

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	Corporate Governance Manager	N/A	N/A	includes senior staff plus those with significant procurement/purchasing roles
1.2 Execution of Documents on behalf of Scottish Ministers relating to property transactions	Chief Executive or Director of Finance	N/A	N/A	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
<b>Financial/Organisational Governance</b>				
<b>2.1 System for funding decisions and business planning</b>	Director of Finance	N/A		in accordance with Standing Financial Instructions
<b>2.2 Preparation of Financial Plans</b>	Director of Finance	N/A	NHS Board Revenue Resource Limit	Approval required by NHS Board
<b>2.3 Preparation of Capital Plan</b>	Director of Finance	N/A	NHS Board Capital Resource Limit	Approval required by NHS Board
<b>2.4 Annual Budget Setting for Integrated Joint Boards (IJBs)</b>	Director of Finance	N/A	NHS Board Financial Plan	Approval required by NHS Board as part of NHS Board Financial Plan (with NHS Forth Valley Director of Finance and Section 95 Officer verification) ?
<b>2.5 Annual budget setting for non IJB services</b>	Director of Finance	N/A	Limit as per approved budget	
<b>2.6 Budget setting within Acute Services</b>	Assistant Director of Finance	N/A	Limit as per approved budget	
<b>2.7 Budget setting within Women and Children</b>	Assistant Director of Finance	N/A	Limit as per approved budget	As approved by respective IJB
<b>2.8 Budget Setting within Facilities and Infrastructure Related budgets</b>	Assistant Director of Finance	N/A	Limit as per approved budget	
<b>2.9 Budget setting within Primary Care and Mental Health Services</b>	Assistant Director of Finance	N/A	Limit as per approved budget	Subject to IJB Allocations for Set Aside Budgets
<b>2.10 Budget Setting within External Board SLAs</b>	Assistant Director of Finance	N/A	Limit as per approved budget	
<b>2.11 Budget Setting within Area Corporate Services</b>	Assistant Director of Finance	N/A	Limit as per approved budget	

2. Corporate Governance - arising from Standing Financial Instructions

Area of Responsibility / Duties Delegated	Delegated To	Authorised Deputy	Financial Value £'m	Constraints/Reference
2.14 Financial Systems and Operating Procedures including establishment and maintenance of Budgetary Control System	Director of Finance	Assistant Director of Finance	N/A	
2.15 Authority to commit expenditure for which no provision has been made in approved plans / budgets	Chief Executive Director of Finance	Director of Finance N/A	£0.500m £0.250m	
2.16 Virement of Budget between approved Operational Budgets for items where no provision has been made in approved plans/budgets (non IJB)	Director of Finance	Assistant Director of Finance	£0.100m	
2.17 Virement of Budget outwith Strategic Plan (IJB) - between set-aside budget and IJB operational oversight budgets	IJB Chief Officer	N/A	As per IJB Scheme of Delegation	with NHS Forth Valley Director of Finance and Section 95 Officer verification requirement to comply with IJB Scheme of Delegation
2.18 Financial Monitoring System	Director of Finance	N/A		
2.19 Maintenance / Operation of Bank Accounts	Director of Finance	Assistant Director of Finance	N/A	subject to national contract arrangements includes authorised signatories
2.20 Annual Accounts signatories	Chief Executive and Director of Finance	N/A	N/A	In accordance with Scottish Accounts Manual Annual Accounts require Board approval
2.21 Audit Certificate	Appointed Auditors	N/A		In accordance with Scottish Accounts Manual
2.22 Preparation of Governance Statement	Director of Finance	Assistant Director of Finance	N/A	In accordance with Scottish Accounts Manual

