

SCHEDULE 8

Scheme of Delegation

Policy Review Schedule

Date first Approved by the Board:	January 2005
Last Approved by the Board:	November 2021
Date of Next Review:	November 2022

Schedule Owner: Senior Governance, IT & Facilities Manager

Amendment Overview

Version	Date	Pages	Comments	Actioned
2005 – 1.0	03/2005			
2012 – 2.0	24/04/2012	12	Moved to new template. Financial delegation figure changed from £1000 to £3000. Risk Management Policy changed to Assurance Framework. Section on delegation to sub-committees added.	Mark McCarey
2012 – 2.1	26/04/2012	12	Submitted to the Board for approval. Board agreed all Standing Orders were to be reviewed annually. Due to time constraints the Board deferred the Standing Orders for discussion and approval until a future meeting.	
2012 - 2.1	18/09/2012	12	Re-formatted. All existing Standing Orders re-submitted to Governance & Risk Committee for approval before passing to Board for ratification. This schedule (7) now re-numbered schedule (9).	Linda Craig
2012 – 2.2	20/09/12	12	Document marked as draft. Updated to reflect discussion at Governance & Risk Committee. Requires further discussion and amendment including those areas marked in blue. Reference to 'Chairman' changed to 'Chair' throughout. Point 5 – Functions Delegated to Officers table amended in parts: At Schedule 7 para 3.4 - 'Fraud Response Policy/Plan' changed to 'Fraud Response Policy'. 'Finance Officer' changed to 'Finance Manager' Change to process amended in 'Further Delegation Column' to reflect updated procedures. At Risk Management & Assurance Framework 'Finance Manager' has been removed and changed to read 'Directors/senior managers have' Document added to the list of Schedules as Schedule 8.	Mark McCarey
2012 – 2.2	27/09/2012	12	Submitted to NIMTDA Board for information only. To be brought back to Governance & Risk Committee for further review	

Version	Date	Pages	Comments	Actioned
2012 – 2.3	10/06/2013	15	Updated to include 'The Role of Agency' and NIMDTA mission statement	Linda Craig
2014 – 3.0	3/10/2014	All	Revised to reflect changes in delegated officers, responsibilities and authorisation limits. Presented to SMT for approval. Approved	Margot Roberts
2014 -3.0	27/11/2014	10	Presented to NIMDTA Board for approval. Approved subject to inclusion of BSO's role in preparing and submitting the accounts.	Margot Roberts
2014 – 3.1	27/11/2014		Amendments completed	
2016 – 4.0	11/01/2016	Pages 8 -12	Presented to SMT for approval	Margot Roberts
2016 – 4.0	21/01/2016		Presented to G&R for approval. Approved subject to minor changes.	Margot Roberts
2016 – 4.1	26/01/2016		Presented to NIMDTA Board for approval.	
2016 - 4.2	27/10/2016	13	Reviewed following the retirement of the Administrative Director for consideration by the Governance & Risk Committee	Mark McCarey
2016-4.3	23/11/2016	13	Reviewed following G&R for Board approval. Approved	Mark McCarey
2017 – 5.0	23/02/2017		Reviewed following Audit Committee, for G&R approval on 11.05.17. Didn't go to Committee.	Gillian Kerr
2018 – 6.0	11/01/18		Reviewed for consideration at G&R on 24/01/18. Approved subject to minor amendment on Pg 11, 2 nd row, 3 rd column.	Paula Black
			Presented to Board 25/01/18. Approved.	
2018 – 6.1			Amendments made as per G&R Committee.	Paula Black
2021 – 7.0			Reviewed for consideration at G&R on 23.09.21	
2021 – 7.1			Reviewed following input from Board Members. For consideration at Board on 25.11.21. Approved	
2021 – 7.2			Amended following Board input	Gillian Kerr
2021 – 7.3			Amended following additional comments from Paula Black. See email.	Gillian Kerr

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Role of the Northern Ireland Medical and Dental Training Agency

The Role of NIMDTA can be found on the Agency website here:

<https://www.nimdtg.gov.uk/about/background/role/>

1. Introduction

Subject to such directions as may be given by the Department of Health (hereinafter referred to as DoH or the Department), the Board of NIMDTA may make arrangements for the exercise, on behalf of NIMDTA, of any of its functions by a committee or sub-committee, appointed by virtue of Standing Order number eight or by an officer of NIMDTA in each case subject to such restrictions and conditions as NIMDTA thinks fit.

