

## Scheme of Delegation – Version 3.0

### South East Coast Ambulance Service NHS Foundation Trust

#### Scheme of Delegation

NB: The role of Executive Director of Strategy and Business Development (DBSD) ceased in September 2020. Pending full review of the SoD in Q2-3 2021-22, please note that the following items formerly delegated to the DSBD are now delegated as follows:

7.1.1	DoF
7.2.1	DoF
14.4.1	Executive Director of Nursing and Quality (DNQ)
14.5.1	DNQ

#### **A. Derived from Standing Financial Instructions**

<b><u>SFI Ref</u></b>	<b><u>Delegated to</u></b>	<b><u>Authorities / Duties Delegated</u></b>
1.1.3	Executive Director of Finance and Corporate Services (DoF)	Advice on interpretation or application of Standing Financial Instructions.
1.1.4	Board of Directors (Board) and Employees	Have a duty to disclose any non-compliance with these SFIs to the Chief Executive (CE), DoF and Company Secretary as soon as possible. Non-compliance should be reported to the Audit Committee (AuC).
1.2.2.5  5.4.1	Finance and Investment Committee (FIC)	<ul style="list-style-type: none"> <li>- Seeks, obtains and scrutinises assurances that the Trust's system of internal controls relating to finance, corporate services and investments, are designed appropriately and operating effectively.</li> <li>- Reviews the treasury management arrangements of the Trust at regular intervals to ensure they reflect best practice and represent best value for money.</li> </ul>
1.3.4	Chief Executive (CE)	Responsible as Accounting Officer to ensure obligations are met within available financial resources and has overall responsibility for the System of Internal Control.

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1.3.5	CE & DoF (jointly)	Accountable for financial control but will, as far as possible, delegate their detailed responsibilities.
1.3.6	CE	To ensure all Board members and employees, including new appointees, are notified of and understand SFIs.

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1.3.7	DoF	<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 internal financial control including ensuring detailed financial procedures, processes and systems are prepared and documented;</li> <li>- Ensuring that sufficient records are maintained to explain trust transactions and financial position.</li> </ul>
1.3.8	DoF	<p>Without prejudice to other directors and employees is responsible for:</p> <ul style="list-style-type: none"> <li>- Providing financial advice to members of the Board and staff;</li> <li>- Design, implement and supervise systems of financial control and</li> <li>- Maintaining accounts, certificates, reports etc. as are required for the trust to carry out its statutory duties.</li> </ul>
1.3.9	All directors and employees	<p>Responsible for:</p> <ul style="list-style-type: none"> <li>- Security of trust property, avoidance of loss, exercising value for money when using Trust resources and conforming with the requirements of the SFIs, Standing Orders (SOs) and this Scheme of Delegation (SD).</li> </ul>
2.1.1	AuC	<p>Provide the Trust with a means of independent and objective review of internal control over the following key areas: financial systems; the information used by the Trust; assurance framework systems; performance and risk management systems; and compliance with law, guidance and codes of conduct.</p>
2.1.2	AuC	<p>Escalate to a full Board meeting where the AuC considers there is evidence of ultra vires transactions, improper acts or other important matters. Exceptionally, the matter may need to be referred to NHS Improvement (NHSI).</p>

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2.1.3	DoF  AuC	Ensure an adequate Internal Audit service is provided and involve AuC in the selection process.  Is involved in the selection process when the Internal Audit service provider is changed
2.2.1/ 2.2.2  2.2.1	DoF  AuC	Monitor and ensure compliance with the Secretary of State directions on fraud, corruption and bribery; including the appointment of a Local Counter Fraud Specialist. AuC will provide an oversight on behalf of the board.
2.4.1	Council of Governors (CoG)	Responsible for the appointment of an External Audit Service. Paid for by the trust.
2.4.1	AuC	Responsible for ensuring a cost effective External Audit service.
2.5.6	All Directors and Employees	To meet the legal standards of conduct with respect to Fraud, Corruption and Bribery and comply with trust policies in these areas.
3.5.4	CE	Delegate budget to Budget Holders.
3.5.5	CE & Budget Holders (BH)	Must not exceed the budgetary total set by the board.
3.5.1	DoF	Devise and maintain systems of budgetary control.
3.5.5.1 – 3.5.5.2	BH	Ensure that: <ul style="list-style-type: none"> <li>- any likely overspending or reduction of income is not incurred without prior approval in accordance with the Business Case Process or Virement Process to gain additional budgetary resources;</li> <li>- the approved budget is not used in whole or in part for any purpose other than that specifically authorised; and</li> <li>- no permanent employees are appointed other than those provided for in the budgeted establishment approved by the Board or supplemented through the Business Case Process.</li> </ul>

