losses and special payments) previously approved by the Board</li> </ul>
	Trust Board	<ul style="list-style-type: none"> <li>• Approve individual compensation payments over £50,000 except where these are made in accordance with NHS Litigation Authority instructions</li> </ul>
	Trust Board	<ul style="list-style-type: none"> <li>• Approve proposals for action on litigation against or on behalf of the Trust which are over £50,000 except where these are made in accordance with NHS Litigation Authority instructions</li> </ul>

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Reference:	Reserved To:	Decision:
SFI 21.2	Trust Board	<ul style="list-style-type: none"> <li>Review the use of NHS Litigation Authority risk pooling schemes (LPST/CNST/RPST)</li> </ul>
Policy Determination		
	Trust Board	<ul style="list-style-type: none"> <li>Approve the Health &amp; Safety Policy</li> </ul>
	Trust Board	<ul style="list-style-type: none"> <li>Approve the Risk Management Strategy</li> </ul>
Audit		
	Trust Board	<ul style="list-style-type: none"> <li>Receipt of the annual management letter received from the external auditor and agreement of proposed action, taking account of the advice, where appropriate, of the Audit Committee</li> </ul>
	Trust Board	<ul style="list-style-type: none"> <li>Receive an annual report from the Internal Auditor and agree action on recommendations where appropriate of the Audit Committee</li> </ul>
Annual Report & Accounts		
SFI 4.2	Trust Board	<ul style="list-style-type: none"> <li>Receipt and approval of the Trust's Annual Report and Accounts</li> </ul>
	Trust Board	<ul style="list-style-type: none"> <li>Receipt and approval of the Annual Report and Accounts for funds held on trust</li> </ul>
Monitoring		
	Trust Board	<ul style="list-style-type: none"> <li>Receipt of such reports as the Board sees fit from Committees in respect of their exercise of powers delegated</li> </ul>
	Trust Board	<ul style="list-style-type: none"> <li>Continuous appraisal of the affairs of the Trust by means of the provision to the Board as the Board may require from Directors, Committees and Officers of the Trust as set out in management policy statements. All monitoring returns required by the Department of Health and the Charity Commission shall be reported, at least in summary, to the Board</li> </ul>
	Trust Board	<ul style="list-style-type: none"> <li>Receive reports from the Director of Finance on financial performance against budget and business plan</li> </ul>

Reference:	Reserved To:	Decision:
	Trust Board	<ul style="list-style-type: none"><li>• Receive Trust wide annual reports including on clinical governance and infection control</li></ul>



## 2 Decisions & Duties Delegated by the Board to Committees

Reference:	Committee:	Decision:
SFI 2.1	Audit	<p>The Committee will:</p> <ul style="list-style-type: none"> <li>• Advise the Board on internal and external audit services;</li> <li>• Review the establishment and maintenance of an effective system of integrated governance, risk management and internal control, across the whole of the Trust's activities (both clinical and non-clinical), that supports the achievement of the organisation's objectives;</li> <li>• Monitor compliance with Standing Orders and Standing Financial Instructions;</li> <li>• Review schedules of losses and special payments;</li> <li>• Review the annual financial statements prior to submission to the Board</li> </ul>
SFI 9.1.2	Remuneration & Terms of Service Committee	<p>The Committee will:</p> <ul style="list-style-type: none"> <li>• Advise the Board about appropriate remuneration and terms of service for the Chief Executive and other Executive Directors including: <ul style="list-style-type: none"> <li>a. All aspects of salary (including any performance related elements and/or bonuses);</li> <li>b. Provisions for other benefits, including pensions and cars; and,</li> <li>c. Arrangements for the termination of employment and other contractual terms</li> </ul> </li> <li>• Make such recommendations to the Board on the remuneration and terms of service of Officer Members of the Board (and other senior Employees) to ensure they are fairly rewarded for their individual contribution to the Trust - having proper regard to the Trust's circumstances and performance and to the provisions of any national arrangements for such</li> </ul>

Reference:	Committee:	Decision:
		<p>members and staff where appropriate;</p> <ul style="list-style-type: none"> <li>• Monitor and evaluate the performance of individual Officer Members (and other senior Employees);</li> <li>• Advise on and oversee appropriate contractual arrangements for such staff including the proper calculation and scrutiny of termination payments taking account of such national guidance as is appropriate;</li> <li>• Report in writing to the Board the basis for its recommendations</li> </ul>
	<p>Quality Assurance Committee</p>	<p>The Committee will:</p> <ul style="list-style-type: none"> <li>• Scrutinise the assessment of quality risks identified in the Board Assurance Framework and ensure there is sufficient assurance that these risks are managed by the Trust including actions to eliminate gaps in controls, for example, ensuring that audit programmes address the key issues;</li> <li>• Review the performance of the Trust in meeting its relevant statutory and regulatory obligations including compliance with the NHS Act 2006, the Health and Social Care Act 2008 and the CQC (Registration) Regulations 2009;</li> <li>• Review the draft Trust Quality Account prior to adoption by the Trust Board;</li> <li>• Review the evidence to support the Trust's Quality Governance arrangements;</li> <li>• Monitor and review the Trust's Quality Performance Indicators in relation to quality and safety. The Committee will work with the Risk Management Committee to identify the most valuable quality indicators for the Board and maintain oversight of the clinical quality aspects of Risk Management Committee's work to ensure it has appropriate quality monitoring mechanisms in place for all levels of the organisation;</li> <li>• Seek assurances from management that lessons are being learnt and relevant changes made following incidents, including SIs, complaints and claims;</li> <li>• Review the corporate risk register (in accordance with Risk Policy) seeking assurance that clinical quality risks are</li> </ul>

