

1. Organisational Profile / Scope

Area of Responsibility / Duties Delegated	Delegated To	Authorised Deputy	Financial Value £m	Constraints/Reference
1.1 Preparation and Maintenance of NHS Board Service Directory	Chief Executive	Chief Operating Officer	N/A	

2. Scheme of Delegation arising from Standing Orders

Area of Responsibility / Duties Delegated	Delegated To	Authorised Deputy	Financial Value £m	Constraints/Reference
2.1 Maintenance of Register of Board Member Interests	Head of Corporate Services	N/A	N/A	includes senior staff plus those with significant procurement/purchasing roles
2.2 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 NHS Board over £0.150m All signatures to be in accordance with the Property Transaction Manual

3. Corporate Governance - arising from Standing Financial Instructions

Area of Responsibility / Duties Delegated	Delegated To	Authorised Deputy	Financial Value £'m	Constraints/Reference
Financial/Organisational Governance 3.1 System for funding decisions and business planning	Director of Finance	N/A		in accordance with Standing Financial Instructions
3.2 Preparation of Financial Plans	Director of Finance	N/A	NHS Board Revenue Resource Limit	Approval required by NHS Board
3.3 Preparation of Capital Plan	Director of Finance	N/A	NHS Board Capital Resource Limit	Approval required by NHS Board
3.4 Budget Setting to CHPs/Acute Units/ external Board SLAs	Director of Finance	N/A	as per Financial Plan	
3.5 Budget Setting within CHPs	Assistant Director of Finance (Community Health Partnerships)	N/A	Limit as per Financial Plan	
3.6 Budget Setting within Acute Units	Assistant Director of Finance (Acute Services)	N/A	Limit as per Financial Plan	
3.7 Budget Setting within external Board SLAs	Assistant Director of Finance (Planning and Co-ordination)	N/A	Limit as per Financial Plan	

3. Corporate Governance - arising from Standing Financial Instructions

Area of Responsibility / Duties Delegated	Delegated To	Authorised Deputy	Financial Value £'m	Constraints/Reference
3.8 Financial Systems and Operating Procedures	Director of Finance	Head of Financial Services	N/A	
3.9 Authority to commit expenditure for which no provision has been made in approved plans/ budgets	Chief Executive	Director of Finance	£0.250m	
	Director of Finance	N/A	£0.100m	
3.10 Virement of Budget between approved Operational Budgets for items where no provision has been made in approved plans/budgets	Chief Operating Officer	Assistant Directors of Finance	£0.100m	
3.11 Financial Monitoring System	Director of Finance	N/A		
3.12 Maintenance / Operation of Bank Accounts	Director of Finance	Head of Financial Services	N/A	subject to national contract arrangements
3.13 Annual Accounts signatories	Chief Executive and Director of Finance	N/A	N/A	In accordance with Scottish Accounts Manual
3.14 Audit Certificate	Appointed Auditors	N/A		In accordance with Scottish Accounts Manual
3.15 Preparation of Statement on Internal Control	Director of Finance	Assistant Director of Finance (Planning & Co-ordination)	N/A	In accordance with Scottish Accounts Manual

3. Corporate Governance - arising from Standing Financial Instructions

Area of Responsibility / Duties Delegated	Delegated To	Authorised Deputy	Financial Value £'m	Constraints/Reference
3.16 Performance Management Reporting Arrangements	Head of Performance Management	N/A		
3.17 Losses and Special Payments				
All areas (see Divisional Section for lower levels of delegation)	Director of Finance	Assistant Directors of Finance (as appropriate)	£0.050m	SGHD approval required Standing Financial Instructions
Non-Clinical Claims : See section 4.2 for detailed authority	Chief Executive	Director of Finance	£0.100m	beyond £0.100m NHS Board approval is required
Clinical Claims : See section 4.2 for detailed authority	NHS Board approval	Chief Executive (where decision required urgently between Board Meetings)	£0.250m	beyond £ 0.250m SGHD approval is required
3.18 Fraud				
Fraud Liaison Officer	Forth Valley Regional Audit Manager	Director of Finance	N/A	