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3.5.6	Executive Medical Director (MD)	Responsible for ensuring that all items in the Cost Improvement Programme (CIP) and Business Cases are assessed for their impact on quality of care via completion and approval of a Quality Impact Assessment (QIA).
3.5.7	Directorates EA checkpoint (IWG representative)	Responsible for ensuring that all CIP schemes and Business Cases are assessed for Equality Impact via an Equality Impact Record (EAR)
3.5.9	DoF	Ensure that all items in the CIP are delivered in line with the Business Plan (Plan)
3.6.2	DoF	Ensure appropriate capital expenditure plans exist that reflect the Trust's strategic and operational plans and ensure that adequate funding is available for them
3.7.1	DoF  CE	<ul style="list-style-type: none"> <li>- Responsible for ensuring that the appropriate financial monitoring forms are submitted to the requisite monitoring organisations</li> <li>- Responsible for ensuring that the appropriate Governance returns are submitted to the requisite monitoring organisation.</li> </ul>
4.1.1	DoF	<ul style="list-style-type: none"> <li>- Prepare financial returns in accordance with relevant policies and guidance</li> <li>- Prepare and submit financial reports to NHSI.</li> </ul>
4.2.1	CE	Publication of the Annual Report and presentation at the Annual Members' Meeting.
5.1.1	DoF	Managing Treasury arrangements via a Treasury Management Process, including provision of banking services and operation of accounts.
5.3.1	DoF	Prepare detailed instructions on the operation of bank accounts, including maintaining a list of signatories.
5.4.1	FIC	Review Treasury Management arrangements for best practice and best value for money.

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6.1 to 6.4	DoF	<p>Responsible for :</p> <ul style="list-style-type: none"> <li>- Designing, maintaining and ensuring compliance with systems for the proper recording, invoicing, and collection and coding of all monies due;</li> <li>- Reviewing the level of all fees and charges other than those determined by the Department of Health or by Statute;</li> <li>- Debt recovery arrangements; and</li> <li>- Provision of adequate facilities and systems for employees whose duties include collecting or holding cash, handling cash and their alternatives and handling electronic banking transactions.</li> </ul>
6.5	All Employees	Duty to inform DoF of money due from transactions which they initiate or deal with.
7.1.1	Executive Director of Strategy & Business Development (DSBD)	<p>Responsible for commissioning NHS services for patient care.</p> <p>In undertaking this role, take advice from the DoF in relation to costing and pricing services, payment terms and any other financial conditions or implications.</p>
7.2.1	DSBD	Ensure that any commercial contract is in line with board strategic direction and properly Authorised
7.2.2	DoF	Produce regular reports detailing actual and forecast NHS income.
8.1.1	CoG	Establish a Nominations Committee.
8.1.2	Nominations Committee	Recommend remuneration and terms of service for Chair and Non-Executive Directors (NED) for approval by CoG.
8.2.1	Board	In accordance with SOs will establish an Appointments and Remuneration Committee (ARC).

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8.2.2	ARC	<ul style="list-style-type: none"> <li>- Advise the board on and make recommendations on the remuneration and terms of service of the CE, other Executive Directors (ED) and other senior employees, including salary, other benefits including pension and cars and arrangements for termination of employment.</li> <li>- NEDs appoint or remove the CE. A committee consisting of the Chairman, the CE and the other NEDs appoints or removes the EDs;</li> <li>- Oversee appropriate contractual arrangements for all staff;</li> <li>- Oversee the proper calculation and scrutiny of any termination payments or non- contractual payments taking account of such national guidance as is appropriate.</li> </ul>
8.2.3	ARC	Determine and report to the Board appropriate remuneration and terms of service of Directors and any senior employee above Band 8 who is not covered by Agenda for Change (AfC) terms and conditions.
8.3.1	Board	Determine any changes in Trust standard terms and conditions.
8.4.2	Business Case Group BCG), Executive Management Board (EMB) or Board	Approve any increase in delegated budgets, including funded establishment of any department in accordance with the Business Case Process and associated financial limits.
8.5.1	DoF and HRD	Approve any employee engagement, either of a permanent or temporary nature or the hiring of agency staff, unless it falls within the limit of the approved budget and funded establishment. Confirmation must be sought from the Finance Department via the Staff Requisition Form.