Reference:	Committee:	Decision:
		<p>accurately reflected and that appropriate action plans in place to mitigate the risks;</p> <ul style="list-style-type: none"> <li>• Monitor the Trust’s compliance with the CQC’s Essential Standards of Quality and Safety;</li> <li>• Monitor and make recommendations on the adequacy and effectiveness of any aspects of the Trust’s performance as the Board may request, focusing mainly but not exclusively on outcome measures and liaising with the Finance and Investment and Audit Committees to minimise duplication;</li> <li>• Maintain oversight of quality related strategies</li> </ul>
	<p>Finance &amp; Investment Committee</p>	<p>The Committee will:</p> <ul style="list-style-type: none"> <li>• Review the annual budget, before submission to the Trust Board;</li> <li>• Review the capital budget, before submission to the Trust Board and review progress against it;</li> <li>• Consider the Trust’s medium term financial strategy, in relation to both revenue and capital;</li> <li>• Review proposals for major business cases and investment decisions and their respective funding sources and make recommendations to the Trust Board;</li> <li>• Maintain an oversight of, and obtain assurances on, the robustness of the Trust’s key income sources and contractual safeguards;</li> <li>• Review key areas of concern in financial performance as requested by the Board;</li> <li>• Scrutinise the systems and controls around the development and delivery of the Trust’s five year productivity programme, providing assurance to the Board on the effectiveness of those controls;</li> <li>• Commission regular reviews of the Trust’s key contracts with partners including Prime/ISS, Dalkia, BMI and RMH to ensure they continue to deliver benefits for patients</li> </ul>

Reference:	Committee:	Decision:
	Trust & Charitable Funds Committee	<p>The Committee will:</p> <ul style="list-style-type: none"> <li>• Act for the corporate trustee in all charitable funds' matters;</li> <li>• Oversee the performance of all the ring fenced charitable funds, under the umbrella registration with the Charity Commission;</li> <li>• Set the following policies of the Trust's Charitable Funds;               <ul style="list-style-type: none"> <li>a. The aims and objectives of the funds, including the beneficiaries and the medium/long term strategy;</li> <li>b. The investment policy of surplus funds; and,</li> <li>c. The reserves policy</li> </ul> </li> <li>• Review/agree the Annual Trustee's Report</li> </ul>
	Executive Management Committee	<p>The Committee will:</p> <ul style="list-style-type: none"> <li>• Develop, maintain and support appropriate leadership behaviours and visibility within the Trust;</li> <li>• Contribute to the development of the Trust's service strategy by developing proposals for the Trust's strategic direction. Review proposals for strategic plans and significant service change/developments prior to approval by the Trust Board;</li> <li>• Ensure an effective business planning process to implement the Trust's strategy;</li> <li>• Develop and agree for submission to the Board objectives to deliver the agreed strategy and then agree detailed capital and revenue business plans to deliver the objectives;</li> <li>• Monitor the delivery of the organisation's operational, quality, financial and performance targets, ensuring corrective strategies are agreed where required. Discuss performance report monthly;</li> </ul>

Reference:	Committee:	Decision:
		<ul style="list-style-type: none"> <li>• Ensure the active liaison, coordination and cooperation between the clinical divisions and central directorates;</li> <li>• Agree business cases in accordance with thresholds set in the Trust's Standing Financial Instructions;</li> <li>• Approve Trust Policies relating to the operational management of the Trust in accordance with the Scheme of Delegation;</li> <li>• Fulfil the role of Level 2 authorisation as defined within Standing Financial Instructions;</li> <li>• Contribute to the development of organisational change issues</li> <li>• Approve consultant post business cases and recruitment</li> </ul>
	<p>Compliance and Risk Committee and Clinical Quality Improvement Committee</p>	<p>The Committees will:</p> <ul style="list-style-type: none"> <li>• Oversee at an operational level the Trust's clinical and non-clinical risk management arrangements;</li> <li>• Ensure systems are in place to ensure the Trust can deliver compliance with both legislation and mandatory NHS standards. Where improvements need to be made, the Committee will oversee that actions are taken to meet such standards;</li> <li>• Support the Chief Executive in delivering their Accountable Officer responsibilities;</li> <li>• Ensure the Trust has processes in place to ensure Registration with the Care Quality Commission and is able to deliver on going improvements in relation to NHS Litigation Authority risk management standards;</li> <li>• Agree Trust Policies, other than those reserved to the Board and which relate to the management of risk. The Health and Safety Policy and Risk Strategy, are reserved to the Board</li> </ul>

### 3 Scheme of Delegation Derived from the NHS FT Accounting Officer Memorandum

Reference:	Delegated To:	Delegation:
	Chief Executive	<ul style="list-style-type: none"> <li>Accountable through the NHS Accounting Officer to Parliament for stewardship of Trust resources</li> </ul>
	Chief Executive & Director of Finance	<ul style="list-style-type: none"> <li>Ensure the accounts of the Trust are prepared under principles and in a format directed by Monitor. Accounts must disclose a true and fair view of the Trust's income and expenditure and its state of affairs</li> <li>Sign the accounts on behalf of the Board</li> </ul>
	Chief Executive	<ul style="list-style-type: none"> <li>Sign a statement in the accounts outlining responsibilities as the Accounting Officer</li> <li>Sign a statement in the accounts outlining responsibilities in respect of Internal Control</li> </ul>
	Chief Executive	<p>Ensure effective management systems that safeguard public funds and assist the Trust Chairman to implement requirements of corporate governance including ensuring managers:</p> <ul style="list-style-type: none"> <li>Have a clear view of their objectives and the means to assess achievements in relation to those objectives;</li> <li>Be assigned well defined responsibilities for making best use of resources; and,</li> <li>Have the information, training and access to the expert advice they need to exercise their responsibilities effectively</li> </ul>
	Chairman	<ul style="list-style-type: none"> <li>Implement requirements of corporate governance.</li> </ul>
	Chief Executive	<ul style="list-style-type: none"> <li>Achieve value for money from the resources available to the Trust and avoid waste and extravagance in the organisation's activities</li> <li>Follow through the implementation of any recommendations affecting good practice as set out on reports from such bodies as the Audit Commission, the National Audit Office (NAO) and Monitor</li> </ul>

