



NHS LANARKSHIRE

SCHEME OF DELEGATION

September 2008

Date approved:

Review date:

**LANARKSHIRE NHS BOARD
SCHEME OF DELEGATION**

1. Scheme of Delegation arising from Standing Orders

Area of Responsibility/Duties Delegated	Delegated to	Authorised Deputy	Financial Value £'m	Constraints/Reference
1.1 Maintenance of Register of Board Member Interests	Board Secretary	N/A	N/A	
1.2 Execution of documents on behalf of Scottish Ministers relating to property transactions	Chief Executive and Director of Finance	N/A	N/A	Property transaction decisions retained by the Property Committee over £0.150m. All signatures to be in accordance with the Property Transaction Manual.

2. Corporate Governance – arising from Standing Financial Instructions

Area of Responsibility/Duties Delegated	Delegated to	Authorised Deputy	Financial Value £'m	Constraints/Reference
2.1 System for funding decisions and business planning	Director of Finance	N/A		In accordance with Standing Financial Instructions
2.2 Preparation of Financial Plans	Director of Finance	DDoF (Corporate)	NHS Board Revenue Resource Limit	Approval required by NHS Board

Area of Responsibility/Duties Delegated	Delegated to	Authorised Deputy	Financial Value £'m	Constraints/Reference
2.3 Preparation of Capital Plan	DoF	DDoF (Corporate)	As per Capital Plan	Approval required by CIG
2.4 Preparation of Core Equipment Group plans	Head of Planning	DDoF (Acute)		
2.5 Preparation of Business Cases	Director of Planning	DoF	Limit as per Capital Plan	Approval by NHS Board or CIG
2.6 SBC approval	< £2.5m	CIG	-	Limit as per Capital Plan
	>£2.5 to £5m	Property Committee	-	Limit as per Capital Plan
2.7 OBC approval	NHS Board	-	Limit as per Capital Plan	Approval by CIG
2.8 FBC approval	NHS Board	-	Limit as per Capital Plan	Approval by CIG
2.9 Budget Setting to CHPs/Acute Divisions/external Board SLAs	Director of Finance	DDoFs	As per Financial Plan	
2.10 Budget Setting within CHPs	Deputy Director of Finance (Community Health Partnerships)	N/A	Limit as per Financial Plan	
2.11 Budget Setting within Acute Division	Deputy Director of Finance (Acute)	N/A	Limit as per Financial Plan	
2.12 Budget Setting within external Board SLAs	Deputy Director of Finance (Corporate)	N/A	Limit as per Financial Plan	
2.13 Financial Systems and Operating Procedures	Director of Finance	Financial Controller	N/A	
2.14 Authority to commit expenditure for which no provision has been made in approved plans/budgets < £0.5m > £0.5m	DoF CMT			

Area of Responsibility/Duties Delegated	Delegated to	Authorised Deputy	Financial Value £'m	Constraints/Reference
2.15 Virement of Budget between approved Operational Budgets for items where no provision has been made in approved plans/budgets	Director Acute Services Director CHP North Director CHP South	Deputy DoFs	£0.250m	
2.16 Financial Monitoring System	Director of Finance	N/A		
2.17 Maintenance/Operation of Bank Accounts	Director of Finance	Financial Controller	N/A	Subject to appointment of Bankers by NHS Board Subject to review of national arrangements
2.18 Annual Accounts signatories	Chief Executive and Director of Finance	N/A	N/A	In accordance with Scottish Accounts Manual
2.19 Audit Certificate	Appointed Auditors	N/A		In accordance with Scottish Accounts Manual
2.20 Preparation of Statement of Internal Control	Director of Finance	Chief Internal Auditor	N/A	In accordance with Scottish Accounts Manual
2.21 Performance Management Reporting Arrangement	Director of Planning	Head of Performance Management		
2.22 Losses and Special Payments				Per SGHD guidance.

3. Corporate Governance (non Financial)

Area of Responsibility/Duties Delegated	Delegated to	Authorised Deputy	Financial Value £'m	Constraints/Reference
3.1 Clinical Governance				
3.1.1 Preparation of Clinical Governance Strategy	Medical Director	Head of Clinical Governance	N/A	
3.1.2 Approval of research and development Studies including associated clinical trials and indemnity agreements for commercial studies	Director of Public Health	N/A	N/A	Ethics Committee approval required
3.1.3 Preparation of Clinical Effectiveness Strategy	Medical Director	Head of Clinical Governance	N/A	
3.1.4 Research Governance Compliance with local research governance implementation plan	Medical Director	Head of Clinical Governance	N/A	
3.2 Legal Claims				
3.2.1 Clinical Claims/other Settlements	General Manager/Patient Services Manager	Deputy Director of Finance	<£0.050m	Scottish Government approval is required for all clinical claims in excess of £250,000
	Executive Director	Deputy Director of Finance	£0.050m - £0.100m	
	Executive Director	Director of Finance	> £0.100m	Scottish Government approval is required for all other claims in excess of £100,000