4. Corporate Governance

Area of Responsibility / Duties Delegated	Delegated To	Authorised Deputy	Financial Value £'m	Constraints/Reference
4.1 Clinical Governance				
4.1.1 Preparation of Clinical Governance Strategy	Medical Director	N/A	within existing resources	
4.1.2 Approval of Research and Development Studies including associated clinical trials and indemnity agreements for commercial studies	Medical Director	N/A	N/A	
4.1.3 Preparation of Clinical Effectiveness Strategy	Medical Director	Head of Clinical Governance or Health Effectiveness Co-ordinator		
4.1.4 Safer Management of Controlled Drugs	Director of Pharmacy	N/A	N/A	HDL(2007)12 Board Meeting August 2007
4.2 Legal Claims				
4.2.1 Clinical Claims All claims including Trust claims	Head of Corporate Services Chief Executive	Assistant Director of Finance (Planning and Co-ordination) Director of Finance	£0.050m > £0.050m	Scottish Government Approval is required for all claims in excess of £250,000
4.2.2 Non-Clinical Claims All claims including Trust claims	Head of Corporate Services Chief Executive	Assistant Director of Finance (Planning and Co-ordination) Director of Finance	£0.050m > £0.050m	Scottish Governemnt Approval is required for all claims in excess of £100,000
4.4 Preparation of Patients Complaints Policy	Director of Nursing	N/A	N/A	
4.4.1 Monitoring arrangements and reporting of complaints	Director of Nursing	N/A	N/A	

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4. Corporate Governance (cntd)

Area of Responsibility / Duties Delegated	Delegated To	Authorised Deputy	Financial Value £'m	Constraints/Reference
4.5 Scheme of Delegation Responsibility for preparation and Update of Scheme	Chief Executive	Director of Finance	N/A	
4.6 Sealing of Documents	Director of Finance	Head of Corporate Services	N/A	Use of Board seal is accompanied by signature as determined in Board Standing Orders
4.7 Signing of Documents Service Level Agreements with surrounding Health Boards	Director of Finance	Assistant Director of Finance (Planning and Co-ordination)	as per supporting Financial Plan	
4.8 Extended Local Partnership Agreements and Joint Working Agreements with Local Authorities	General Manager of applicable CHP	Assistant Director of Finance (CHPs)	within existing delegated budget	Financial commitments beyond existing delegated CHP budgets must fit with applicable virement limit Specific Decisions retained by NHS Board - check before commitment
4.9 Development and Maintenance of Performance Management Framework	Head of Performance Management	N/A	N/A	

4. Corporate Governance (continued)

Area of Responsibility / Duties Delegated	Delegated To	Authorised Deputy	Financial Value £'m	Constraints/Reference
4.10 Staff Governance 4.10.1 Implementation of Staff Governance Standards action plan	Director of Human Resources	Deputy Director of Human Resources (Staff Governance)	within existing resources	
4.10.2 Preparation of Human Resources Strategy	Director of Human Resources	N/A	N/A	
4.10.3 Preparation of Recruitment and Retention Strategy and Policies	Director of Human Resources	Deputy Director of Human Resources (Staff Governance)	N/A	
4.10.4 Preparation of Learning and Development Plan	Director of Human Resources	Organisational Development Manager	N/A	
4.10.5 Preparation of Whistle Blowing Policies and Procedures	Director of Human Resources	Deputy Director of Human Resources (Staff Governance)	N/A	Agreement with Area Partnership Forum
4.11 Contracts of employment	Director of Human Resources	Deputy Director of Human Resources	N/A	Compliance with appointment of staff procedure where post is outwith agreed establishment
4.11.2 Agenda for Change - process for new posts	Director of Finance	Assistant Directors of Finance	within Financial Plan or delegated limits	Updated arrangements under consideration by the Performance Management Group
4.12 Research Governance Compliance with local research governance implementation plan	Medical Director	N/A	N/A	

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5. Risk Management

Area of Responsibility / Duties Delegated	Delegated To	Authorised Deputy	Financial Value £'m	Constraints/Reference
5.1 Risk Management				
5.1.1 Preparation of Risk Management Strategy	Chief Executive	Head of Performance Management	N/A	
5.1.2 Preparation and Maintenance of Corporate Risk Register	Head of Performance Management	General Manager (facilities)	N/A	
5.2 Policies and Procedures				
Child Protection Policies	Chief Executive	Director of Nursing	N/A	See Clinical Governance Committee remit
Prescribing Policies	Medical Director	Director of Pharmacy	N/A	
5.3 Health and Safety				
	Chief Executive	Chief Operating Officer	N/A	