Reference:	Delegated To:	Delegation:
	Director of Finance	<ul style="list-style-type: none"> <li>Operational responsibility for effective and sound financial management and information</li> </ul>
	Chief Executive	<ul style="list-style-type: none"> <li>Primary duty to see that Director of Finance discharges this function</li> </ul>
	Chief Executive	<ul style="list-style-type: none"> <li>Ensuring that expenditure by the Trust complies with Parliamentary requirements.</li> </ul>
	Chief Executive & Director of Finance	<ul style="list-style-type: none"> <li>Chief Executive, supported by Director of Finance, to ensure appropriate advice is given to the Board on all matters of probity, regularity, prudent and economical administration, efficiency and effectiveness</li> </ul>
	Chief Executive	<ul style="list-style-type: none"> <li>If the Chief Executive considers the Board or Chairman is doing something that might infringe probity or regularity, he/she should set this out in writing to the Chairman and the Board. If the matter is unresolved, he/she should ask the Audit Committee to inquire and if necessary the Board.</li> </ul>
	Chief Executive	<ul style="list-style-type: none"> <li>If the Board is contemplating a course of action that raises an issue not of formal propriety or regularity but affects the Chief Executive's responsibility for value for money, the Chief Executive should draw the relevant factors to the attention of the Board. If the outcome is that you are overruled it is normally sufficient to ensure that your advice and the overruling of it are clearly apparent from the papers. Exceptionally, the Chief Executive should inform the Monitor. In such cases, and in those described in paragraph 24, the Chief Executive should as a member of the Board vote against the course of action rather than merely abstain from voting</li> </ul>

## 4 Scheme of Delegation Derived from the Codes of Conduct and Accountability

Reference:	Delegated To:	Delegation:
1.3.1.7	Trust Board	<ul style="list-style-type: none"> <li>• Approve procedure for declaration of hospitality and sponsorship</li> </ul>
1.3.1.8	Trust Board	<ul style="list-style-type: none"> <li>• Ensure proper and widely publicised procedures for voicing complaints, concerns about misadministration, breaches of Code of Conduct, and other ethical concerns</li> </ul>
1.31.9 & 1.3.2.2	All Trust Board Members	<ul style="list-style-type: none"> <li>• Subscribe to Code of Conduct</li> </ul>
1.3.2.4	Board	<ul style="list-style-type: none"> <li>• Board Members share corporate responsibility for all decisions of the Board</li> </ul>
1.3.2.4	Chairman & Non Executive/Officer Members	<ul style="list-style-type: none"> <li>• Chairman and Non Officer Members are responsible for monitoring the executive management of the organisation and are responsible to the Secretary of State for the discharge of those responsibilities</li> </ul>
1.3.2.4	Trust Board	<p>The Board has six key functions for which it is held accountable:</p> <ul style="list-style-type: none"> <li>• To ensure effective financial stewardship through value for money, financial control and financial planning and strategy;</li> <li>• To ensure that high standards of corporate governance and personal behaviour are maintained in the conduct of the business of the whole organisation;</li> <li>• To appoint, appraise and remunerate senior executives;</li> <li>• To ratify the strategic direction of the organisation within the overall policies and priorities of the Government and the NHS, define its annual and longer term objectives and agree plans to achieve them;</li> </ul>



Reference:	Delegated To:	Delegation:
		<ul style="list-style-type: none"> <li>• To oversee the delivery of planned results by monitoring performance against objectives and ensuring corrective action is taken when necessary; and,</li> <li>• To ensure effective dialogue between the organisation and the local community on its plans and performance and that these are responsive to the community's needs</li> </ul>
1.3.24	Trust Board	<p>It is the Board's duty to:</p> <ul style="list-style-type: none"> <li>• Act within statutory financial and other constraints;</li> <li>• Be clear what decisions and information are appropriate to the Board and draw up Standing Orders, a schedule of decisions reserved to the Board and Standing Financial Instructions to reflect these;</li> <li>• Ensure that management arrangements are in place to enable responsibility to be clearly delegated to senior executives for the main programmes of action and for performance against programmes to be monitored and senior executives held to account;</li> <li>• Establish performance and quality measures that maintain the effective use of resources and provide value for money;</li> <li>• Specify its requirements in organising and presenting financial and other information succinctly and efficiently to ensure the Board can fully undertake its responsibilities; and,</li> <li>• Establish Audit and Remuneration Committees on the basis of formally agreed terms of reference that set out the membership of the sub-Committee, the limit to their powers, and the arrangements for reporting back to the main Board</li> </ul>
1.3.2.5	Chairman	<p>It is the Chairman's role to:</p> <ul style="list-style-type: none"> <li>• Provide leadership to the Board;</li> <li>• Enable all Board Members to make a full contribution to the Board's affairs and ensure that the Board acts as a team;</li> </ul>

Reference:	Delegated To:	Delegation:
		<ul style="list-style-type: none"> <li>• Ensure that key and appropriate issues are discussed by the Board in a timely manner;</li> <li>• Ensure the Board has adequate support and is provided efficiently with all the necessary data on which to base informed decisions;</li> <li>• Lead Non Executive Board Members through a formally-appointed Remuneration Committee of the main Board on the appointment, appraisal and remuneration of the Chief Executive and (with the latter) other Executive Board Members;</li> <li>• Appoint Non Executive Board Members to an Audit Committee of the main Board; and,</li> <li>• Advise the Secretary of State on the performance of Non Executive Board Members</li> </ul>
1.3.2.5	Chief Executive	<ul style="list-style-type: none"> <li>• The Chief Executive is accountable to the Chairman and Non Executive Members of the Board for ensuring that its decisions are implemented, that the organisation works effectively, in accordance with Government policy and public service values and for the maintenance of proper financial stewardship</li> <li>• The Chief Executive should be allowed full scope, within clearly defined delegated powers, for action in fulfilling the decisions of the Board</li> <li>• The other duties of the Chief Executive as Accountable Officer are laid out in the Accountable Officer Memorandum</li> </ul>
1.3.2.6	Non Executive Directors	<ul style="list-style-type: none"> <li>• Non Executive Directors are appointed in accordance with the Constitution to bring independent judgement to bear on issues of strategy, performance, key appointments and accountability through the Governors to stakeholders and to the local community</li> </ul>
1.3.2.8	Chairman & Directors	<ul style="list-style-type: none"> <li>• Declaration of conflict of interests</li> </ul>
1.3.2.9	Trust Board	<ul style="list-style-type: none"> <li>• NHS Boards must comply with legislation and guidance issued by Monitor, respect agreements entered into by themselves or in on their behalf and establish terms and conditions of service that are fair to the staff and represent good value for taxpayers' money</li> </ul>

