

**Trust Board Briefing**  
**Date of Meeting: 6 August 2020**

<b>Director:</b>	<b>Neil Guckian, Director of Finance</b>
<b>Paper:</b>	<b>High level review of Standing Orders/Schedule of Delegated Authority (SODA) and Items reserved for Trust Board.</b>
<b>Background:</b>	<p>The role of the Endowments and Gifts Committee was absent from the Delegated Authority lists, therefore a change was proposed. On reviewing the SODA for this, we have taken the opportunity to try to tidy up the schedule.</p> <p>Paragraph 4.8.4 and Section C 1.3 Decisions/Duties Delegated by the Board to Committees of Standing Orders relates to the Endowment &amp; Gifts Committee. A separate paper is presented on this.</p> <p>The main result of this high level review will be to reduce the number of items automatically going to the Chief Executive and Trust Board. Previous versions had little role for the Director of Contracting.</p> <p>Clearly if any proposed action/approval would have strategic implications or could be seen as contentious, then appropriate proactive discussion can still take place at CMT, Chief Executive or Trust Board level.</p>
<b>Approval:</b>	<p>The change to Standing Order 2.6 (ii) reflects a decision already presented and approved at Trust Board in 2017 (08/13/17).</p> <p>I have taken the opportunity to move many of the minor approvals of payments to Directorate Schedules rather than at Trust Board/Corporate level. All levels that have been changed have been identified in the attached paper – all other levels remain in place.</p> <p>Trust Board is asked to approve the changes to standing order 2.6 (ii), Section C 1.3 and Schedule of Delegated Authority, to reflect the points above.</p>

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**Neil Guckian**  
**Director of Finance, Contracting & ICT**

## **Western Health and Social Care Trust Schedule of Delegated Authority**

### **Introduction**

The Chief Executive, as Accounting Officer, is responsible for the regularity of all WHSCT expenditure – the attached Schedule of Delegated Authority levels show how the Chief Executive has delegated the authority to commit expenditure to various Trust staff.

This document sets out those officers to whom authority has been delegated and the limits on that authority. It should be read in conjunction with the Standing Orders and Schedule of Reservation and Delegation, and Directorate Schedules of Delegated Authority.

The Document will be reviewed on a regular basis. If interim amendments are required, these can be authorised by the Chief Executive or Director of Finance and Contracting.

All expenditure approved within these delegated limits must be within an approved budget. All Budget adjustments must be approved by the Director of Finance and Contracting or Assistant Director of Finance (Financial Management).

From time to time, the Chief Executive may initiate measures to constrain expenditure (in addition to the delegated limits set out in this document). Any such measures will override the authority levels in this document, for the period in which they are in operation.

As Accounting Officer, the Chief Executive has full authority to approve any order or payment in any of the categories set out in this document.

### Schedule of Delegated Authority

Expenditure	Value	Authoriser	Notes/Key Changes
Clinical Negligence Compensation Payments (Including Interim Payments and Periodic Payment Orders).	Up to £100,000 Up to £1,000,000 Up to £2,000,000 Over £2,000,000	Head of Clinical Quality & Safety Chief Executive DoH DoF	Chief Executive to approve up to £1million (under legal advice or Court Award) Remove Trust Board.
Approval of Legal Services Payments (following legal advice) – including Personal Injury and Public Liability claims.	Up to £10,000 Up to £25,000 Up to £50,000 Over £50,000	Head of Clinical Quality & Safety Chief Executive DoH DoF	Authority of Head of Clinical Quality & Safety and Chief Executive split into new thresholds.
Children’s Order Cases Legal Payments.	Up to £25,000  Up to £100,000 Over £100,000	Director of Women & Children’s Services / AD Family Support DoH DoF	No Change.
Employer Liability Cases – Legal Payments.	Up to £15,000 Up to £25,000 Up to £100,000 Over £100,000	Head of Clinical Quality & Safety Chief Executive DoH DoF	No Change.
Employment Law Cases – Legal Payments.	Up to £25,000 Up to £100,000 Over £100,000	Director of HR DoH DoF	Chief Executive removed from up to £25,000.
Authority to Engage External Management Consultants.	Up to £10,000 Up to £75,000 Over £75,000	Director of Finance & Contracting DoH <Minister Approval> DoF	Chief Executive Removed