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8.5.2	DoF and HRD	Approve any re-grading of existing employees or the alteration any aspect of remuneration of an existing employee, unless it falls within the limit of the approved budget and funded establishment. . Confirmation must be sought from the Finance Department via the staff requisition form.
8.6.1 – 8.6.2	HRD	Payroll: <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 and making payments on agreed dates;</li> <li>- Agreeing method of payment;</li> <li>- Issuing instructions (various as identified).</li> </ul>
8.6.4	HRD	<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 arrangement are made for the collection of payroll deductions and payment of these to appropriate bodies.</li> </ul>
8.6.3 8,7,1	Managers as nominated by CE (Nominated Managers)	<ul style="list-style-type: none"> <li>- Submit time records in line with timetable;</li> <li>- Complete time records and other notifications in required form; and</li> <li>- Submit starting and termination forms in prescribed form and on time.</li> </ul>
8.8.1	HRD	<ul style="list-style-type: none"> <li>- All employees are issued with a contract of employment in a form approved by the board of directors and which complies with employment legislation;</li> <li>- Deal with variations to, or termination of, contracts of employment; and</li> <li>- Deal with claims, settlements, compensation tribunal hearings and disputes generally, arising from contracts of employment, subject to ARC approvals.</li> </ul>
9.1.1	CE	<ul style="list-style-type: none"> <li>- Following board’s annual approval of non-pay expenditure will determine and set out, level of delegation to budget managers.</li> </ul>

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9.1.2	DoF	<ul style="list-style-type: none"> <li>- Set out a list of managers (Requisitioners) authorised to place requisitions, the maximum level of each requisition and the system for authorisation above that level. This is detailed in the appendix to this document, Authority to Incur expenditure .</li> </ul>
9.1.4	DoF	<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>
9.2.1	Requisitioners	<ul style="list-style-type: none"> <li>- In choosing the item to be supplied (or service to be performed) shall always obtain the best value for money for the Trust. In so doing, the advice of the Trust's Head of Procurement (HoP) shall be sought.</li> </ul>
9.2.2	DoF	<ul style="list-style-type: none"> <li>- Shall be responsible for prompt payment of accounts and claims.</li> </ul>
9.2.3	DoF	<ul style="list-style-type: none"> <li>- Advise the board regarding the setting of the thresholds above which quotations (competitive or otherwise) or formal tenders must be obtained.</li> <li>- 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 DoF of accounts for payment; provision shall be made for the early submission of accounts subject to cash discounts for 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>
9.2.4	DoF	<ul style="list-style-type: none"> <li>- Approves all prepayments.</li> </ul>
9.2.5	CE/DoF	<ul style="list-style-type: none"> <li>- Authorise who may raise official orders.</li> </ul>
9.2.6	All Employees	<ul style="list-style-type: none"> <li>- Ensure they comply with the guidance and limits specified by the DoF.</li> </ul>
9.2.8	DoF	<ul style="list-style-type: none"> <li>- Establish controls over additions and deletions to the Trust list of approved contractors and suppliers and compliance with procurement frameworks.</li> </ul>

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9.2.9	CE	<ul style="list-style-type: none"> <li>- Ensure that lists of all contractors are maintained in an up-to-date condition and ensure that systems are in place to deal with applications, resignations, inspection of premises, as within the contract.</li> </ul>
9.2.10	DoF	<ul style="list-style-type: none"> <li>- Ensure that; only contractors who are included on the Trust's approved lists receive payments;</li> <li>- That regular independent verification of claims is undertaken;</li> <li>- That arrangements are in place to identify contractors receiving exceptionally high, low or no payments, and highlight these for further investigation.</li> </ul>
9.2.11	DoF	<ul style="list-style-type: none"> <li>- Ensures that a process is in place detailing the process and authority limits for tendering.</li> </ul>
10.1.1	DoF	<ul style="list-style-type: none"> <li>- Will advise the board on the Trust's ability to pay interest on, and repay, any proposed borrowing, within the limits set by NHSI.</li> <li>- Report periodically to the Board on the originating debt, loans and overdrafts.</li> </ul>
10.1.2	DoF	<ul style="list-style-type: none"> <li>- Approves any application for a loan or overdraft or delegates this responsibility to a senior manager</li> </ul>
10.1.3	DoF	<ul style="list-style-type: none"> <li>- Authorises any short-term borrowing in excess of one month.</li> </ul>
10.2.1	Board	<ul style="list-style-type: none"> <li>- Authorises temporary cash surpluses held in public or private sector investments.</li> </ul>
10.2.2	DoF	<ul style="list-style-type: none"> <li>- Responsible for producing, obtaining approval for, and implementing a Treasury Management Process</li> </ul>
10.2.3	DoF	<ul style="list-style-type: none"> <li>- Prepare detailed procedural instructions on the operation of investment accounts and records to be maintained.</li> </ul>
10.2.4	DoF	<ul style="list-style-type: none"> <li>- Will advise the Board on investments and report periodically on their performance.</li> </ul>