## 5 Scheme of Delegation Derived from Standing Orders

Reference:	Delegated To:	Delegation:
2.1	Chairman	<ul style="list-style-type: none"> <li>Final authority in interpretation of Standing Orders</li> </ul>
SO 2.1	Chairman	<ul style="list-style-type: none"> <li>Call meetings</li> </ul>
SO 2.9	Chairman	<ul style="list-style-type: none"> <li>Chair all Board meetings and associated responsibilities</li> </ul>
SO 2.10	Chairman	<ul style="list-style-type: none"> <li>Give final ruling in questions of order, relevancy and regularity of meetings</li> </ul>
SO 2.12	Chairman	<ul style="list-style-type: none"> <li>Having a second or casting vote</li> </ul>
SO 2.13.4	Audit Committee	<ul style="list-style-type: none"> <li>Audit Committee to review every decision to suspend Standing Orders (power to suspend Standing Orders is reserved to the Board)</li> </ul>
SO 4.2	Chairman & Chief Executive	<ul style="list-style-type: none"> <li>The powers which the Board has retained to itself within these Standing Orders may in emergency be exercised by the Chair and Chief Executive after having consulted at least two Non-Executive members</li> </ul>
SO 4.4.2	Chief Executive	<ul style="list-style-type: none"> <li>The Chief Executive shall prepare a Scheme of Delegation identifying his/her proposals that shall be considered and approved by the Board, subject to any amendment agreed during the discussion</li> </ul>
SO 4.6	All	<ul style="list-style-type: none"> <li>Disclosure of non-compliance with Standing Orders to the Chief Executive as soon as possible</li> </ul>
SO 6.1	Trust Board	<ul style="list-style-type: none"> <li>Declare relevant and material interests</li> </ul>
SO 6.2	Chief Executive	<ul style="list-style-type: none"> <li>Maintain Register(s) of Interests</li> </ul>
SO 6.4	All staff	<ul style="list-style-type: none"> <li>Comply with national guidance contained in HSG 1993/5 "Standards of Business Conduct for NHS Staff"</li> </ul>
SO 6.4	All	<ul style="list-style-type: none"> <li>Disclose relationship between self and candidate for staff appointment. (CE to report the disclosure to the Board.)</li> </ul>

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Reference:	Delegated To:	Delegation:
SO 7.1	Chief Executive	<ul style="list-style-type: none"> <li>• Keep seal in safe place</li> </ul>
SO 7.2	Board Committee	<ul style="list-style-type: none"> <li>• Authorise the use of the seal</li> </ul>
SO 7.2	Chief Executive & Director of Finance	<ul style="list-style-type: none"> <li>• Approve and sign all building, engineering, property or capital documents</li> </ul>
SO 7.3	Chief Executive	<ul style="list-style-type: none"> <li>• Maintain a register of sealing</li> </ul>
SO 7.4	Chief Executive or any Executive Director	<ul style="list-style-type: none"> <li>• Approve and sign all documents which will be necessary in legal proceedings</li> </ul>
SO 7.4	Chief Executive or nominated Officer	<ul style="list-style-type: none"> <li>• Sign when authorised by resolution of the Board on behalf of the Trust any agreement not requested to be executed as a deed</li> </ul>

## 6 Scheme of Delegation Derived from Standing Financial Instructions

SFI Reference:	Delegated To:	Delegation:
1.1.3	Director of Finance	<ul style="list-style-type: none"> <li>Approval of all financial procedures</li> </ul>
1.1.4	Director of Finance	<ul style="list-style-type: none"> <li>Advice on interpretation or application of SFIs</li> </ul>
1.1.6	All Members of the Board and Staff	<ul style="list-style-type: none"> <li>Have a duty to disclose any non-compliance with these Standing Financial Instructions to the Director of Performance and Finance as soon as possible</li> </ul>
1.2.2.1	Chief Executive & Director of Finance	<ul style="list-style-type: none"> <li>Accountable for financial control but will, as far as possible, delegate their detailed responsibilities</li> </ul>
1.2.2.2	Chief Executive	<ul style="list-style-type: none"> <li>Responsible as the Accounting Officer to ensure financial targets and obligations are met and have overall responsibility for the System of Internal Control</li> </ul>
1.2.2.3	Chief Executive	<ul style="list-style-type: none"> <li>To ensure all Board Members, Officers and Employees, present and future, are notified of and understand Standing Financial Instructions</li> </ul>
1.2.3	Director of Finance	<p>Responsible for:</p> <ul style="list-style-type: none"> <li>Implementing the Trust's financial policies and coordinating corrective action;</li> <li>Maintaining an effective system of financial control including ensuring detailed financial procedures and systems are prepared and documented;</li> <li>Ensuring that sufficient records are maintained to explain Trust's transactions and financial position;</li> <li>Providing financial advice to members of Board and staff;</li> </ul>

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SFI Reference:	Delegated To:	Delegation:
		<ul style="list-style-type: none"> <li>Maintaining such accounts, certificates etc as are required for the Trust to carry out its statutory duties</li> </ul>
1.2.4	All Board Members and Employees	<ul style="list-style-type: none"> <li>Responsible for security of the Trust's property, avoiding loss, exercising economy and efficiency in using resources and conforming to Standing Orders, Financial Instructions and financial procedures</li> </ul>
1.2.5	Chief Executive	<ul style="list-style-type: none"> <li>Ensure that any contractor or employee of a contractor who is empowered by the Trust to commit the Trust to expenditure or who is authorised to obtain income are made aware of these instructions and their requirement to comply</li> </ul>
2.1.1	Audit Committee	<ul style="list-style-type: none"> <li>Provide independent and objective view on internal control and probity</li> </ul>
2.1.2	Audit Committee Chairman	<ul style="list-style-type: none"> <li>Raise the matter at the Board meeting where Audit Committee considers there is evidence of ultra vires transactions or improper acts</li> </ul>
2.1.3	Director of Finance	<ul style="list-style-type: none"> <li>Ensure an adequate internal audit service, for which he is accountable, is provided</li> </ul>
2.1.3	Director of Finance	<ul style="list-style-type: none"> <li>Involve the Audit Committee in the selection process when/if an internal audit service provider is changed</li> </ul>
2.2.1.3	Director of Finance	<ul style="list-style-type: none"> <li>Decide at what stage to involve police in cases of misappropriation and other irregularities not involving fraud or corruption</li> </ul>
2.3	Head of Internal Audit	<ul style="list-style-type: none"> <li>Review, appraise and report in accordance with NHS Internal Audit Manual and best practice</li> </ul>
2.4	Audit Committee	<ul style="list-style-type: none"> <li>Ensure cost-effective External Audit</li> </ul>
2.5	Chief Executive & Director of Finance	<ul style="list-style-type: none"> <li>Monitor and ensure compliance with applicable guidance and directions on fraud and corruption including the appointment of the Local Counter Fraud Specialist</li> </ul>
2.6	Chief Executive	<ul style="list-style-type: none"> <li>Monitor and ensure compliance with applicable guidance and directions on NHS security management including appointment of the Local Security Management Specialist</li> </ul>
3.1.1	Chief Executive	Compile and submit to the Board a business plan which takes into account financial targets and forecast limits of available

