

<b>Paper No. SET/22/2022</b>	
	<b>Tick One ✓</b>
For discussion	
For approval	
For noting	✓

**Date of Trust Board Meeting:** 30 March 2022

**Public or Confidential Agenda:** Public

**Agenda item:** 7.5 Trust Scheme of Delegated Authority

### 1.0 Introduction

In line with the Trust's Standing Financial Instructions (SFI) a Scheme of Delegated Authority (SoDA) should be documented.

### 2.0 Background information

Sections 16.12.1 and 19.2.4 of the SFI (as updated at 30 August 2017) refers to a Schedule of Delegated Authority (SoDA) being the mechanism by which the Chief Executive confers authority to officers of SEHSCT to commit the Trust to incurring expenditure and making payment for goods and services.

Below Executive Director level the authorisation limits are agreed at a Directorate level in line with business need.

DoH Circular HSC(F) 04-2022 sets authorisation limits for certain areas of expenditure e.g. approval of Direct Award Contracts.

### 3.0 Brief summary of key points contained in the paper

The SoDA reflects

- The delegated limits the Chief Executive has given specified officers within the SEHSCT which allows them to commit the Trust to incur expenditure over a range of categories (Schedule A)
- The procurement and payment approval limits for SEHSCT officers (Schedule B). Whilst no formal SoDA has been in place to date, approval limits are practically implemented through the finance systems. The levels in Schedule B represent an increase in current authorisation limits eg Chief Executive from £350k to £1,000k, Director of Finance and Estates from £175k to £800k and other directors from £160k to £250k.
- The Chief Executive considered and approved the SoDA at EMT on 22<sup>nd</sup> February 22.

**4.0 Recommendation/s for the Trust Board** (please state if the paper is for information/noting or for approval by Board members)

Members are asked to note the Scheme of Delegated Authority

**Lead Director:** Wendy Thompson  
**Designation:** Director of Finance & Estates  
**Date:** 30 March 2022

## Schedule A

SEHSCT Scheme of Delegated Authority (SODA) in accordance with DoH Circular HSC(F)-04-2022 issued 1st Feb 22			
Schedule A Delegated Limits to Commit SEHSCT to Expenditure			
Expenditure Type			
Details	Value £	Authorised Officer(s)	Comments
<b>Authorisation to Agree Financial Settlement Values for Claims</b>			
<b>Clinical Negligence Claims</b> (following DLS Legal Advice)	Up to £25,000	Assistant Director of Risk Management and Governance	No agreement of settlement values permitted until DLS advice has been received  Requests to settle a claim above £1,000,000 has too be signed as indicated to the left before being submitted via DoH.
	Up to £500,000	Director of HR & Corporate Services	
	Up to £2,000,000	NICS Department of Health. The request to settle a claim above £1,000,000 has to be signed by the Chief Executive before it is submitted to DoH	
	Above £2,000,000	NICS Department of Finance: The request to settle a claim has to be noted by Trust Board and signed by the Chairman before it is submitted via DoH:	
<b>Compensation Claims</b> (following DLS legal advice) - including Employer or Occupiers Liability, Personal Injury and Public Liability claims.	Up to £25,000	Asst Director of Risk Management and Governance	No agreement of settlement values permitted until DLS advice has been received
	Up to £100,000	NICS Department of Health with the request to settle a claim value signed by Director of HR & Corporate Services prior to submission	
	Over £100,000	NICS Department of Finance: The request to settle a claim above £100,000 has to be signed by the Chief Executive before it is submitted via DoH:	
<b>Authorisation to Commit SEHSCT to Expenditure</b>			
<b>Capital Expenditure</b> (excluding Hospital Schemes)	Up to £250,000	Director of Finance & Estates	
	Up to £500,000	Executive Management Team	
	Up to £1,500,000	Finance & Performance Committee	
	Up to £5,000,000	NICS Department of Health	
	Over £5,000,000	NICS Department of Finance	
<b>Capital Expenditure Hospital Schemes</b> (new build, extension, refurbishment and equipment)	Up to £250,000	Director of Finance & Estates	
	Up to £500,000	Executive Management Team	
	Up to £1,500,000	Finance & Performance Committee	
	Up to £10,000,000	NICS Department of Health	
	Over £10,000,000	NICS Department of Finance	
<b>Engagement of External Management Consultants</b>	Up to £10,000	Director of Finance & Estates	
	Over £10,000	NICS Department of Health (Minister Approval)	
<b>Ex Gratia Payments or Losses</b> (cash loss write off, bookkeeping losses, abandoned claims, exchange rate fluctuations, property in store or in use due to a deliberate act.)	Up to £5,000	Asst Director of Financial Services	Ex Gratia Payments following a complaint limited to £500
	Up to £10,000	Director of Finance & Estates	
	Over £10,000	NICS Department of Health	
<b>Ex Gratia Payments Directed by Ombudsman</b>	Up to £10,000	Asst Director of Corporate Risk & Governance	
	Up to £50,000	NICS Department of Health	
	Over £50,000	NICS Department of Finance	