Capital Expenditure (Excluding Hospital Schemes).	Up to £10,000 Up to £500,000 Up to £1,000,000 Up to £1,500,000 Up to £2,000,000 Over £2,000,000	Business Case Review Group (small Business Case Proforma). Business Case Review Group Chief Executive CMT DoH DoF	CMT to replace Trust Board for approval of Business Cases £1m - £1.5m.  Where Business Cases are sent to DoH for approval, Trust Board will approve.
Hospital Schemes (new build, extension, refurbishment and equipment).	Up to £10,000 Up to £500,000 Up to £1,000,000 Up to £1,500,000 Up to £5,000,000 Over £5,000,000	Business Case Review Group (small Business Case Proforma). Business Case Review Group Chief Executive CMT DoH DoF	CMT to replace Trust Board for approval of Business Cases £1m - £1.5m.  Where Business Cases are sent to DoH for approval, Trust Board will approve.
IT Projects	Up to £10,000 Up to £200,000 Up to £250,000 Up to £1,000,000 Over £1,000,000	Business Case Review Group (small Business Case Proforma). Business Case Review Group CMT DoH DoF	Original had CMT/Trust Board/Chief Executive up to £250,000.
Ombudsman Directed Payments.	Up to £10,000 Up to £50,000 Over £50,000	Chief Executive DoH DoF	Trust Board £8,000 – £10,000 removed.
Financial Remedy Payments (as a result of complaints).	Up to £500 Over £500	Director of Finance & Contracting DoH	Replacement of Chief Executive
Travel and Accommodation <Chief Executive overseas travel approved by Permanent Secretary>.	Up to £1,000 Over £1,000	Relevant Director/Assistant Director Chief Executive	All overseas travel and accommodation approved by Director/Chief Executive.

Contracts and	Value	Authoriser	Notes/Changes
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<b>Procurement</b>			
Statutory Contracts – (e.g. Trusts, HSCB, NIHE, Supporting People, Departments).	Up to £300,000 (annual value)	Relevant Director	No Change.
	Over £300,000	Director of Finance & Contracting	Replacement of Chief Executive with Director of Finance & Contracting.
Residential & Nursing Home Contracts – Care spans single programme.	Full Authority	Relevant Director	No Change.
Residential & Nursing Home Contracts – Care spans more than one programme.	Full Authority	Relevant Director with majority of activity.	No Change.
Contracts with Independent Sector Acute Providers.	Full Authority	Director of Acute Hospital Services	No Change.
Domiciliary Care	Full Authority	Director or Assistant Director of Primary Care and Older People	No Change.
General Health & Social Care Contracts – including day care.	Up to £300,000 (annual value)	Relevant Service Director	No Change.
	Over £300,000	Director of Finance & Contracting	Replacement of Chief Executive.
Contracts with Health & Social Care Providers in ROI.	Full Authority	Director of Finance & Contracting	Replacement of Chief Executive.
Direct Award Contracts.	Up to £122,976	Director of Finance & Contracting	Replacement of Chief Executive.
	Over £122,976	Chief Executive & DoH	Threshold changed to reflect EU Tender level/DAC level.
Award of Contracts as part of formal procurement and tendering process.	Full Authority	Contract Adjudication Group members	No Change.

All Directorates to have detailed Schedule of Delegated Approval levels for payments – to include Article Payments, Foster Care Model Scheme Payments, PFI invoices, Domiciliary Care Payments, Travel & Subsistence, and Direct Payments. Director of Finance and Contracting/Assistant Director of Finance to maintain a record of the Directorate Schedules, ensuring consistency Trust wide.

Payments under Health & Social Care Contracts will be approved by Head of Contracting Services / Contracting Services Manager.

The above changes do not change Directorate Approval Schedules.