2. Corporate Governance - arising from Standing Financial Instructions

Area of Responsibility / Duties Delegated	Delegated To	Authorised Deputy	Financial Value £'m	Constraints/Reference
<b>2.23 Performance Management Reporting Arrangements</b>	Head of Performance	N/A	N/A	
<b>2.24 Losses and Special Payments including Legal Claims</b> All areas (see Divisional Section for lower levels of delegation)  Non-Clinical Claims : See section 4.2 for detailed authority  Clinical Claims : See section 4.2 for detailed authority	Director of Finance  Chief Executive  NHS Board approval	Assistant Director of Finance  Director of Finance  Chief Executive (where decision required urgently between Board Meetings)	£0.050m  £0.100m  £0.250m	SGHD approval required Standing Financial Instructions subject to clinical approval of Medical Director  beyond £0.100m NHS Board approval is required  beyond £ 0.250m SGHD approval is required subject to clinical approval of Medical Director
<b>2.25 Fraud</b>  Fraud Liaison Officer	Principal Auditor	Director of Finance	N/A	

3. Corporate Governance

Area of Responsibility / Duties Delegated	Delegated To	Authorised Deputy	Financial Value £'m	Constraints/Reference
<b>3.1 Clinical Governance</b>				
3.1.1 Preparation of Clinical Governance Strategy	Medical Director	N/A	within existing resources	
3.1.2 Approval of Research and Development Studies including associated clinical trials and indemnity agreements for commercial studies	Medical Director	Chief Executive	N/A	
3.1.3 Safer Management of Controlled Drugs	Director of Pharmacy	N/A	N/A	HDL(2007)12 Board Meeting August 2007
<b>3.2 Preparation of Patients Complaints Handling Procedure</b>	Director of Nursing	N/A	N/A	
3.2.1 Monitoring arrangements and reporting of complaints	Director of Nursing	N/A	N/A	
<b>3.3 Patient Access Schemes</b>	Director of Pharmacy	N/A	N/A	

3. Corporate Governance (cntd)

Area of Responsibility / Duties Delegated	Delegated To	Authorised Deputy	Financial Value £'m	Constraints/Reference
<b>3.4 Scheme of Delegation</b> Responsibility for preparation and Update of Scheme	Chief Executive	Director of Finance	N/A	
<b>3.5 Sealing of Documents</b>	Corporate Governance Manager	Director of Finance	N/A	Use of Board seal is accompanied by signature as determined in Board Standing Orders
<b>3.6 Signing of Documents</b> Service Level Agreements with surrounding Health Boards	Director of Finance	Assistant Director of Finance	as per supporting Financial Plan	
<b>3.7 Local Outcome Improvement Plans</b> <b>3.7.1 Joint Partnership Agreements within auspices of SOLDs</b>	Chief Executive Chief Executive	N/A Director of Finance	within existing delegated budget	Financial commitments beyond existing delegated budgets must fit with applicable virement limit  Specific Decisions retained by NHS Board - check before commitment
<b>3.8 Development and Maintenance of Performance Management Framework</b>	Head of Performance	N/A	N/A	

3. Corporate Governance (continued)

Area of Responsibility / Duties Delegated	Delegated To	Authorised Deputy	Financial Value £'m	Constraints/Reference
<b>3.9 Staff Governance</b> 3.9.1 Implementation of Staff Governance Standards action plan  3.9.2 Preparation of Workforce Strategy 3.9.3 Preparation of Recruitment and Retention Strategy and Policies  3.9.4 Preparation of Learning and Development Plan 3.9.5 Preparation of Whistle Blowing Policies and Procedures	Director of Human Resources  Director of Human Resources Director of Human Resources  Director of Human Resources Director of Human Resources	Associate Director of Human Resources (Staff Governance)  N/A Associate Director of Human Resources (Staff Governance)  Organisational Development Manager Associate Director of Human Resources (Staff Governance)	within existing resources  N/A N/A  N/A N/A	     Agreement with Area Partnership Forum
<b>3.10 Contracts of employment</b>	Director of Human Resources	Associate Director of Human Resources	N/A	Compliance with appointment of staff procedure where post is outwith agreed establishment
<b>3.11 Approval of new/redesigned posts</b>	Director of Finance and Director of Human Resources	Assistant Directors of Finance and Assistant Directors of Human Resources	within Financial Plan or delegated limits	

