

Scheme of Delegation

Agreed and approved by the
NHSBSA Board on 10 September 2020

Due for review in September 2021

1. Purpose

This document provides reference to areas of delegated responsibility as defined in the Secretary of State's Directions (Table 1) and NHS Business Services Authority Standing Financial Instructions (Table 2).

2. Definitions

- i. "CE" means the Chief Executive of the NHSBSA
- ii. "EDFC" means the Executive Director of Finance and Commercial of the NHSBSA
- iii. "EDPCS" means the Executive Director of People and Corporate Services of the NHSBSA
- iv. "ARC" means the sub-Committee of the NHSBSA Board, known as the Audit and Risk Management Committee
- v. "ARC Chair" means the chairperson of the NHSBSA's Audit and Risk Management Committee
- vi. "HoIA" means the Head of Internal Audit

3. Table 1: Scheme of delegation implied by directions

Ref	Delegated To	Powers Delegated
NHSBSA Directions – Schedule 2	Director of NHS Workforce Services	Ensure compliance with directions in relation to the NHS Injury Benefit Scheme.
NHSBSA Directions – Schedule 2	Director of NHS Workforce Services	Ensure compliance with directions in relation to the NHS Pension Scheme.
NHSBSA Directions – Schedule 3	Director of NHS Workforce Services	Ensure compliance with directions in relation to Total Reward Statements.
Pharmaceutical Directions	Director of Primary Care Services	Ensure compliance with directions.
Student Services Directions	Director of Citizen Services	Ensure compliance with directions.
Hosting and Shared Services Directions	Director of NHS Workforce Services	Ensure compliance with directions.
Dental Directions	Director of Primary Care Services	Ensure compliance with directions.
Recovery of Charges, Penalty Charges Directions	Director of Citizen Services	Ensure compliance with directions.
Infected Blood Payments Scheme Directions	Director of Citizen Services	Ensure compliance with directions

Ref	Delegated To	Powers Delegated
Directions to NHS Trusts and Special Health Authorities in respect of Counter Fraud 2017	Executive Director of Finance and Commercial Services	Ensure compliance with directions.
NHS Jobs Directions (letter)	Director of NHS Workforce Services	Ensure compliance with directions.
Electronic Staff Records Directions	Director of NHS Workforce Services	Ensure compliance with directions.
NHS Directions (Amendment 2018)	Director of Citizen Services	Ensure compliance with directions in relation to Overseas Healthcare Services.
Former British Child Migrants Payment Scheme Directions	Director of Citizen Services	Ensure compliance with directions.
National Supply Disruption Response Directions	Director of Citizen Services	Ensure compliance with directions.
Coronavirus Life Assurance Scheme Directions	Director of Workforce Services	Ensure compliance with directions.

4. Table 2: Scheme of delegation implied by standing financial instructions

SFI Ref	Delegated To	Powers Delegated
2. Introduction		
2.2.2.1	CE	Overall executive responsibility for NHSBSA's activities and meeting resource and cash limits
2.2.2.2, 2.2.2.3	EDFC	Responsible for financial activities, policies and controls
2.2.2.4	EDFC	Ensure staff are notified of Standing Financial Instructions (SFIs) responsibilities
2.2.2.5	EDFC	Ensure a system is in place where budget holders, budget managers and those staff involved in dealing directly with contractors/suppliers can confirm that they have read and understood the SFIs. This will include relevant new appointees.
2.2.3.1	EDFC	Responsible for the implementation of the NHSBSA's financial policies and for co-ordinating any corrective action necessary to further these policies
2.2.3.1	EDFC	Maintain an effective system of financial control
2.2.3.1	EDFC	Ensure sufficient records are maintained in relation to NHSBSA's transactions

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2.2.3.1	EDFC	Manage the approach to fraud and physical security
2.2.3.2	EDFC	Provide advice on the financial position of the NHSBSA to the Board and relevant officers, including Accounting Officer Assessments
2.2.3.2	EDFC	Responsible for preparation and maintenance of accounting records
2.2.3.4	EDFC	Ensure cash is drawn from the DHSC for approved expenditure at the time of need only
2.2.4.1	EDPCS	Responsible for an annual review of the SFIs
2.2.4.1	EDPCS	Responsible for production of the NHSBSA's Annual Report
2.2.4.1	EDPCS	Ensure an adequate process is in place for the NHSBSA's credit card
2.2.4.1	EDPCS	Maintain a register of interests, gifts and hospitality for NHSBSA Board members
2.2.4.1	EDPCS	Maintain a register of interests, employment, gifts and hospitality for NHSBSA employees
2.2.4.1	EDPCS	Oversee the internal and external audit arrangements
2.2.4.1	EDPCS	Oversee information governance and security
2.2.5	Board, Members and Employees	Responsible for the security of the NHSBSA's property; avoiding loss; exercising economy, efficacy and efficiency in the use of resources; conforming with SOs, SFIs, Scheme of Delegation and Financial Procedures and report any irregularities to the NHSBSA Loss and Fraud Prevention Team or via the Freedom to Speak Up (Whistleblowing Policy)
2.2.6.1	ARC	Provide an independent and objective view of internal control to the Board
2.2.6.2	ARC Chair	Report evidence of ultra vires transactions, evidence of improper acts or other important matters to the EDFC and CE. If the matter is not resolved, the matter will be raised at a full meeting of the Board.
3. Preparation, approval and control of the business plan, budgets and estimates		
3.1	EDFC	Prepare and submit financial plans in accordance with DHSC requirements.
3.2	EDFC	Ensure that financial details contained within service agreements of contracts and MOUs are consistent with the requirement to balance income and expenditure
3.3	CE	Compile and submit annual business plan to NHSBSA Board
3.4 – 3.10	EDFC	Compile financial estimates, forecasts and monitor spending and report on exceptions
3.11	CE	Establish delegated budgeting control framework