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11.1.1	DoF	<p>Capital Investment Programme:</p> <ul style="list-style-type: none"> <li>- Ensure that there is an effective appraisal and approval process for determining capital expenditure priorities and the effect that each has on the Plans;</li> <li>- Responsible for the oversight of all stages of capital schemes and for ensuring that they are delivered on time and within cost;</li> <li>- Ensure all consideration is given to means of funding for all capital investment; and</li> <li>- Ensure the capital investment is not undertaken without availability of resources to finance all revenue consequences (including lease payments, depreciation and interest payable)</li> </ul>
11.1.4	DoF	<p>In accordance with the Business Case Process, ensure a business case or Business Brief is produced for every capital expenditure scheme being proposed setting out:</p> <ul style="list-style-type: none"> <li>- Clear statement of purpose;</li> <li>- Financial analysis allowing assessment of payback or net present value of proposed expenditure and appropriate to size, complexity and time frame of the proposal;</li> <li>- Appraisal of other options considered, laying out reasons for the decision; and</li> <li>- Appropriate project management and control arrangements.</li> <li>- Post project appraisal of benefits</li> </ul>
11.1.5	DoF	Issue processes for management of contracts involving stage payments.
11.1.6	DoF	Issue processes for the regular reporting of expenditure and commitments against authorised capital expenditure.

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11.1.7	DoF	Issue to manager responsible for any scheme:  <ul style="list-style-type: none"> <li>- Authority to commit expenditure;</li> <li>- Authority to proceed to tender; and</li> <li>- Approval to accept a successful tender.</li> </ul>
11.1.8	DoF	Shall issue a process governing the financial management of capital investment projects including variation to contract and valuation for accounting purposes.
11.2.	Board	Approve any land or property transactions subject to delegation for very small Transactions as per the Disposals Process.
11.3.1	Board	Approve any use of Private Finance.
11.4.2	DoF	Responsible for maintenance of asset register and for an annual physical check of assets against the asset register.
11.4.5	DoF	Approve processes for reconciling balances on fixed assets accounts in ledgers against balances on fixed asset registers.
11.5.1	CE	Responsible for the overall control of fixed assets.
11.5.2	DoF	Approve a fixed asset control process.
11.5.3	BH  DoF	Responsible for notifying DoF of any discrepancies when verifying physical assets to the fixed asset register.  Report discrepancies to AuC
11.5.4	DoF	Responsible for the security of Trust property and for ensuring that appropriate routine security practices.
11.5.4	All employees	Report any damage to premises, vehicles and equipment, or any loss of equipment, stores or supplies in accordance with Trust procedures.

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12.2.1	CE  Estates Manager  Head of Fleet	Delegates overall responsibility for control of stores (subject to DoF responsibility for systems of control).  Control of fuel oil;  Control of Vehicle Fuel.
12.2.2	Nominated managers	Responsible for security arrangements and custody of keys for all stores and locations.
12.2.3	Chief Pharmacist	Responsible for storage, distribution and record keeping obligations for pharmaceuticals including controlled drugs.
12.2.4	DoF	Set out procedures and systems to regulate the stores.
12.2.5	DoF	Agree stocktaking arrangements.
12.2.6	DoF	Approve alternative arrangements where a complete system of stores control is not justified.
12.2.7	DoF	Approve system for review of slow moving, obsolete items and condemnation, disposal and replacement of unserviceable items.
12.2.7	Nominated managers	Operate the system for slow moving and obsolete stock, and report to the DoF any evidence of significant overstocking and of any negligence or malpractice.
13.1.1	DoF	Prepare and ensure implementation of an Asset Disposal Process, including condemnation, and ensure that these are notified to relevant managers.  Identify the designated manager responsible for each disposal or condemnation.
13.1.2	Head of Department (or authorised deputy)	For any proposed asset disposal, will determine and advise the DoF of estimated market value, taking into account any appropriate professional advice.