#### 4. Risk Management

Area of Responsibility / Duties Delegated	Delegated To	Authorised Deputy	Financial Value £'m	Constraints/Reference
<b>4.1 Risk Management</b>				
4.1.1 Preparation of Risk Management Strategy	Chief Executive	Director of Finance	N/A	
4.1.2 Preparation and Maintenance of Corporate Risk Register	Director of Finance	N/A	N/A	
<b>4.2 Policies and Procedures</b>				
Child Protection Policies	Chief Executive	Director of Nursing	N/A	See Clinical Governance Committee remit
Prescribing Policies	Medical Director	Director of Pharmacy	N/A	
<b>4.3 Health and Safety</b>	Chief Executive	Director of Facilities and Infrastructure	N/A	

#### 5. Health Planning

Area of Responsibility / Duties Delegated	Delegated To	Authorised Deputy	Financial Value £'m	Constraints/Reference
<b>5.1 Preparation and Monitoring of the Annual Plan</b>	Director of Public Health & Strategic Planning	Head of Planning	as per Annual Financial Plan	
<b>5.2 Preparation of Annual Operational Plan</b>	Director of Public Health & Strategic Planning	Head of Planning	as per Annual Financial Plan	
<b>5.3 Preparation of Corporate Objectives</b>	Chief Executive	N/A	N/A	

6. Access,transfer,referral,discharge

Area of Responsibility / Duties Delegated	Delegated To	Authorised Deputy	Financial Value £'m	Constraints/Reference
6.1 Activity Monitoring Report	Director of Facilities and Infrastructure	Information Services Manager	N/A	
6.2 Public Information on access to services	Chief Executive	Head of Communications	N/A	
6.3 Preparation of Discharge Strategy and Policy	Chief Executive	General Managers or equivalent	N/A	

7. Patient Focus Public Involvement

Area of Responsibility / Duties Delegated	Delegated To	Authorised Deputy	Financial Value £'m	Constraints/Reference
7.1 Designated Director for Person Centred care and Engagement	Director of Nursing	N/A	N/A	
7.2 Policies and Procedures Patient Focus and Public Involvement Strategy preparation Equality/Diversity including Disability and Racial Equality Strategy Advocacy Policy and strategy preparation Carers Information Strategy preparation Volunteering Policy	Chief Executive Chief Executive Chief Executive Chief Executive Chief Executive	Director of Nursing Director of Nursing JB Chief Officer JB Chief Officer Director of Nursing		
7.3 Compliance with Guidelines on Chaplaincy and Spiritual Care including Spiritual Care Strategy preparation	Director of Nursing	N/A		

8. Information Governance

Area of Responsibility / Duties Delegated	Delegated To	Authorised Deputy	Financial Value £'m	Constraints/Reference
8.1 Responsibility for Information Management Systems & Strategy	Director of Finance	Director of Facilities and Infrastructure	as per Annual Financial Plan	HDL (2005) 46 - significant developments over £ 0.100m or crossing HB boundaries or replacing core system to be checked by SGHD eHealth
8.2 Clinical Responsibility for IM & T Strategy	Medical Director	N/A	N/A	
8.3 Data Protection Act	Medical Director	Director of Public Health and Strategic Planning	N/A	
8.4 Caldicott Guardian	Medical Director	Director of Public Health and Strategic Planning	N/A	
8.5 Preparation of Information of Governance Strategy	Medical Director	Head of Information Governance	N/A	
8.6 Preparation of Policies and Procedures 8.6.1 Confidentiality Policy 8.6.2 Information Security Policy 8.6.3 Network Security Policy 8.6.4 Freedom of Information Policy 8.6.5 Access Policy	Medical Director Director of Finance Director of Finance Medical Director Director of Finance	N/A Director of Facilities and Infrastructure Director of Facilities and Infrastructure N/A General Manager (Surgical Directorate) Director of Acute Services	N/A N/A N/A N/A	
8.7 Patient Records Management	Director of Acute Services	Head of Records Management	within notified budget	
8.8 Non - Patient Records Management Systems	Head of Performance and Governance	Head of Information Governance	within notified budget	consistent with CEL 2010 (31)
8.9 Records Management Plan	Medical Director	Head of Information Governance		
8.10 General Data Protection Regulations	Medical Director	Head of Information Governance		
8.11 Senior Risk Information Owner	Director of Finance	Chief Executive		