Area of Responsibility/Duties Delegated	Delegated to	Authorised Deputy	Financial Value £'m	Constraints/Reference
3.3 Preparation of Patients Complaints Policy	Director of CHP North	Head of Patient Affairs	N/A	
3.3.1 Monitoring arrangements and reporting of complaints	Director of CHP North	Head of Patient Affairs	N/A	
3.4 Scheme of Delegation Responsibility for preparation and update of Scheme	Chief Executive	Director of Finance	N/A	
3.5 Sealing of Documents	Director of Finance	Board Secretary	N/A	Use of Board seal is accompanied by signature as determined in Board Standing Orders
3.6 Signing of Documents Service Level Agreements with surrounding Health Boards	Director of Finance	Deputy DoF (Corporate)	As per supporting Financial Plan	
3.7 Extended Local Partnership Agreements and Joint Working Agreements with Local Authorities	Director North CHP Director South CHP	Deputy DoF (CHPs)	Within existing delegated budget	Financial commitments beyond existing delegated CHP budgets must fit with applicable virement limit
3.8 Development and Maintenance of Performance Management Framework	Director of Planning	Head of Performance Management	N/A	
3.9 Staff Governance				
3.9.1 Implementation of Staff Governance Standards action plan	Director of Human Resources	Head of Pay and HR Practice	Within existing resources	
3.9.2 Preparation of Human Resources Plan, policies and strategy	Director of Human Resources	Divisional HR Director CHP South	N/A	
3.9.3 Preparation of Learning and Development Plan	Director of Organisational Development	Head of Organisational Development	N/A	

Area of Responsibility/Duties Delegated	Delegated to	Authorised Deputy	Financial Value £'m	Constraints/Reference
3.9.4 Preparation of Whistle Blowing Policies and Procedures	Director of Human Resources	Divisional HR Director – CHP South	N/A	Agreement with Area Partnership Forum
3.9.5 Responsibility for implementing changes to terms and conditions of service	Director of Human Resources	Head of Pay and HR Practice		
3.10 Preparation Contracts of Employment	Director of Human Resources	Head of Human Resources	N/A	Compliance with current legislation and agreed terms and conditions

4. Risk Management

Area of Responsibility/Duties Delegated	Delegated to	Authorised Deputy	Financial Value £'m	Constraints/Reference
4.1 Risk Management				
4.1.1 Preparation of Risk Management Strategy	Chief Executive	Head of Risk Management	N/A	QIS Clinical Governance and Risk Management Self assessment submission for Peer review
4.1.2 Preparation and Management of Corporate Risk Register	Head of Risk Management		N/A	QIS Clinical Governance and Risk Management Self assessment submission for Peer review
4.2 Policies and Procedures				
Child Protection Policies	Chief Executive	N/A	N/A	See Clinical Governance Committee remit
Prescribing Policies	Area Drugs & Therapeutics Committee	N/A	N/A	As per resource constraints of Prescribing Management Board

Area of Responsibility/Duties Delegated	Delegated to	Authorised Deputy	Financial Value £'m	Constraints/Reference
4.2 Health and Safety – staff	Chief Executive	Director of HR	N/A	OHS Committee
4.3 Health and safety - buildings	Chief Executive	Director of Planning - Buildings		

5. Health Planning

Area of Responsibility/Duties Delegated	Delegated to	Authorised Deputy	Financial Value £'m	Constraints/Reference
5.1 Preparation of Local Delivery Plan	Director of Planning	Head of Performance Management	As per supporting Financial Plan	
5.2 Preparation of Corporate Objectives	Board Chief Executive	Director of Organisational Development	N/A	

6. Access

Area of Responsibility/Duties Delegated	Delegated to	Authorised Deputy	Financial Value £'m	Constraints/Reference
6.1 Waiting Times	Director of Acute Services	Head of Planning – Acute Head of Planning - CHPs	N/A	
6.2 Public Information on access to services	Director of Planning	Head of Communications	N/A	
6.3 Procedure for patients who wish to appeal against clinical decisions on their continuing healthcare	Medical Director		N/A	CEL 6 2008