SFI Reference:	Delegated To:	Delegation:
		resources. The business plan will contain: <ul style="list-style-type: none"> <li>• A statement of the significant assumptions on which the plan is based; and,</li> <li>• Details of major changes in workload, delivery of services or resources required to achieve the plan</li> </ul>
3.1.2	Director of Finance	<ul style="list-style-type: none"> <li>• Submit budgets to the Board for approval</li> </ul>
3.1.3	Director of Finance	<ul style="list-style-type: none"> <li>• Monitor performance against budget</li> </ul>
3.1.6	Director of Finance	<ul style="list-style-type: none"> <li>• Ensure adequate training is delivered on an on-going basis to budget holders</li> </ul>
3.2	Chief Executive	<ul style="list-style-type: none"> <li>• Delegate budget to budget holders</li> </ul>
3.3.2	Chief Executive & Budget Holders	<ul style="list-style-type: none"> <li>• Must not exceed the budgetary total or virement limits set by the Board</li> </ul>
3.3	Director of Finance	<ul style="list-style-type: none"> <li>• Devise and maintain systems of budgetary control</li> </ul>
3.3.2	Budget Holders	<p>Ensure that</p> <ul style="list-style-type: none"> <li>• No overspend or reduction of income that cannot be met from virement is incurred without prior consent of Board;</li> <li>• Approved budget is not used for any other than specified purpose subject to rules of virement; and,</li> <li>• No permanent Employees are appointed without the approval of the Chief Executive other than those provided for within available resources and manpower establishment.</li> </ul>
3.3.3	Chief Executive	<ul style="list-style-type: none"> <li>• Identify and implement cost improvements and income generation activities in line with the LDP</li> </ul>
3.5	Chief Executive	<ul style="list-style-type: none"> <li>• Submit monitoring returns</li> </ul>
4.1	Director of Finance	<ul style="list-style-type: none"> <li>• Preparation of annual accounts and reports</li> </ul>

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SFI Reference:	Delegated To:	Delegation:
5.1.1	Director of Finance	<ul style="list-style-type: none"> <li>Managing banking arrangements, including provision of banking services, operation of accounts, preparation of instructions and list of cheque signatories</li> </ul>
5.1.2	Trust Board	<ul style="list-style-type: none"> <li>Approve the banking arrangements</li> </ul>
6	Director of Finance	<ul style="list-style-type: none"> <li>Income systems, including system design, prompt banking, review and approval of fees and charges, debt recovery arrangements, design and control of receipts, provision of adequate facilities and systems for employees whose duties include collecting or holding cash</li> </ul>
6.2.3	All Employees	<ul style="list-style-type: none"> <li>Duty to inform Director of Finance of money due from transactions which they initiate/deal with</li> </ul>
7	Chief Executive	<ul style="list-style-type: none"> <li>Tendering and contract procedure</li> </ul>
7.5.3	Chief Executive	<ul style="list-style-type: none"> <li>Waive formal tendering procedures</li> </ul>
7.5.3.4	Chief Executive	<ul style="list-style-type: none"> <li>Report waivers of tendering procedures to the Board</li> </ul>
7.6.2	Chief Executive	<ul style="list-style-type: none"> <li>Responsible for the receipt, endorsement and safe custody of tenders received</li> </ul>
7.6.3	Chief Executive	<ul style="list-style-type: none"> <li>Shall maintain a register to show each set of competitive tender invitations despatched</li> </ul>
7.6.4.2	Chief Executive & Director of Finance	<ul style="list-style-type: none"> <li>Where one tender is received will assess for value for money and fair price</li> </ul>
7.6.6.5	Chief Executive	<ul style="list-style-type: none"> <li>No tender shall be accepted which will commit expenditure in excess of that which has been allocated by the Trust and which is not in accordance with these Standing Financial Instructions except with the authorisation of the Chief Executive</li> </ul>
7.6.8	Chief Executive	<ul style="list-style-type: none"> <li>Shall ensure that appropriate checks are carried out as to the technical and financial capability of those firms that are invited to tender or quote</li> </ul>



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SFI Reference:	Delegated To:	Delegation:
7.7.2.4	Chief Executive	<ul style="list-style-type: none"> <li>The Chief Executive or his nominated officer should evaluate the quotation and select the quote which gives the best value for money</li> </ul>
7.7.4.1	Chief Executive or Director of Finance	<ul style="list-style-type: none"> <li>No quotation shall be accepted which will commit expenditure in excess of that which has been allocated by the Trust and which is not in accordance with these Standing Financial Instructions except with the authorisation of the Chief Executive</li> </ul>
7.10.1.1	Chief Executive	<ul style="list-style-type: none"> <li>The Chief Executive shall demonstrate that the use of private finance represents value for money and genuinely transfers risk to the private sector</li> </ul>
7.10.1.3	Trust Board	<ul style="list-style-type: none"> <li>All Private Finance Initiative funding proposals must be agreed by the Board</li> </ul>
7.11.4	Chief Executive	<ul style="list-style-type: none"> <li>The Chief Executive shall nominate an officer who shall oversee and manage each contract on behalf of the Trust</li> </ul>
7.12.1	Chief Executive	<ul style="list-style-type: none"> <li>The Chief Executive shall nominate Officers with delegated authority to enter into contracts of employment, regarding staff, agency staff or temporary staff service contracts</li> </ul>
7.15.1	Chief Executive	<ul style="list-style-type: none"> <li>The Chief Executive shall be responsible for ensuring that best value for money can be demonstrated for all services provided on an in-house basis</li> </ul>
7.15.5	Chief Executive	<ul style="list-style-type: none"> <li>The Chief Executive shall nominate an Officer to oversee and manage the contract on behalf of the Trust</li> </ul>
8.1.1	Chief Executive	<ul style="list-style-type: none"> <li>Must ensure the Trust enters into suitable Service Level Agreements with service commissioners for the provision of NHS Services in line with SFI's 7.13.4</li> </ul>
8.3	Chief Executive	<ul style="list-style-type: none"> <li>As the Accountable Officer, ensure that regular reports are provided to the Board detailing actual and forecast income from Service Level Agreements</li> </ul>
9.1.1	Trust Board	<ul style="list-style-type: none"> <li>Establish a Remuneration &amp; Terms of Service Committee</li> </ul>
9.1.2	Remuneration &	<ul style="list-style-type: none"> <li>Advise the Board on and make recommendations on the remuneration and terms of service of the Chief Executive, other</li> </ul>