Where functions are delegated, this means that although the carrying out of the function (i.e. day to day running) is delegated to another body, NIMDTA retains the responsibility for the service.

2. Framework of Delegation to the Chief Executive

The Chief Executive fulfils the role of Accounting Officer of NIMDTA. The responsibilities of this role are set out in the Accounting Officer letter issued by the Permanent Secretary of DoH on appointment.

The Chief Executive will prepare a five year corporate plan and annual business plan for approval by the Board and agreement between the Board and the Department.

In addition to these plans, the Chief Executive will prepare a budget for the financial year showing proposed expenditure under main headings and against main objectives.

Following Board approval, the Chief Executive will be responsible for putting these plans into effect and has the authority to take such decisions as are necessary in relation to the employment of staff and the engagement of financial or other services.

The Board may agree policies in relation to its statutory functions which the Chief Executive will be responsible for ensuring are followed within NIMDTA. The Chief Executive may propose to the Board policies in relation to any of its functions and once approved by the Board, shall act in accordance with those policies.

The Chief Executive must act within any overall limits and conditions set in relation to NIMDTA's expenditure as informed to NIMDTA by the Department and may:

- approve and certify expenditure;
- authorise payments and accept receipts;
- negotiate, organise and review banking arrangements;
- negotiate, organise and review service level arrangements;
- vire money between budget heads;
- make any arrangements necessary relating to the employment of staff, their terms, conditions and pay; and

- delegate his powers to members of NIMDTA's staff subject to agreed limits.

The Chief Executive will report to the Board at each meeting and advise the Board in a timely manner of all material matters currently or prospectively affecting NIMDTA and its performance.

In particular, the Chief Executive will report to the Board on the achievement of key targets set out in the business plan and on the Board's expenditure and income against its budget.

The Chief Executive will also report to the Board any significant proposal to vary the staffing structure of NIMDTA.

3. Delegation to Committees

The Board of NIMDTA shall agree the delegation of executive powers to be exercised by committees or sub-committees, which it has formally constituted. The constitution and terms of reference of these Committees will be approved by the Board.

4. Delegation to Officers

Those functions of NIMDTA, which have not been retained as reserved by the Board or delegated to a committee or sub-committee, shall be exercised on behalf of NIMDTA by the Chief Executive. The Chief Executive shall determine which functions he/she will perform personally and shall nominate officers to undertake the remaining functions for which he/she will still retain accountability to the Board of NIMDTA.

5. Functions Delegated to Officers

Reference	Matters Delegated to Named Officers	Further Delegation
Commencement Order	The Chief Executive is responsible for the provision of postgraduate medical and dental education	Delegated to the Director of Education/Postgraduate Medical Dean and further to Senior Management leads in each aspects of provision.
Commencement Order	The Chief Executive is responsible for the provision of Revalidation processes for those medical and dental practitioners that fall within NIMDTA's brief	Delegated to the Medical Director who shall acts as the Responsible Officer, and have further delegated responsibility to consider appropriate Responsible Officer provision in settings where conflicts of interest or exceptional circumstances present
SO 13	The Chief Executive is responsible for maintaining a formal register of members interests	Directors and senior managers are responsible for declaring any conflicts of interest and for reporting to the Chief Executive any relationship between a senior officer in their Department and a candidate for appointment of whose candidature that person is aware. The Senior Governance, IT & Facilities Manager will arrange for a record of this to be held.
Schedule 1 para 7	The Chief Executive is responsible for internal audit	The Senior Governance, IT & Facilities Manager is responsible for the management of internal audit arrangements