7. Patient Focus Public Involvement

Area of Responsibility/Duties Delegated	Delegated to	Authorised Deputy	Financial Value £'m	Constraints/Reference
7.1 Designated Director for patient public focus public involvement	Director of Planning			
7.2 Compliance with guidelines on Chaplaincy and Spiritual Care including Spiritual Care strategy preparation	Director of Organisational Development			

8. Health Promotion and Education

Area of Responsibility/Duties Delegated	Delegated to	Authorised Deputy	Financial Value £'m	Constraints/Reference
8.1 Health Education and Health Promotion Strategies	Director of Public Health	Consultant in Public Health	As per supporting Financial Plan	Link to Community Health Partnerships
8.2 Public Health Information dissemination	Director of Public Health	Consultant in Public Health	N/A	Link to Community Health Partnerships

9. Information Governance

Area of Responsibility/Duties Delegated	Delegated to	Authorised Deputy	Financial Value £'m	Constraints/Reference
9.1 Responsibility for Information Management Systems & Strategy	Director South CHP	GM IM&T	As per Financial Plan	Must include Information Governance
9.2 Clinical Responsibility for IM&T Strategy	Director South CHP	E Health Clinical Lead		
9.3 Data Protection Act	Director South CHP	General Manager IM&T	N/A	
9.4 Cladicott Guardian	Director of Public Health		N/A	
9.5 Freedom of Information Policy	Director of Planning	Head of Communications		

10. Communication

Area of Responsibility/Duties Delegated	Delegated to	Authorised Deputy	Financial Value £'m	Constraints/Reference
10.1 Preparation of Communication Strategy	Director of Planning	Head of Communications	N/A	
10.2 Preparation of Annual Report	Director of Planning	Head of Communications	N/A	
10.3 Distribution of all relevant new legislation, regulations, good practice and case law	Board Secretary		N/A	
10.4 Communication of, and adherence to SFIs/SoD	Director of Finance	Deputy Directors of Finance		

11. Healthcare Associated Infection

Area of Responsibility/Duties Delegated	Delegated to	Authorised Deputy	Financial Value £'m	Constraints/Reference
11.1 Compliance and adherence to national standards in healthcare acquired infection	Medical Director			Link to Clinical Governance Committee
11.2 Compliance and adherence to national standards in decontamination	Medical Director			Link to Infection Control Committee

12. Emergency and Continuity Planning

Area of Responsibility/Duties Delegated	Delegated to	Authorised Deputy	Financial Value £'m	Constraints/Reference
12.1 Emergency Planning				
12.1.1 Preparation and maintenance of comprehensive Emergency Plan	Director of Public Health	Consultant in Public Health	N/A	
12.1.2 Preparation and maintenance of Business Continuity Plan	Director of Planning		N/A	

13. Public Health Programme

Area of Responsibility/Duties Delegated	Delegated to	Authorised Deputy	Financial Value £'m	Constraints/Reference
13.1 Screening/Immunisation/Vaccination programmes	Director of Public Health	Consultant in Public Health	Within existing resources	
13.2 Communicable Disease Control	Director of Public Health	Consultant in Public Health	Within existing resources	

14. Management of Budgets

Area of Responsibility/Duties Delegated	Delegated to	Authorised Deputy	Financial Value £'m	Constraints/Reference
14.1 Management of Revenue Budgets (acute) Responsibility for keeping expenditure within budgets				
a) at individual budget level (pay and non-pay)	Nominated budget-holders	Named deputies	Budget notified	List to be maintained
b) at service level	Clinical Division GMs	Named deputies	Budget notified	
c) for contingencies	Deputy Director of Finance	HoF		Subject to maximum virement limit of Director
d) Virement of budget within Acute Division	Director Acute Services	Deputy DoF		Subject to maximum virement limit of Director
e) Virement of budget between Acute Division/CHP - per event	Both Directors	Deputy Directors of Finance		Subject to maximum virement limit of Director
14.2 Management of Revenue Budgets (Community Health Partnerships) Responsibility for keeping expenditure within budgets				
a) at individual budget level (pay and non-pay)	Nominated budget-holders	Named deputies	Budget notified	List to be maintained
b) at service level	Locality General Managers	Named deputies	Budget notified	
c) for contingencies	Deputy DoF (CHPs)	HoF		Subject to maximum virement limit of Director
d) Virement of budget within CHP - per event	Director CHP	Deputy DoF (CHPs)		Subject to maximum virement limit of Director
e) Virement of Budget between CHPs/Acute Division (see above)				