6. Health Planning

Area of Responsibility / Duties Delegated	Delegated To	Authorised Deputy	Financial Value £'m	Constraints/Reference
6.1 Preparation and Implementation of the Corporate Plan	Director of Finance	Senior Planning Manager	as per Annual Financial Plan	Operational delivery delegated to Chief Operating Officer
6.2 Preparation of Local Delivery Plan	Head of Performance Management	N/A	as per Annual Financial Plan	Operational delivery delegated to Chief Operating Officer
6.3 Preparation of Corporate Objectives	Chief Executive	Head of Performance Management	N/A	

7. Access,transfer,referral,discharge

Area of Responsibility / Duties Delegated	Delegated To	Authorised Deputy	Financial Value £'m	Constraints/Reference
7.1 Monitoring of Waiting Times	Director of Strategic Access and Capacity	Assistant Director of Strategic Access and Capacity	N/A	
7.2 Public Information on access to services	Chief Executive	Head of Communications	N/A	
7.3 Preparation of Discharge Strategy and Policy	Chief Operating Officer	General Manager (ICR)	N/A	
7.4 Procedure for patients who wish to appeal against clinical decisions on their continuing healthcare	Director of Public Health	Consultant in Public Health (Older People)	N/A	MEL(1996)22 SEHD Letter 13.6.03

8. Patient Focus Public Involvement

Area of Responsibility / Duties Delegated	Delegated To	Authorised Deputy	Financial Value £'m	Constraints/Reference
8.1 Designated Director for patient focus public involvement	Chief Executive	N/A	N/A	
8.2 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 Preparation of Mixed Sex Accommodation Policy	Chief Executive Chief Executive Chief Executive Chief Executive Chief Executive Chief Executive	Director of Nursing Director of Human Resources Senior Planning Manager Senior Planning Manager as directed by Chief Executive as directed by Chief Executive		
8.3 Compliance with Guidelines on Chaplaincy and Spiritual Care including Spiritual Care Strategy preparation	Director of Nursing	Director of Human Resources		

9. Health Promotion and Education

Area of Responsibility / Duties Delegated	Delegated To	Authorised Deputy	Financial Value £'m	Constraints/Reference
9.1 Health Education and Health Promotion Strategies	Director of Public Health	Health Promotion Manager	as per Annual Financial Plan	link to Community Health partnerships
9.2 Public Health Information dissemination	Director of Public Health	Health Promotion Manager	N/A	link to Community Health Partnerships

10. Information Governance

Area of Responsibility / Duties Delegated	Delegated To	Authorised Deputy	Financial Value £'m	Constraints/Reference
10.1 Responsibility for Information Management Systems & Strategy	Director of Strategic Access and Capacity (as Chair of eHealth Programme)	N/A	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
10.2 Clinical Responsibility for IM & T Strategy	Medical Director	N/A		
10.3 Data Protection Act	Medical Director	Director of Public Health	N/A	
10.4 Caldicott Guardian	Medical Director	Director of Public Health	N/A	
10.5 Preparation of Information of Governance Strategy	Medical Director	Deirdre Coyle	N/A	
10.6 Preparation of Policies and Procedures 10.6.1 Confidentiality Policy 10.6.2 Information Security Policy 10.6.3 Network Security Policy 10.6.4 Freedom of Information Policy	Medical Director Medical Director Medical Director Medical Director	Director of Public Health Director of Public Health Director of Public Health Director of Public Health	N/A N/A N/A N/A	
10.8 Patient Records Management	Director of Strategic Access and Capacity	Head of Records Management	within notified budget	

11. Communication

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

12. Healthcare Associated Infection

Area of Responsibility / Duties Delegated	Delegated To	Authorised Deputy	Financial Value £'m	Constraints/Reference
12.1 Compliance and adherence to national standards in healthcare acquired infection	Director of Public Health / Director of Nursing			HAI Group see link to Clinical Governance Committee
12.2 Compliance and adherence to national standards in decontamination cleaning	Chief Operating Officer	General Manager (Facilities)		

13. Emergency and Continuity Planning

Area of Responsibility / Duties Delegated	Delegated To	Authorised Deputy	Financial Value £'m	Constraints/Reference
13.1 Emergency Planning	Director of Public Health	Consultant in Public Health (Communicable Disease & Environmental Health)	N/A	
13.1.1 Preparation and maintenance of comprehensive Emergency Plan				
13.1.2 Preparation and maintenance of Business Continuity Plan	Director of Public Health	Chief Operating Officer	N/A	