Reference	Matters Delegated to Named Officers	Further Delegation
Schedule 6 para 5	The Chief Executive is responsible for setting down delegated authority and financial limits for stock and non-stock requisitions for goods and services	Authorised staff may approve expenditure in accordance with the Authorisation Framework. Amounts over £10,000 must be signed by the Senior Business Manager and in their absence, by the Chief Executive. In absence of both the above staff members, the Senior Governance, IT & Facilities Manager has delegated authority.
Schedule 7 para 3	The Chief Executive is responsible for identifying issues and patterns of complaints and reporting on these matters to the Board	Heads of Department are responsible for bringing to the Senior Governance, IT & Facilities Manager's attention any complaints arising in their Departments.
Schedule 9 para 2	The Chief Executive is responsible for ensuring that NIMDTA's financial policies are implemented and an effective system of internal control is maintained	<p>The Business Services Organisation (BSO) is responsible for the provision of financial and accounting services and a source of advice to the Chief Executive, Directors, Senior Managers, and the Board of NIMDTA</p> <p>All employees who carry out a financial function must discharge their duties to the satisfaction of the Chief Executive</p>
Schedule 7 para 3	The Chief Executive is responsible for submitting any amendments to corporate governance to the Board following consideration and approval by the Audit Committee and subject to DoH requirements	The Senior Governance, IT and Facilities Manager, and the Senior Business Manager will work in partnership to consider such amendments.

Reference	Matters Delegated to Named Officers	Further Delegation
Schedule 9 para 3 Fraud Response Policy	The Chief Executive is responsible for the application of the Fraud Policy in relation to actual or perceived incidents.	The nominated Fraud Liaison Officer is the Senior Business Manager who will forward any queries/issues to the Counter Fraud and Probity Services
Schedule 9 para 4	The Chief Executive is responsible for ensuring NIMDTA does not exceed Cash and Resource Limits	BSO Finance staff will draw down funds from the Department on behalf of NIMDTA. BSO Finance will prepare monthly monitoring returns to the DoH on behalf of NIMDTA
Schedule 9 para 5	Chief Executive is responsible for submitting strategic plans and an annual business plan to the Board	This is further delegated to the Senior Governance, IT & Facilities Manager. Heads of Department are responsible for compiling their section of the Business Plan, operational department planning and agreeing the corporate objectives
Schedule 9 para 5	The Chief Executive is responsible for submitting budgets for approval by the Board at the start of each financial year	BSO Finance will prepare budgets on behalf of the Chief Executive for submission to the Board. BSO finance will work with the Senior Business Manager and Heads of Department to compile budgets.
Schedule 9 para 5	The Chief Executive is responsible for maintaining systems of budgetary control	The Senior Business Manager will work with BSO Finance to devise and maintain systems of budgetary control. The Senior Management Committee is responsible for ensuring that the amount provided in the approved budget is only used for the matter specifically authorised

Reference	Matters Delegated to Named Officers	Further Delegation
Schedule 9 para 5	Chief Executive may delegate the management of the budget to permit the performance of a defined range of activities	The Senior Management Committee is responsible for management of the NIMDTA budget. BSO finance will support Heads of Department in this role
Schedule 9 para 6	The Chief Executive is responsible for the submission of the Annual Report and Accounts to the DoH	The Business Services Organisation is responsible for preparing and submitting annual accounts to the Department in accordance with the prescribed timetable The Senior Governance, IT and Facilities Manager will co-ordinate the production of the Annual Report across NIMDTA. Supported by the Senior Business Manager
Schedule 9 para 7	The Chief Executive is responsible for managing NIMDTA's banking arrangements	The Senior Business Manager, supported by BSO Finance
Schedule 9 Para 8	The Chief Executive is responsible for ensuring systems are in place for the handling of cash, cheques and negotiable securities	All Directors/Senior Managers are responsible for the collection and recording of monies received.
Schedule 9 Para 8	The Chief Executive is responsible for approving the level of fees and charges	All Directors/Senior Managers are responsible for ensuring that payments made and received reflect agreed fees and charges

Reference	Matters Delegated to Named Officers	Further Delegation
Schedule 9 Para 9	The Chief Executive is responsible for ensuring compliance with NI Public Procurement Policy and DoH Mini-code guidance	The Senior Business Manager is responsible for maintaining a system of financial monitoring of expenditure under SLAs and Contracts. All Directors/Senior Managers are responsible for ensuring that competitive tenders are sought in compliance with the DoH Mini-code. Unless competitive tendering is required staff must use e-Procurement for the purchase of goods and services
DoH Strategy	The Chief Executive is responsible for the provision of a single lead employer service for doctors and dentists in training	Delegated to the Senior HR Manager [Trainee Employment] with support from the Medical Director in areas related to their brief. Further delegation further to Senior Management leads in each aspects of provision.
DoH Strategy	The Chief Executive is responsible for the provision of operational facilities to the Northern Ireland Centre for Pharmacy Learning & Development on a co-location basis	Delegated to the Senior Governance, IT and Facilities Manager as the primary interface for this relationship and to the Senior Business Manager with responsibility for analysing and setting the financial context for this co-location.
Schedule 9 para 10	The Chief Executive is responsible for ensuring that appropriate controls are in place to ensure the funded establishment is not exceeded.	No Director or member of staff may engage, re-grade staff or hire agency staff unless authorised by the Chief Executive