**9. Communication**

Area of Responsibility / Duties Delegated	Delegated To	Authorised Deputy	Financial Value £'m	Constraints/Reference
9.1 Preparation of Communication Strategy	Head of Communications	N/A	N/A	
9.2 Preparation of Annual Report	Head of Communications	N/A	N/A	
9.3 Distribution of all relevant new legislation, regulations, good practice and case law	Head of Performance	N/A	N/A	

**10. Healthcare Associated Infection**

Area of Responsibility / Duties Delegated	Delegated To	Authorised Deputy	Financial Value £'m	Constraints/Reference
10.1 Compliance and adherence to national standards in healthcare acquired infection	Director of Public Health & Strategic Planning	N/A	N/A	HAI Group see link to Clinical Governance Committee
10.2 Compliance and adherence to national standards in decontamination cleaning	Director of Facilities and Infrastructure	N/A	N/A	

**11. Emergency and Continuity Planning**

Area of Responsibility / Duties Delegated	Delegated To	Authorised Deputy	Financial Value £'m	Constraints/Reference
11.1 Emergency Planning/Civil Contingencies	Director of Public Health & Strategic Planning	Senior Planning Manager	N/A	
11.1.1 Preparation and maintenance of comprehensive Emergency Plan	Director of Public Health & Strategic Planning	Senior Planning Manager	N/A	
11.1.2 Preparation and maintenance of Business Continuity Plan	Director of Public Health & Strategic Planning	Senior Planning Manager	N/A	



12. Public Health Programmes

Area of Responsibility / Duties Delegated	Delegated To	Authorised Deputy	Financial Value £'m	Constraints/Reference
12.1 National Screening Programmes	Director of Public Health & Strategic Planning	Consultant in Public Health	within existing resources	

13. Management of Budgets

Area of Responsibility / Duties Delegated	Delegated To	Authorised Deputy	Financial Value £'m	Constraints/Reference
<p><b>13.1 Management of Revenue Budgets in year (non IJB)</b>                      Responsibility for keeping expenditure within budgets                      a) at individual budget level (pay and non-pay)</p> <p>b) at service level</p> <p>c) for contingencies</p> <p>d) Virement of budget within non IJB Directorate</p> <p>e) Virement of Budget between non IJB Directorates/Services</p>	<p>Nominated budget-holders</p> <p>General Managers / Chief Officers / Acute Services Director</p> <p>Assistant Director of Finance</p> <p>General Managers / Chief Officers / Acute Services Director</p> <p>General Managers / Chief Officers / Acute Services Director</p>	<p>Named deputies</p> <p>Named Deputies</p> <p>N/A</p> <p>Assistant Director of Finance/ Senior Finance Manager</p> <p>Assistant Director of Finance/Senior Finance Manager</p>	<p>Budget notified by Finance Manager</p> <p>Budget notified by Finance Manager</p> <p>&lt; £0.100m</p> <p>&lt; £0.100m</p>	<p>see Budget Manager list</p> <p>organisational chart for reference</p> <p>Subject to maximum virement limit (Section 3.1)</p> <p>per event</p>
<p><b>13.2 Management of Revenue Budgets in year (IJB including Set Aside)</b>                      Responsibility for keeping expenditure within budgets                      a) at individual budget level (pay and non-pay)</p> <p>b) at service level</p> <p>c) Virement of Budget between specified IJB Budgets</p>	<p>Nominated budget-holders</p> <p>General Managers / Chief Officers / Acute Services Director</p> <p>Chief Officer</p>	<p>Named deputies</p> <p>Named Deputies</p> <p>N/A</p>	<p>Budget notified by Finance Manager</p> <p>Budget notified</p> <p>&lt; £ 0.100m</p>	<p>see Budget Manager list</p> <p>organisational chart for reference</p> <p>may be subject of review in line with IJB Scheme of delegation with NHS Forth Valley Director of Finance and Section 95 Officer verification</p>
<p><b>13.3 Area Corporate Services and external Board SLAs</b>                      Responsibility for keeping expenditure within budgets                      a) at individual budget level (pay and non-pay)</p> <p>b) at service level</p> <p>c) for contingencies</p> <p>d) Virement of budget within Area Corporate - per event</p> <p>e) Virement of Budget between Directorates</p>	<p>Nominated budget-holders</p> <p>Nominated Executive Directors</p> <p>Assistant Director of Finance</p> <p>Assistant Director of Finance</p> <p>Director of Finance</p> <p>Assistant Director of Finance</p> <p>Director of Finance</p>	<p>Named deputies</p> <p>Named Deputies</p> <p>N/A</p> <p>N/A</p>	<p>Budget notified</p> <p>Budget notified</p> <p>&lt; £0.050m</p> <p>&lt; £0.100m</p> <p>&lt; £0.050m</p> <p>&lt; £0.100m</p>	<p>list to be maintained</p> <p>List to be maintained</p> <p>Subject to maximum virement limit of Director of Finance</p> <p>Subject to maximum virement limit of Director of Finance</p> <p>Subject to maximum virement limit</p>