14. Public Health Programmes

Area of Responsibility / Duties Delegated	Delegated To	Authorised Deputy	Financial Value £'m	Constraints/Reference
14.1 Cervical Screening Programme	Director of Public Health	Consultant in Public Health (Health Promotion)	within existing resources	
14.2 Breast Screening Programme	Director of Public Health	Consultant in Public Health (Health Promotion)	within existing resources	
14.3 Communicable Disease Control Process	Director of Public Health	Consultant in Public Health (Communicable Disease & Environmental Health)	within existing resources	
14.4 Immunisation Programme	Director of Public Health	Consultant in Public Health (Communicable Disease & Environmental Health)	within existing resources	

15. Management of Budgets

Area of Responsibility / Duties Delegated	Delegated To	Authorised Deputy	Financial Value £'m	Constraints/Reference
<p>15.1 Management of Revenue Budgets (acute) Responsibility for keeping expenditure within budgets a) at individual budget level (pay and non-pay)</p>	Nominated budget-holders	Named deputies	Budget notified by Finance Manager	see Budget Manager list maintained
b) at service level	Unit General Manager	Named Deputies	Budget notified by Finance Manager	Subject to maximum virement limit of Chief Operating Officer
c) for contingencies	Assistant Director of Finance (Acute Services)	N/A		
d) Virement of budget within Unit - per event	Unit General Manager Chief Operating Officer	Named Deputies Assistant Director of Finance	< £0.050m < £0.100m	Subject to maximum virement limit of Chief Operating Officer
e) Virement of Budget between Units / CHP - per event	both CHP/Unit General Managers Chief Operating Officer	Named Deputies / Assistant Director of Finance	< £0.050m < £0.100m	Subject to maximum virement limit of Chief Operating Officer
<p>15.2 Management of Revenue Budgets (Community Health Partnerships) Responsibility for keeping expenditure within budgets a) at individual budget level (pay and non-pay)</p>	Nominated budget-holders	Named deputies	Budget notified	list to be maintained
b) at service level	CHP General Managers	Named Deputies	Budget notified	Subject to maximum virement limit of Chief Operating Officer
c) for contingencies	Assistant Director of Finance (CHPs)	N/A		
d) Virement of budget within CHP - per event	CHP Manager Chief Operating Officer	Named Deputies Assistant Director of Finance (CHPs)	< £0.050m < £0.100m	Subject to maximum virement limit of Chief Operating Officer
e) Virement of Budget between CHPs / Units (see above)				
<p>15.3 Area Corporate Services and external Board SLAs Responsibility for keeping expenditure within budgets a) at individual budget level (pay and non-pay)</p>	Nominated budget-holders	Named deputies	Budget notified	list to be maintained
b) at service level	Nominated Executive Directors	Named Deputies	Budget notified	List to be maintained
c) for contingencies	Assistant Director of Finance (Planning and Co-ordination)	N/A		Subject to maximum virement limit of Director of Finance
d) Virement of budget within Area Corporate - per event	Assistant Director of Finance (Planning and Co-ordination) Director of Finance		< £0.050m < £0.100m	Subject to maximum virement limit of Director of Finance
e) Virement of Budget between CHPs/Units	Assistant Director of Finance (Planning and Co-ordination) Director of Finance		< £0.050m < £0.100m	Subject to maximum virement limit

16. Family Practitioner Services

Area of Responsibility / Duties Delegated	Delegated To	Authorised Deputy	Financial Value £'m	Constraints/Reference
16.1 Preparation and Agreement of GMS Contracts	Medical Director	General Manager Stirling CHP	within overall budget in Financial Plan	
16.2 Monitoring of Contracts including Quality Outcome Framework	Medical Director	General Manager Stirling CHP	within overall budget in Financial Plan	
16.3 Additions and amendments to NHS Forth Valley Practitioner Lists	General Manager Stirling CHP	Primary Care Contracts Manager	N/A	Notification to relevant CHP Committee Pharmacy determination by Pharmacy Practitioners Committee