SFI Reference:	Delegated To:	Delegation:
	Terms of Service Committee	<p>Officer Members and senior Employees to ensure they are fairly rewarded having proper regard to the Trust's circumstances and any national agreements</p> <ul style="list-style-type: none"> <li>• Monitor and evaluate the performance of individual senior Employees</li> <li>• Advise on and oversee appropriate contractual arrangements for such staff, including proper calculation and scrutiny of termination payments</li> </ul>
9.1.3	Remuneration & Terms of Service Committee	<ul style="list-style-type: none"> <li>• Report in writing to the Board its advice and its bases about remuneration and terms of service of Directors and senior Employees</li> </ul>
9.1.4	Trust Board	<ul style="list-style-type: none"> <li>• Approve proposals presented by the Chief Executive for setting of remuneration and conditions of service for those Employees and Officers not covered by the Remuneration &amp; Terms of Service Committee</li> </ul>
9.2.2	Chief Executive	<ul style="list-style-type: none"> <li>• Approval of variation to funded establishment of any department</li> </ul>
9.3	Chief Executive	<ul style="list-style-type: none"> <li>• Staff, including agency staff, appointments and re-grading</li> </ul>
9.4.1 & 9.4.2	Director of Finance	<p>Payroll:</p> <ul style="list-style-type: none"> <li>• Specifying timetables for submission of properly authorised time records and other notifications;</li> <li>• Final determination of pay and allowances;</li> <li>• Making payments on agreed dates;</li> <li>• Agreeing method of payment; and,</li> <li>• Issuing instructions</li> </ul>
9.4.3	Nominated managers	<ul style="list-style-type: none"> <li>• Submit time records in line with timetable</li> </ul>

SFI Reference:	Delegated To:	Delegation:
		<ul style="list-style-type: none"> <li>• Complete time records and other notifications in required form</li> <li>• Submitting termination forms in prescribed form and on time</li> </ul>
9.4.4	Director of Finance	<ul style="list-style-type: none"> <li>• Ensure that the chosen method for payroll processing is supported by appropriate (contracted) terms and conditions, adequate internal controls and audit review procedures and that suitable arrangements are made for the collection of payroll deductions and payment of these to appropriate bodies</li> </ul>
9.5	Director of Workforce & Organisational Development	<ul style="list-style-type: none"> <li>• Ensure that all Employees are issued with a Contract of Employment in a form approved by the Board and which complies with employment legislation</li> <li>• Deal with variations to, or termination of, contracts of employment</li> </ul>
10.1.2	Chief Executive	<ul style="list-style-type: none"> <li>• Determine, and set out, level of delegation of non-pay expenditure to Budget Managers, including a list of managers authorised to place requisitions, the maximum level of each requisition and the system for authorisation above that level</li> </ul>
10.1.3	Chief Executive	<ul style="list-style-type: none"> <li>• Set out procedures on the seeking of professional advice regarding the supply of goods and services</li> </ul>
10.2.1	Requisitioner	<ul style="list-style-type: none"> <li>• In choosing the item to be supplied (or the service to be performed) shall always obtain the best value for money for the Trust. In so doing, the advice of the Trust's adviser on supply shall be sought</li> </ul>
10.2.2	Director of Finance	<ul style="list-style-type: none"> <li>• Shall be responsible for the prompt payment of accounts and claims</li> </ul>
10.2.3	Director of Finance	<ul style="list-style-type: none"> <li>• Advise the Board regarding the setting of thresholds above which quotations (competitive or otherwise) or formal tenders must be obtained; and, once approved, the thresholds should be incorporated in standing orders and regularly reviewed</li> <li>• Prepare procedural instructions [where not already provided in the Scheme of Delegation or procedure notes for budget holders] on the obtaining of goods, works and services incorporating the thresholds</li> <li>• Be responsible for the prompt payment of all properly authorised accounts and claims</li> </ul>

SFI Reference:	Delegated To:	Delegation:
		<ul style="list-style-type: none"> <li>• Be responsible for designing and maintaining a system of verification, recording and payment of all amounts payable</li> <li>• A timetable and system for submission to the Director of Finance of accounts for payment; provision shall be made for the early submission of accounts subject to cash discounts or otherwise requiring early payment</li> <li>• Instructions to employees regarding the handling and payment of accounts within the Finance Department</li> <li>• Be responsible for ensuring that payment for goods and services is only made once the goods and services are received</li> </ul>
10.2.4.1.2	Appropriate Executive Director	<ul style="list-style-type: none"> <li>• Make a written case to support the need for a prepayment</li> </ul>
10.2.4.1.3	Director of Finance	<ul style="list-style-type: none"> <li>• Approve proposed prepayment arrangements</li> </ul>
10.2.4.1.4	Budget Holder	<ul style="list-style-type: none"> <li>• Ensure that all items due under a prepayment contract are received (and immediately inform the appropriate Director or Chief Executive if problems are encountered)</li> </ul>
10.2.5.1.4	Chief Executive	<ul style="list-style-type: none"> <li>• Authorise who may use and be issued with official orders</li> </ul>
10.2.6	Managers and Officers	<ul style="list-style-type: none"> <li>• Ensure that they comply fully with the guidance and limits specified by the Director of Finance</li> </ul>
10.2.7	Chief Executive & Director of Finance	<ul style="list-style-type: none"> <li>• Ensure that the arrangements for financial control and financial audit of building and engineering contracts and property transactions comply with the guidance contained within CONCODE and ESTATECODE. The technical audit of these contracts shall be the responsibility of the relevant Director</li> </ul>
10.3.1	Director of Finance	<ul style="list-style-type: none"> <li>• Lay down procedures for payments to local authorities and voluntary organisations made under the powers of the NHS Act</li> </ul>
11.1	Director of Finance	<ul style="list-style-type: none"> <li>• Will advise the Board on the Trust's ability to pay dividend on Public Dividend Capital and report, periodically, concerning</li> </ul>