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13.1.3	Condemning officer	All unserviceable articles to be recorded in a form approved by the DoF, which will indicate whether they are to be converted, destroyed or disposed.
13.2.1	DoF	Prepare: <ul style="list-style-type: none"> <li>- Procedural instructions on the recording and accounting for condemnations, losses and special payments;</li> <li>- Fraud response plan, setting out the action for detecting a suspected fraud and those responsible for investigating it.</li> </ul>
13.2.2	All employees	Must report immediately the discovery or suspicion of loss of any kind to their head of department (who must inform immediately the CE and DoF) or inform the nominated officer responding to concerns involving loss or fraud confidentially.
13.2.3	DoF	In cases of fraud, corruption or bribery, DoF must inform NHS Protect regional team in line with Secretary of State directions.
13.2.4	DoF	Notify all suspected frauds to LCFS and the External Auditor.
13.2.5	DoF	Notify the Board and external auditor of material losses caused by theft, arson, neglect of duty or gross carelessness.
13.2.6	DoF	Approve all write off of losses. Must report material items to AuC who may request external audit or independent review.
13.2.7	DoF	Take necessary steps to safeguard the Trust's interests in personal and company insolvencies.
13.2.8	DoF	Consider any potential insurance claims.
13.2.9	DoF	Produce an annual losses and special payments report for AuC.
14.1.1	DoF/Senior Information Risk Officer (SIRO)	Ensure that there are controls over the accuracy and security of computerised data of the trust.

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14.2.1	DoF	<p>Ensure that:</p> <ul style="list-style-type: none"> <li>- New computer systems and amendments to current systems are developed in a controlled manner and thoroughly tested prior to implementation.</li> <li>- Where this undertaken by another organisation, assurance of adequacy will be obtained from them before implementation.</li> </ul>
14.3.1	DoF	<p>Ensure that contracts with other bodies for the provision of computer services shall clearly define the responsibilities of all parties for security, privacy, accuracy, completeness and timeliness of data during processing, transmission and storage and allow for audit review.</p>
14.3.2	DoF	<p>Where any other agency provides a computer service for financial applications shall seek assurance that adequate controls are in operation.</p>
14.3.3	DoF	<p>Where a computer system has an impact on corporate financial systems shall ensure that:</p> <ul style="list-style-type: none"> <li>- System acquisition, development and maintenance are in line with corporate policies;</li> <li>- Data produced for use with financial systems is adequate, accurate, complete and timely and a management audit trail exists;</li> <li>- DoF and staff have access to such data; and</li> <li>- Computer audit reviews considered necessary are being carried out.</li> </ul>
14.4.1	DSBD	<p>Publish and maintain standards for information governance.</p>
14.5.1	DSBD	<p>Shall publish and maintain a Freedom of Information (FOI) Publication Scheme.</p>
14.6.1	DoF	<p>Ensure risks to the trust from use of IM&amp;T are identified and considered and that disaster recovery plans are in place.</p>



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15.1.2	DoF	<p>Shall arrange for:</p> <ul style="list-style-type: none"> <li>- The administration of all charitable funds and ensure governing document exists;</li> <li>- To produce for the guidance of directors and employees detailed Process recovering the financial management of charitable funds.</li> </ul>
15.1.3	Charitable Funds Committee (CFC)	Oversight of all matters relating to Charitable Funds, including the approval of the Annual Accounts for submission to the Charity Commission.
15.2.5	DoF	Periodically review the charitable funds, making recommendation to CFC for any rationalisation of funds within statutory guidelines.
15.2.6	DoF	Recommend an overall the number of charitable funds that is consistent with procedure for ensuring safe and appropriate management of restricted funds.
15.3.1	DoF	Arrange for the creation of new funds in accordance with the procedure where they cannot be managed as part of an existing charitable fund.
15.3.3	DoF	Recommend to CFC that new funds are declined if conditions or restrictions are imposed that are inconsistent with the charitable fund procedure.
15.4.1	DoF	Provide guidance for donations.
15.4.2	DoF	Provide guidance to officers on legacies and bequests.
15.4.3	CE	<p>In respect of fundraising shall:</p> <ul style="list-style-type: none"> <li>- Deal with all arrangements and ensure compliance with statute and regulation;</li> <li>- Liaise with other organisations/ persons fund raising for the trust. CE is only officer empowered to give approval for fund raising subject to board direction;</li> <li>- Responsible to alert the Board of any irregularities regarding use of trust name or registration number.</li> </ul>