17. 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
17.1 Non-Pay Revenue Expenditure - Requisitioning/ Ordering of Goods and Services (Non-Stock)				
a) Annual Value over £100,000	CHP or Acute Services Committee	N/A	>£0.100m	Subject to containment within overall funds delegated
c) Annual Value	Unit /CHP Manager or Other nominated officer	Assitant Directors of Finance	< £ 0.100m	Subject to containment within overall funds delegated to Division/CHP
d) Orders exceeding a 12 month period	Assistant Director of Finance	N/A		Subject to containment within overall funds delegated
17.2 Quotation, Tendering and Contract Procedures				
a) External contracts with suppliers - capital - value over £ 1,000,000	Strategic Projects and Property Committee	N/A	> £1.0m	subject to NHS Board approval of Business Case including confirmation of Capital and Revenue resource availability
- value between £ 500,000 and £ 1,000,000	CHP or Acute Services Committee	N/A	> £0.5m < £1.0m	subject to NHS Board approval of Business Case including confirmation of Capital and Revenue resource availability
- value between £ 250,000 and £ 500,000	Chief Operating Officer	Director of Finance	> £0.250m < £0.5m	subject to NHS Board approval of Business Case including confirmation of Capital and Revenue resource availability
- value up to £ 250,000	Director of Strategic Projects & Property	Assistant Director of Finance (CHPs)	< £0.250m	subject to inclusion in approved Capital Plan and confirmation of revenue availability if required
b) Two minimum quotations for goods/services up to £25,000 should be obtained Three minimum tenders for goods/services above £25,000 should be obtained	Unit/CHP General Manager Director of Strategic Projects & Property	N/A Assistant Director of Finance (CHPs)		refer to tendering procedures refer to tendering procedures

17. 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
17.8 Condemnations, Losses and Special Payments				
Compensation Payments - ex gratia - over £5,000 - between £2,000 and £5,000 - up to £2000	Director of Finance Assistant Director of Finance as appropriate Unit/CHP General Manager	Service Managers as determined by General Manager	> £0.005m >£0.002m < £0.005m < £0.002m	requires SGHD approval as per Scottish Accounting Manual
Other ex-gratia payments - other payments - over £2,500 - up to £2,500	CHP / Acute Services Committee Assistant Director of Finance as appropriate		> £ 0.0025m < £0.0025m	requires SGHD approval
Stores/stock losses due to - theft, fraud, arson - incidents of the service - disclosed at physical check other causes - less than £20,000	Director of Finance Assistant Director of Finance as appropriate		> £ 0.020m > £ 0.010m < £0.010m	requires SGHD approval
Cash Losses - over £5,000 - less than £5,000	Director of Finance Assistant Director of Finance as appropriate		> £ 0.005m < £0.005m	requires SGHD approval
Abandoned Claims - over £5,000 - up to £5,000	Director of Finance Associate or Assistant Director of Finance as appropriate		> £ 0.005m < £0.005m	requires SGHD approval
Damage to buildings - over £20,000 - up to £20,000	Property Committee Director of Strategic Projects & Property		> £ 0.020m < £0.020m	requires SGHD approval

18. 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
18.1 Condemning & Disposal of Property (excluding heritable property)				
Items obsolete, obsolescent, redundant, irreparable or cannot be repaired cost effectively Items declared surplus to NHS Board requirements				
1. Where sale is below £ 0.150m	Property Committee		< £0.150m	subject to declaration of property as surplus
2. Where sale is above £ 0.150m	NHS Board		> £ 0.150m	
18.2 Management of Capital Budgets				
Responsibility for keeping expenditure within budgets				
a) at individual budget level	Nominated budget-holders	Named deputies	Budget notified	list to be maintained
b) at unit/CHP level	CHP/Unit General Managers	Named Deputies	Budget notified	
c) Virement of budget between schemes - per event	Director of Strategic Projects & Property	Assistant Director of Finance (CHPs)	< £0.150m	subject to confirmation of Capital Resource availability
d) Contingencies	Director of Finance	Assistant Director of Finance (CHPs)	< £0.150m	subject to confirmation of Capital Resource availability

19. Healthcare Strategy - Change Control Process

Area of Responsibility / Duties Delegated	Delegated To	Authorised Deputy	Financial Value £'m	Constraints/Reference
<p>19.1 Amendments to the Unitary Charge for PFI/PPP contracts</p> <p>a) Cost neutral</p> <p>b) Cost increase or Cost reduction</p> <p>c) Signing of Supplemental Agreements to Project Agreement</p>	<p>Project Director</p> <p>Director of Strategic Projects and Property and Director of Finance</p> <p>Strategic Projects and Property Committee</p> <p>Chief Executive</p>	<p>Assistant Directors of Finance (CHP or Acute)</p> <p>N/A</p> <p>N/A</p> <p>Director of Finance</p>	<p></p> <p>< £ 0.020m</p> <p>> £0.020m</p> <p>as per 19.1a and b</p>	<p></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>