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SFI Reference:	Delegated To:	Delegation:
		the Public Dividend Capital debt and all loans and overdrafts
11.2	Trust Board	<ul style="list-style-type: none"> <li>Approve a list of Employees authorised to make short term borrowings on behalf of the Trust. This must include the Chief Executive and Director of Finance</li> </ul>
11.3	Director of Finance	<ul style="list-style-type: none"> <li>Prepare detailed procedural instructions concerning applications for loans and overdrafts</li> </ul>
11.5	Chief Executive and Director of Finance	<ul style="list-style-type: none"> <li>Be on an authorising panel for short term borrowing approval</li> </ul>
11.7.2	Director of Finance	<ul style="list-style-type: none"> <li>Will advise the Board on investments and report, periodically, on performance of same</li> </ul>
11.7.3	Director of Finance	<ul style="list-style-type: none"> <li>Prepare detailed procedural instructions on the operation of investments held</li> </ul>
12	Director of Finance	<ul style="list-style-type: none"> <li>Ensure that Board members are aware of the Financial Framework and ensure compliance</li> </ul>
13.1.1 & 13.1.2	Chief Executive	<p>Capital investment programme:</p> <ul style="list-style-type: none"> <li>Ensure that there is adequate appraisal and approval process for determining capital expenditure priorities and the effect that each has on plans;</li> <li>Responsible for the management of capital schemes and for ensuring that they are delivered on time and within cost;</li> <li>Ensure that capital investment is not undertaken without availability of resources to finance all revenue consequences;</li> <li>Ensure that a business case is produced for each proposal</li> </ul>
13.1.2.2	Director of Finance	<ul style="list-style-type: none"> <li>Certify professionally the costs and revenue consequences detailed in the business case for capital investment</li> </ul>
13.1.3	Chief Executive	<ul style="list-style-type: none"> <li>Issue procedures for management of contracts involving stage payments</li> </ul>
13.1.4	Director of Finance	<ul style="list-style-type: none"> <li>Assess the requirement for the operation of the construction industry taxation deduction scheme</li> </ul>

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SFI Reference:	Delegated To:	Delegation:
13.1.5	Director of Finance	<ul style="list-style-type: none"> <li>Issue procedures for the regular reporting of expenditure and commitment against authorised capital expenditure</li> </ul>
13.1.7	Chief Executive	<ul style="list-style-type: none"> <li>Issue manager responsible for any capital scheme with authority to commit expenditure, authority to proceed to tender and approval to accept a successful tender</li> </ul>
13.1.8	Chief Executive	<ul style="list-style-type: none"> <li>Issue a scheme of delegation for capital investment management</li> </ul>
13.1.9	Director of Finance	<ul style="list-style-type: none"> <li>Issue procedures governing financial management, including variation to contract, of capital investment projects and valuation for accounting purposes</li> </ul>
13.2.1.1	Director of Finance	<ul style="list-style-type: none"> <li>Demonstrate that the use of private finance represents value for money and genuinely transfers significant risk to the private sector</li> </ul>
13.2.1.3	Trust Board	<ul style="list-style-type: none"> <li>Specifically agree proposal to use Private Finance Initiative funding</li> </ul>
13.3.1	Chief Executive	<ul style="list-style-type: none"> <li>Maintenance of asset registers (on advice from Director of Finance)</li> </ul>
13.3.5	Director of Finance	<ul style="list-style-type: none"> <li>Approve procedures for reconciling balances on fixed assets accounts in ledgers against balances on fixed asset registers</li> </ul>
13.3.8	Director of Finance	<ul style="list-style-type: none"> <li>Calculate and pay capital charges in accordance with applicable Department of Health/Monitor requirements</li> </ul>
13.4.1	Chief Executive	<ul style="list-style-type: none"> <li>Overall responsibility for fixed assets</li> </ul>
13.4.2	Director of Finance	<ul style="list-style-type: none"> <li>Approval of fixed asset control procedures</li> </ul>
13.4.4	Board, Executive Members and all senior Employees	<ul style="list-style-type: none"> <li>Responsibility for security of Trust assets including notifying discrepancies to the Director of Finance, and reporting losses in accordance with Trust procedure</li> </ul>
14.2.1	Chief Executive	<ul style="list-style-type: none"> <li>Delegate overall responsibility for control of stores (subject to Director of Finance responsibility for systems of control).</li> </ul>

SFI Reference:	Delegated To:	Delegation:
		Further delegation for day-to-day responsibility subject to such delegation being recorded
14.2.1	Director of Finance	<ul style="list-style-type: none"> <li>Responsible for systems of control over stores and receipt of goods</li> </ul>
14.2.1	Pharmacy Services Manager	<ul style="list-style-type: none"> <li>Responsible for controls of pharmaceutical stocks</li> </ul>
14.2.1	Director of Estates & Facilities	<ul style="list-style-type: none"> <li>Responsible for control of stocks of fuel oil and coal</li> </ul>
14.2.2	Nominated Officers	<ul style="list-style-type: none"> <li>Security arrangements and custody of keys</li> </ul>
14.2.3	Director of Finance	<ul style="list-style-type: none"> <li>Set out procedures and systems to regulate the stores</li> </ul>
14.2.4	Director of Finance	<ul style="list-style-type: none"> <li>Agree stocktaking arrangements</li> </ul>
14.2.5	Director of Finance	<ul style="list-style-type: none"> <li>Approve alternative arrangements where a complete system of stores control is not justified</li> </ul>
14.2.6	Director of Finance	<ul style="list-style-type: none"> <li>Approve system for review of slow moving and obsolete items and for condemnation, disposal and replacement of all unserviceable items</li> </ul>
14.2.6	Nominated officers	<ul style="list-style-type: none"> <li>Operate system for slow moving and obsolete stock, and report to Director of Finance evidence of significant overstocking</li> </ul>
15.1.1	Director of Finance	<ul style="list-style-type: none"> <li>Prepare detailed procedures for disposal of assets including condemnations and ensure that these are notified to managers</li> </ul>
15.2.1	Director of Finance	<ul style="list-style-type: none"> <li>Prepare procedures for recording and accounting for losses, special payments and informing police in cases of suspected arson or theft</li> </ul>
15.2.2	All Employees and Officers	<ul style="list-style-type: none"> <li>Discovery or suspicion of loss of any kind must be reported immediately to either head of department or nominated Officer. The head of department/nominated Officer should then inform the Chief Executive and Director of Finance</li> </ul>