14. Family Practitioner Services

Area of Responsibility / Duties Delegated	Delegated To	Authorised Deputy	Financial Value £'m	Constraints/Reference
14.1 Preparation and Agreement of GMS Contracts	Director of Finance	Primary Care Contracts Manager	within overall budget in Financial Plan	
14.2 Monitoring of Contracts	Director of Finance	Primary Care Contracts Manager	within overall budget in Financial Plan	
14.3 Additions and amendments to NHS Forth Valley Practitioner Lists	Primary Care Contracts Manager		N/A	Notification to relevant CHP Committee Pharmacy determination by Pharmacy Practitioners Committee

15. 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
<p><b>15.1 Non-Pay Revenue Expenditure - Requisitioning/ Ordering of Goods and Services (Non-Stock)</b></p> <p>a) Annual Value up to £1,000,000</p> <p>b) Annual Value</p> <p>c) Orders exceeding a 12 month period</p>	<p>Chief Executive</p> <p>General Managers or equivalent or Other nominated officer</p> <p>Assistant Director of Finance</p>	<p>Director of Finance</p> <p>Assitant Directors of Finance</p> <p>N/A</p>	<p>&gt;£0.250m</p> <p>&lt; £ 0.250m</p>	<p>Subject to containment within overall funds delegated</p> <p>Subject to containment within overall funds delegated to Division/CHP</p> <p>Subject to containment within overall funds delegated</p>
<p><b>15.2 Quotation,Tendering and Contract Procedures</b></p> <p>a) External contracts with suppliers - capital - value over £ 1,000,000</p> <p>- value between £ 500,000 and £ 1,000,000</p> <p>- value between £ 250,000 and £ 500,000</p> <p>- value up to £ 250,000</p> <p>b) Minimum of three quotations for goods/services between £5,000 and £50,000 should be obtained Tendering Process should be followed for goods/services over £50,000</p>	<p>Chief Exectiue</p> <p>Director of Facilities and Infrastructure</p> <p>Director of Facilities and Infrastructure</p> <p>Director of Facilities and Infrastructure</p>	<p>N/A</p> <p>Director of Finance</p> <p>Assistant Director of Finance</p> <p>Assistant Director of Finance</p> <p>N/A Assistant Director of Finance</p>	<p>&gt; £1.0m</p> <p>&gt; £0.5m &lt; £1.0m</p> <p>&gt; £0.250m &lt; £0.5m</p> <p>&lt; £0.250m</p>	<p>subject to NHS Board approval of Business Case including confirmation of Capital and Revenue resource availability</p> <p>subject to NHS Board approval of Business Case including confirmation of Capital and Revenue resource availability</p> <p>subject to NHS Board approval of Business Case including confirmation of Capital and Revenue resource availability</p> <p>subject to inclusion in approved Capital Plan and confirmation of revenue availability if required</p> <p>refer to tendering procedures refer to tendering procedures</p>