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3.12	Budget Holder	Ensure spending remains within the delegated budget and that the approved budget is not used in whole or in part for any purpose other than that specifically authorised
3.12	Budget Holder	Ensure contracts for goods, suppliers and services are awarded in accordance with the Public Contract Regulations 2015 and the SFIs
3.15	EDFC	Inform CE of financial consequences of changes in policy, pay awards and other events affecting budgets and advise on the financial and economic aspects of future plans and projects
3.17	CE	Ensure appropriate financial monitoring forms are submitted to the requisite monitoring organisation
4. Annual report and accounts		
4	EDFC & EDPCS	Prepare, and submit the Annual Report and Accounts in accordance with DHSC guidance
5. Banking arrangements		
5.1, 5.6	EDFC	Responsible for managing the NHSBSA's banking arrangements, ensuring appropriate arrangements are in place to meet the NHSBSA's needs
5.2	ARC	Approve banking arrangements as required
6. Capital investment, asset registers and security of assets		
6.1.1	CE	Ensure adequate appraisal process in place for determining capital expenditure priorities
6.1.2	CE	Ensure that a business case is produced in line with NHSBSA guidance for capital expenditure proposals
6.1.2	EDFC	Certify the costs and revenue consequences of businesses cases for capital expenditure proposals
6.1.3	CE	Ensure all Business Cases for capital expenditure are approved in line with delegated limits set out in the DHSC Schedule of Delegation
6.1.4	EDFC	Issue procedures for the regular reporting of expenditure and commitments against authorised expenditure
6.1.5	EDFC	Issue procedures governing the financial management of capital investment projects and valuation
6.2.1	CE	Maintain the Register of Assets and the Register of Inventory Items
6.2.2	Employee	Refer persistent breach of agreed security practices to EDFC
6.2.2	EDFC	Determine necessary action in the case of persistent breach of agreed security practices
6.2.3	CE	Define the items of equipment to be recorded on either the Capital Asset Register or the Inventory Register

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6.2.6	EDFC	Approve procedures for reconciling balances on fixed asset accounts against balances on fixed asset registers
6.2.7	Budget Holder	Ensure the Asset Register for their area(s) is checked annually
6.2.9	EDFCC	Maintain register of properties owned or leased by the NHSBSA
6.3.1	EDFC	Approve asset control procedures
8. Security of cash, cheques, credit cards and other negotiable instruments		
8.4	EDFC	Prescribe the system for the transporting of cash
8.10	EDFC	Ensure relevant staff are informed of their responsibilities and duties for the collection, handling or disbursement of cash, cheques and other monies.
8.13.3	EDPCS	Consider each use of the credit card and where appropriate, approve
9. Payment of staff		
9.1	CE	Approve changes to funded establishment where necessary
9.2.2	EDPCS	Ensure appropriate arrangements for determination of commencing pay rates and terms and conditions are in place for employees
9.3	EDFC	Ensure appropriate arrangements for payment of staff are in place
9.4.1	EDPCS	Ensure all employees are issued with a contract of employment
10. Payment of accounts		
10	EDFC	Responsible for the prompt payment of directed functions, accounts and claims.
11. Income		
11.1	EDFC	Ensure appropriate procedures are in place for the receipt of income
11.2.1	EDFC	Approve and regularly review the level of all fees and charges other than those determined by the DHSC or statute
11.2.2	CE	Approve the pricing of the NHSBSA's goods and services on the advice of the EDFC in line with national guidelines
11.3	EDFC	Ensure appropriate arrangements for debt recovery are in place

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12. Disposal of assets/inventory items		
12	EDFC	Ensure appropriate procedures are in place for the disposal of assets and inventory items
13. Buying supplies, works and services		
13.1.2	EDFC	Maintain Procurement Operating Procedures across the NHSBSA
13.2.4	EDFC	Ensure aggregation rules are effective across the NHSBSA
13.3.1 - 13.3.2	EDFC	Audit contractual commitments to suppliers up to £10,000 from time to time
13.6	EDFC	Approve the acceptance of non-competitive offers above the value of £10,000
13.9.2	Budget Holder	Ensure spending remains within the sum of their delegated budget
13.9.3	Officer with delegated authority	Ensure necessary approvals are in place prior to making a commitment to a supplier and complete records are maintained
14. Internal audit		
14.1	EDPCS	Ensure appropriate Internal Audit arrangements are in place
14.2	HoIA	Responsible for internal audit function
14.3	Management	Responsible for establishing systems of internal control
14.6	Loss and Fraud Prevention Team	Investigate irregularities concerning cash, stores or other property of the NHSBSA, or any suspected irregularities or misappropriation
14.7	EDPCS	Refer audit reports to the appropriate officers
15. Losses and special payments		
15	EDFC	Prepare procedural instructions for losses and special payments
16. Counter fraud and security management		
16.1.2	CE & EDFC	Monitor and ensure compliance as per the Secretary of State's Directions in relation to counter fraud
16.2.1	EDFC	Monitor and ensure compliance with the Secretary of State's Directions in relation to NHS Security Management
Appendix 1 Scheme of Delegation		
App1	Budget Holder	Authorise commitments via Contract Award Report up to £10,000

SFI Ref	Delegated To	Powers Delegated
App1	Head of Commercial Services	Authorise commitments via Contract Award Report to up to £250,000
App1	EDFC	Authorise commitments via Contract Award Report up to £500,000
App1	CE	Authorise commitments via Contract Award Report up to £1,000,000
App1	CE	Authorise commitments via Contract Award Report over £1,000,000