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SFI Reference:	Delegated To:	Delegation:
15.2.2	Director of Finance	<ul style="list-style-type: none"> <li>Where a criminal offence is suspected, Director of Finance must inform the police if theft or arson is involved. In cases of fraud and corruption Director of Finance must inform the relevant LCFS and CFSMS Regional Team in line with applicable Secretary of State and/or Monitor directions</li> </ul>
15.2.3	Director of Finance	<ul style="list-style-type: none"> <li>Notify NHS Protect and External Audit of all frauds</li> </ul>
15.2.4	Director of Finance	<ul style="list-style-type: none"> <li>Notify Board and External Auditor of losses over £25,000 caused theft, arson, neglect of duty or gross carelessness</li> </ul>
15.2.5	Trust Board	<ul style="list-style-type: none"> <li>Approve the writing-off of losses over £50,000</li> </ul>
15.2.7	Director of Finance	<ul style="list-style-type: none"> <li>Consider whether any insurance claim can be made</li> </ul>
15.2.8	Director of Finance	<ul style="list-style-type: none"> <li>Maintain losses and special payments register</li> </ul>
16.1.1	Director of Finance	<ul style="list-style-type: none"> <li>Responsible for accuracy and security of computerised financial data</li> </ul>
16.1.2	Director of Finance	<ul style="list-style-type: none"> <li>Satisfy himself that new financial systems and amendments to current financial systems are developed in a controlled manner and thoroughly tested prior to implementation. Where this is undertaken by another organisation assurances of adequacy must be obtained from them prior to implementation</li> </ul>
16.1.3	Head of Corporate Affairs	<ul style="list-style-type: none"> <li>Shall publish and maintain a Freedom of Information Scheme</li> </ul>
16.2	Director of Finance	<ul style="list-style-type: none"> <li>Ensure that contracts with other bodies for the provision of computer services for financial applications clearly define responsibility of all parties for security, privacy, accuracy, completeness and timeliness of data during processing, transmission and storage, and allow for audit review</li> <li>Seek periodic assurances from the provider that adequate controls are in operation</li> </ul>
16.3	Director of Finance	<ul style="list-style-type: none"> <li>Ensure that risks to the Trust from use of IT are identified and considered and that disaster recovery plans are in place</li> </ul>



SFI Reference:	Delegated To:	Delegation:
16.4	Director of Finance	<p>Where computer systems have an impact on corporate financial systems satisfy himself that:</p> <ul style="list-style-type: none"> <li>• systems acquisition, development and maintenance are in line with corporate policies;</li> <li>• data assembled for processing by financial systems is adequate, accurate, complete and timely, and that a management rail exists;</li> <li>• Director of Finance staff have access to such data; and,</li> <li>• Such computer audit reviews are being carried out as are considered necessary</li> </ul>
17.2	Chief Executive	<ul style="list-style-type: none"> <li>• Responsible for ensuring patients and guardians are informed about patients' money and property procedures on admission</li> </ul>
17.3	Director of Nursing & Patient Experience and/or Chief Operating Officer	<ul style="list-style-type: none"> <li>• Provide detailed written instructions on the collection, custody, investment, recording, safekeeping, and disposal of patients' property (including instructions on the disposal of the property of deceased patients and of patients transferred to other premises) for all Members of Staff whose duty is to administer, in any way, the property of patients</li> </ul>
17.6	Appropriate department or senior managers	<ul style="list-style-type: none"> <li>• Inform Members of Staff of their responsibilities and duties for the administration of the property of patients</li> </ul>
18.1.2	Director of Finance	<ul style="list-style-type: none"> <li>• Shall ensure that each trust fund which the Trust is responsible for managing is managed appropriately</li> </ul>
19	Director of Finance	<ul style="list-style-type: none"> <li>• Ensure all staff are made aware of the Trust policy on the acceptance of gifts and other benefits in kind by staff</li> </ul>
20	Chief Executive	<ul style="list-style-type: none"> <li>• Retention of document procedures in accordance with HSC 1999/053</li> </ul>
21.1.1	Chief Executive	<ul style="list-style-type: none"> <li>• Risk management programme</li> </ul>

SFI Reference:	Delegated To:	Delegation:
21.1.1	Trust Board	<ul style="list-style-type: none"> <li>Approve and monitor risk management programme</li> </ul>
21.2.1	Trust Board	<ul style="list-style-type: none"> <li>Decide whether the Trust will use the risk pooling schemes administered by the NHS Litigation Authority, commercial insurance or self-insure for some or all of the risks (where discretion is allowed). Decisions to self-insure should be reviewed annually</li> </ul>
21.4	Director of Finance	<ul style="list-style-type: none"> <li>Where the Board decides to use the risk pooling schemes administered by the NHS Litigation Authority the Director of Finance shall ensure that the arrangements entered into are appropriate and complementary to the risk management programme. The Director of Finance shall ensure that documented procedures cover these arrangements</li> <li>Where the Board decides not to use the risk pooling schemes administered by the NHS Litigation Authority for any one or other of the risks covered by the schemes, the Director of Finance shall ensure that the Board is informed of the nature and extent of the risks that are self insured as a result of this decision. The Director of Finance will draw up formal documented procedures for the management of any claims arising from third parties and payments in respect of losses that will not be reimbursed</li> </ul>
21.4.3	Director of Finance	<ul style="list-style-type: none"> <li>Ensure documented procedures cover management of claims and payments below the deductible</li> </ul>

## 7 Version Control Tracker

Version Number	Reason for issue	Circulation
3.00	Annual review and update	Audit Committee