<b>EU Expenditure (for which the Special EU Programmes Body is responsible)</b>	Per Delegated Limit	Managers or Asst Directors to the value of their Delegated Limit	See Schedule B for delegated limits of Directors
	Per Delegated Limit	Any Other Director up to their Delegated Limit	
	Up to £800,000	Director of Finance & Estates	
	Up to £900,000	Deputy Chief Executive	
	Up to £1,000,000	Chief Executive	
	Up to £5,000,000	Chairman	
	Over £5,000,000	NICS Department of Finance via DoH	
<b>Gifts SEHSCT make to an individual or Organisation</b>	£250 to any 1 individual or entity	Director of Finance & Estates	Collective value is the total made to more than 1 individual or entity
	£5,000 collectively	Director of Finance & Estates	
	Over £250 to 1 individual or entity	NICS Department of Finance via DoH	
	Over £5,000 collectively	NICS Department of Finance via DoH	
<b>Grants</b>	up to £750,000 pa in total	Director of Finance & Estates for Revenue Grants	Above these values approval is required by NICS Department of Finance
	up to £750,000 in total	Director of Finance & Estates for Capital Grants	
<b>Grant Overpayments</b>	0	Not permitted	
<b>I.T. Projects (Total Cost of both Revenue &amp; Capital)</b>	Up to £125,000	Director of Finance & Estates	
	Up to £250,000	Executive Management Team	
	Up to £5,000,000	NICS Department of Health	
	Over £5,000,000	NICS Department of Finance	
<b>Overseas Travel for staff excl Chief Executive</b>	Up to £25,000	Director of HR & Corporate Services	Values apply to a single employee or group of employees travelling on SEHSCT business
	Over £25,000	Director of Finance & Estates	
<b>Overseas Travel for Chief Executive</b>	Any amount	Chairman	
<b>Salary Overpayments.</b>	£1,000	Asst Director of Financial Services	
	Up to £20,000	NICS Department of Health	
	Over £20,000	NICS Department of Finance via DoH	
<b>Salary Losses - (relating to pay, allowances or pension benefits due to non-disclosure by beneficiary or fraud)</b>	£0	Not permitted	
<b>Special Severance Payments</b>	£0	Not Permitted	

## Authorisation to Commit SEHSCT to Contracts and Procurement Related Expenditure

<b>Leases for Office Accommodation or Storage</b> (excluding offices outside NI)	£0	SEHSCT not permitted to enter into these leases Has to be approved by NICS Department of Finance	
<b>Contracts with other Public Sector/HSC Bodies</b> Total Value over duration of Contract (e.g. Trusts, HSCB, NIHE, Supporting People, Other NICS Departments)	Up to £500,000	Asst Director of Contracts & Commissioning	
	Up to £1,000,000	Director of Planning, Performance & ICT	
	Up to £3,500,000	Director of Finance & Estates	
	Up to £5,000,000	Chief Executive	
	Over £5,000,000	Chairman	
<b>Independent Sector Acute Providers</b>	Up to £500,000	Asst Director of Contracts & Commissioning	
	Up to £1,000,000	Director of Planning, Performance & ICT	
	Up to £3,500,000	Director of Finance & Estates	
	Up to £5,000,000	Chief Executive	
	Over £5,000,000	Chairman	
<b>Independent Sector Residential &amp; Nursing Homes</b>	Up to £500,000	Asst Director of Contracts & Commissioning	
	Up to £1,000,000	Director of Planning, Performance & ICT	
	Up to £3,500,000	Director of Finance & Estates	
	Up to £5,000,000	Chief Executive	
	Over £5,000,000	Chairman	
<b>Independent Sector Domiciliary Care</b>	Up to £500,000	Asst Director of Contracts & Commissioning	
	Up to £1,000,000	Director of Planning, Performance & ICT	
	Up to £3,500,000	Director of Finance & Estates	
	Up to £5,000,000	Chief Executive	
	Over £5,000,000	Chairman	
<b>Independent Sector - Day care &amp; Community/Voluntary Bodies</b>	Up to £500,000	Asst Director of Contracts & Commissioning	
	Up to £1,000,000	Director of Planning, Performance & ICT	
	Up to £3,500,000	Director of Finance & Estates	
	Up to £5,000,000	Chief Executive	
	Over £5,000,000	Chairman	
<b>Contracts with Republic of Ireland Health and Social Care Providers</b>	Up to £500,000	Asst Director of Contracts & Commissioning	
	Up to £1,000,000	Director of Planning, Performance & ICT	
	Up to £3,500,000	Director of Finance & Estates	
	Up to £5,000,000	Chief Executive	
	Over £5,000,000	Chairman	
<b>Contracts in a Foreign Currency except Sterling, Euro, Yen or Dollar</b>	Up to £500,000	Asst Director of Contracts & Commissioning	
	Up to £2,000,000	Director of Planning, Performance & ICT	
	Over £2,000,000	NICS Department of Finance via DoH	
<b>Direct Award Contracts</b>	Up to £138,760 and RAG Rated Green or Amber	Director of Finance & Estates / Head of Pharmacy ( Drugs Purchases Only)	If contract is inclusive of VAT the goods, services & delivery cost must be less than £115,632
	Over £138,760 or RAG rated Red	NICS Department of Health	
<b>Award of Contracts</b> - Formal procurement and tendering process with CoPE Support	Unlimited	Contract Adjudication Group members	

**Schedule B (Extract of SoDA relating to the Chairman, Chief Executive and EMT)**

<b>SEHSCT Scheme of Delegated Authority (SODA)</b>	
<b>Schedule B The Authorised Signatories Framework for Approval</b>	
<b>Post</b>	<b>Approval Limit Feb 22</b>
Chairman	3,500,000
Chief Executive	1,000,000
Deputy Chief Executive & Director of Nursing, Primary Care and Older Persons	900,000
Director of Finance & Estates	800,000
Director of Planning, Performance and ICT	500,000
Director of HR and Corporate Services	500,000
Director of Hospital Services	250,000
Director of Childrens Services and Social Work	250,000
Director of Adults and Healthcare in Prison	250,000
Director of Medical Services	10,000