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
<b>16.1 Setting of Fees and Charges</b> Private patients, overseas visitors, income generation and other patient related services	Director of Finance	Assistant Director of Finance		
<b>16.2 Engagement of staff not on establishment</b> <b>Nursing Protocol</b> <b>Medical Protocol</b>	Director of Nursing Medical Director			
<b>16.3 Endowments</b> Expenditure from Endowment Funds : Restricted Funds Expenditure from Endowment Funds : Unrestricted Funds  Maintenance of Accounts and Records Access to share and stock certificates and property deeds Opening and amendment of bank accounts in name of Endowment Fund Acceptance and banking of endowment funds Investment of Endowment Funds Nominee for confirmation to an estate	Endowment Committee Endowment Committee Director of Facilities and Infrastructure Fund Holder  Director of Finance Director of Finance Director of Finance Director of Finance  Director of Finance Director of Finance	Director of Finance  Assistant Director of Finance Assistant Director of Finance  Assistant Director of Finance  Assistant Director of Finance Director of Finance	> £ 0.005m > £ 0.005m < £ 0.005m < £ 0.005m  N/A N/A N/A N/A  see Strategy	where spend is outwith Budget approved at March Endowment Committee where spend is within Budget approved at March Endowment Committee  Report opening of such accounts to Trustees Can only accept funds for purposes related to health service In accordance with Trustee approved Investment Strategy Where necessary to obtain a legacy due to trustees under terms of a Will
<b>16.4 Agreement/ Licences</b> a) Preparation and signature of all tenancy agreements for all staff subject to policy on accommodation for staff b) Extensions to existing rents c) Letting of premises to outside organisations/being of minor value d) Letting of premises to outside organisations/being of major value e) Approval of rent based on professional assessment	Programme Director, Estates and Facilities  Programme Director, Estates and Facilities  Programme Director, Estates and Facilities  Director of Facilities and Infrastructure Senior Finance Manager	N/A  N/A  N/A  Assistant Director of Finance as appropriate N/A	N/A  N/A	
<b>16.5 Condemning &amp; Disposal of Assets (excluding property)</b> <b>Items obsolete, obsolescent, redundant, irreparable or cannot be repaired cost effectively</b> - with current / estimated purchase price up to £20,000  - with current / estimated purchase price between £20,000 and £250,000  - with current/estimated purchase price over £250,000	Programme Director, Estates and Facilities  General Managers / Chief Officers / Acute Services Director  Director of Finance  Chief Executive	Assistant Director of Finance   Assistant Director of Finance  Director of Finance		



18. Healthcare Strategy - Change Control Process

Area of Responsibility / Duties Delegated	Delegated To	Authorised Deputy	Financial Value £'m	Constraints/Reference
<p><b>19.1 Authorisation /Amendments to the Unitary Charge for PFI/PPP contracts</b></p> <p>a) Authorisation of monthly unitary payment invoice</p> <p>b) Cost neutral Contract variations</p> <p>c) Cost increase or Cost reduction</p> <p>d) Signing of Supplemental Agreements to Project Agreement</p>	<p>Director of Facilities and Infrastructure</p> <p>Director of Facilities and Infrastructure</p> <p>Director of Facilities and Infrastructure and Director of Finance</p> <p>Performance and Resources Committee</p> <p>Chief Executive</p>	<p>Director of Finance</p> <p>Assistant Directors of Finance</p> <p>N/A</p> <p>N/A</p> <p>Director of Finance</p>	<p>within authorised UP</p> <p>&lt; £ 0.020m</p> <p>&gt; £0.020m</p> <p>as per 19.1a and b</p>	<p>Agreed process for review prior to sign off via Clinical Advisory Group and Strategic Planning Group</p> <p>subject to confirmation with SGHD that signing is delegated to NHS Board on a case by case basis</p>