Reference	Matters Delegated to Named Officers	Further Delegation
Schedule 9 para 10	The Chief Executive is responsible for ensuring that all employees are issued with a contract of employment in a form approved by the Board and which complies with employment legislation	<p><u>NIMDTA Staff/Educators</u></p> <p>This authority is further delegated to the Senior Professional Support Manager.</p> <p>The processing of NIMDTA staff and educator employment contracts is outsourced to BSO HR Shared Services.</p> <p><u>NIMDTA Doctors and Dentists in Training</u></p> <p>This authority is further delegated to the Senior HR Manager (Trainee Employment).</p>
Schedule 9 para 10	The Chief Executive is responsible for ensuring appropriate payment of NIMDTA employees	<p><u>NIMDTA Staff/Educators</u></p> <p>This authority is further delegated to the Senior Professional Support Manager.</p> <p>The processing of NIMDTA payroll is outsourced to BSO Payroll Shared Services</p> <p><u>NIMDTA Doctors and Dentists in Training</u></p> <p>This authority is further delegated to the Senior HR Manager (Trainee Employment).</p> <p>The processing of NIMDTA payroll is outsourced to BSO Payroll Shared Services</p>

Reference	Matters Delegated to Named Officers	Further Delegation
Schedule 9 para 11	The Chief Executive is responsible for ensuring the prompt payment of accounts and claims	The Senior Business Manager is the responsible lead. All members of staff authorised to approve payments must comply with the Public Sector Prompt Payment Policy.
Schedule 9 para 13, 14.15	The Chief Executive is responsible for the maintenance of asset registers and for the security and disposal of assets	This responsibility is further delegated to the Senior Business Manager and the Senior Governance, IT and Facilities Manager.
Schedule 9 para 16	The Chief Executive is responsible for the accuracy and security of computerised financial data	Directors/Senior Managers are responsible for ensuring that payments are appropriately checked, authorised and accurately processed
Schedule 9 para 17 Code of Conduct	The Chief Executive is responsible for ensuring that staff are aware of NIMDTA policy on the acceptance of gifts and hospitality	The Senior Governance, IT and Facilities Manager is responsible lead. Directors/Senior Managers are responsible for ensuring that staff are aware of the requirement to comply with the Code of Conduct
Schedule 9 para 18 Data Protection Policy & Records Management Policy	The Chief Executive is responsible for ensuring an effective records management system	Directors/Senior Managers are responsible for the accuracy, security and disposal of all manual and electronic records within their Department
Schedule 9 para 19 Risk Management & Assurance Framework	The Chief Executive is responsible for ensuring that NIMDTA has a programme of risk management	Directors /Senior Managers have corporate responsibility for risk management Directors/Senior Managers are responsible for following the risk management policy
Health and Safety	The Chief Executive is responsible for	This authority is further

Policy	health and safety arrangements within NIMDTA	delegated to the Senior Governance, IT and Facilities Manager
Premises	The Chief Executive is responsible for arrangements for the management of land and buildings belonging to or leased by NIMDTA	This authority is further delegated to the Senior Governance, IT & Facilities Manager

6. Delegated Authority for Establishment of Independent Review Panels

The power to establish an Independent Review Panel after a convenor has advised that a panel should be set up to consider a complaint, is delegated to the Chief Executive or to another executive director acting in the absence of the Chief Executive.

7. Delegated Authority to the Audit Committee, Remuneration Committee, Governance & Risk Committee.

The power to create sub-committees is established within section 9 of the Board's Standing Orders. The Board will set terms of reference for each of these sub-committees and review these at appropriate intervals. Each of the terms of reference will be maintained as Schedules to the Standing Orders of the Board.