15. Family Practitioner Services

Area of Responsibility/Duties Delegated	Delegated to	Authorised Deputy	Financial Value £'m	Constraints/Reference
15.1 Preparation of GMS Contracts	Director South CHP		Within overall budget in Financial Plan	
15.2 Agreement of GMS Contracts	Chief Executive			
15.3 Monitoring of Contracts including Quality Outcome Framework	Director South CHP	Deputy Director of Finance - CHPs	Within overall budget in Financial Plan	

16. Operational Activities (subject to compliance with Standing Orders and Standing Financial Instructions)

Area of Responsibility/Duties Delegated	Delegated to	Authorised Deputy	Financial Value £'m	Constraints/Reference
16.1 Ordering of Supplies/Goods (a) > £2m	CMT	-	-	Subject to containment within overall revenue plan
(b) £1m - £2m	Acute/CHP Management Team or For single system budgets: budget holding Executive Director plus one other Director	-	-	Subject to containment with delegated budget
(c) £50k - £1m	Acute/CHP Director or For single system budgets: budget holding Executive Director	-	-	Subject to containment within delegated budget

Area of Responsibility/Duties Delegated	Delegated to	Authorised Deputy	Financial Value £'m	Constraints/Reference
(d) £20k - £50k	Any one of: Chief Pharmacist, DDoF, GMs	-	-	Subject to containment with delegated budget
(e) Up to £20k	Designated Ordering Officers	-	-	Subject to containment with delegated budget
16.2 Healthcare Agreements (amendments to existing agreement; or new agreements)				
(a) NHS > £1m	CMT	-	-	Subject to confirmation of revenue affordability
(b) NHS < £1m	DoF	-	-	Subject to confirmation of revenue affordability
(c) Non NHS > £2m	Board	-	-	Subject to confirmation of revenue affordability
(d) Non NHS £1m - £2m	CMT	-	-	Subject to confirmation of revenue affordability
(e) Non NHS < £1m	Appropriate Executive Director	-	-	Subject to confirmation of revenue affordability
16.3 Cheque signatories				
(a) > £100k	One level 1 signatory plus any other authorised signatory	-	-	Subject to containment within delegated budget
(b) £25k - £100k	One Level 1 or Level 2 ¹ signatory plus any other authorised signatory			Subject to containment within delegated budget
(c) £2k - £25k	Any two signatories			Subject to containment within delegated budget
(d) < £2k	Any authorised signatory			Subject to containment within delegated budget

¹ Level 1 DoF; Executive Directors; DDoFs
Level 2 HoFs; Financial Controller; Senior Financial Accountant

Area of Responsibility/Duties Delegated	Delegated to	Authorised Deputy	Financial Value £'m	Constraints/Reference
16.4 Setting of Fees and Charges Private patients, overseas visitors, income generation and other patient related services	Director of Finance	Deputy DoF (Corporate)		
16.5 Endowments				Requires review by Endowments Committee
Area of Responsibility/Duties Delegated	Delegated to	Authorised Deputy	Financial Value £'m	Constraints/Reference
16.6 Condemning & Disposal of Assets (excluding property) Items absolute, obsolescent, redundant, irreparable or cannot be repaired cost effectively - with current/estimated purchase price up to £20,000	GM PSSD			
- with current/estimated purchase price between £20,000 and £250,000	Director of Finance	Deputy DoF		
- with current/estimated purchase price over £250,000	Director of Finance	Director of Finance		Budget CIG
16.9 Condemnations, Losses and Special Payments				

17. Capital activities (subject to compliance with standing Orders and Standing Financial Instructions)

Area of Responsibility/Duties Delegated	Delegated to	Authorised Deputy	Financial Value £'m	Constraints/Reference
17.1 Condemning & Disposal of Property (excluding heritable property) Items obsolescent, redundant, irreparable or cannot be repaired cost effectively Items declared surplus to NHS Board requirements				
1. Where sale is below £0.150m	Executive Director		<£0.150m	Subject to declaration of property as surplus
2. Where sale is above £0.150m	Property Committee		>£0.150m	
17.2 Award of Capital Tenders	CIG			Subject to containment within overall capital plan Subject to containment within overall capital plan
17.3 Management of Capital Budgets Responsibility for keeping expenditure within budgets				
a) at individual project level	Project Director	Named deputies	Budget notified	List to be maintained
b) Virement of budget between schemes - per event	Director of Planning	Deputy DoF (Corporate)		Subject to confirmation of Capital resource availability
c) Contingencies	Director of Finance	Deputy DoF (Corporate)		Subject to confirmation of capital resource availability