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15.4.4	DoF	Responsible for treatment of all dividend, interest and other receipts resulting from investment income.
15.5	DoF	Responsible for the management of the investment of charitable funds. Advising the board as deemed necessary on for example Investment policy, appointment of advisors, brokers and fund managers and their performance; use of charitable assets and reporting of investment performance.
15.6	DoF	<p>Manage the disposition of the funds in conjunction with CFC. Ensure that the following issues are observed and any material departures reported to CFC:</p> <ul style="list-style-type: none"> <li>- Funds are disposed in accordance with and the designated or restricted objectives;</li> <li>- Availability of liquid funds within each charitable fund;</li> <li>- Powers of delegation to commit resources;</li> <li>- Avoidance of the use of Exchequer funds (except where administratively unavoidable), and then to ensure such indebtedness in discharged at the earliest possible time;</li> <li>- Funds are spent rather than preserved. (subject to wishes of the donor and needs of the trust;</li> <li>- Definition of “charitable purposes” as agreed by the Charity Commission.</li> </ul>
15.7 – 15.10	DoF	Responsible for the following matters relating to Charitable funds: banking, asset management; reporting; accounts and audit.
16.1.1	CE	Ensuring suitable document retention procedure.
16.2.1	CE	Documents held under BH(89)20 shall only be destroyed at express instigation of the CE. Records maintained of any documents destroyed.
17.1.1	CE	Ensure the trust has a Risk Management Framework.

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17.1.2	Board	Oversight of the programme of risk management.
17.1.4	DoF	Ensure appropriate insurance arrangements to mitigate material risks.
18.1	CE	Responsible for ensuring there is a clear policy, which complies with legislation regarding fraud and bribery.
Appendix 1, 2.3.3	Trust Secretary or DoF	Responsible for the receipt, endorsement and safe custody of tenders received until the time appointed for opening.
Appendix 1, 3.2.3	HoP	Maintain a register to show each set of competitive tender invitations dispatched.
Appendix 1, 4.1	Designated Officers	Have regard to best value will be obtained and whether the number of tenders received provide adequate competition. Refer to DoF in cases of doubt.
Appendix 1, 4.2	DoF	Decide if exceptional circumstances may be considered for tenders received after due time and date.
Appendix 1, 4.2	DoF	Decide if tenders are admissible and whether re-tendering is desirable.
Appendix 1, 4.3	DoF	Decide whether tenders are admissible if they are late for technical reasons (e.g. dispatched on time and delayed through no fault of tenderer).
Appendix 1, 4.8	DoF and HoP	Where one tender received is received will assess the price is fair and reasonable.
Appendix 1, 4.9	DoF	Decide in cases where the lowest tender (if payment to be made) or highest (payment to be received) is not awarded.  The decision needs to demonstrate good and sufficient reason. DoF will arrange for such cases to be recorded and reported to AuC, outlining the financial implications.
Appendix 1, 4.10	DoF or HoP	where the form of contract includes a fluctuation clause all applications for price variation must be submitted in writing by the tenderer for approval by DoF/HoP.

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Appendix 1, 4.11	HoP	Ensure that all tenders are treated as confidential and retained for at least 6 years.
Appendix 1, 4.12	HoP	Ensure there are no post-tender negotiations; clarification is permitted. But price negotiation is not.
Appendix 1, 5.1	HoP	Ensure appropriate checks are carried out as to technical and financial capability of firms invited to tender or quote.
Appendix1, 5.2	DoF	Ensure that tenderers for building, engineering and maintenance have the appropriate capacity, conditions of labour etc. and financial standing.
Appendix 1,5.3	DoF	Ensure that tenderers for supply of goods, materials and related services and management consultancy services have the appropriate technical competence and financial standing.
Appendix 1, 5.4	DoF	In the case of provision of healthcare services to the trust by private sector providers:  Ensure processes are in place to provide assurance on the financial standing,, technical/medical competence of tenderers  Make arrangements to ensure that proposed contract awards deliver value for money that risks are identified and appropriate mitigations are in place.
Appendix 1, 5.6	HoP	Monitor level of business transacted with suppliers by the trust in relation to total annual turnover of supplier, to evaluate the extent this represents a risk to the trust.
SO 9.5	DoF	Report waivers of tendering procedures to AuC.

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