

PROPOSED AMENDMENTS TO SFI's

SFI SECTION	EXISTING NARRATIVE WITHIN THE SFI's	PROPOSED NARRATIVE FOR APPROVAL WITHIN THE SFI's	REASON FOR THE CHANGE REQUEST
NARRATIVE AMENDMENTS IN RELATION TO CHANGES IN OFFICIAL ACTS, REGULATIONS, FRAMEWORKS & GOVERNANCE			
2.2.21 Losses and Special Payments	To review schedules of losses and compensation and make recommendations to the Trust Board.	To review schedules of losses and special payments and make recommendations to the Trust Board.	Narrative amendment to bring in line with official revised terminology now applied within the NHS
2.3.1 (a) The Director of Finance, Contracting and Estates is responsible for	ensuring there are arrangements to review, evaluate and report on the effectiveness of internal financial control including the establishment of an effective internal audit function; ensuring that the internal audit is adequate and meets the NHS internal audit standards, the Audit Code for NHS Foundation Trusts.	ensuring there are arrangements to review, evaluate and report on the effectiveness of internal financial control including the establishment of an effective internal audit function; ensuring that the internal audit is adequate and meets the NHS mandatory audit standards;	Narrative amendment, to enable the SFI to always apply to the latest mandatory audit standards, as and when they change.
2.4.9 Head of Internal Audit Accountability	The Head of Internal Audit shall be accountable to the Director of Finance, Contracting and Estates. The reporting system for internal audit shall be agreed between the Director of Finance, Contracting and Estates, the Audit Committee and the Head of Internal Audit. The agreement shall be in writing and shall comply with any guidance on reporting contained in the Audit code for NHS Foundation Trusts. The reporting system shall be reviewed at least every three years	The Head of Internal Audit shall be accountable to the Director of Finance, Contracting and Estates. The reporting system for internal audit shall be agreed between the Director of Finance, Contracting and Estates, the Audit Committee and the Head of Internal Audit. The agreement shall be in writing and shall comply with any guidance on reporting contained in all relevant NHS mandatory audit standards. The reporting system shall be reviewed at least every three years	Narrative amendment, to enable the SFI to always apply to the latest mandatory audit standards, as and when they change.
2.5.2 External Audit	The Audit Code for NHS Foundation Trusts ("The Audit Code") contains directions of the Independent Regulator under Schedule 7 paragraph 24 of the National Health Service Act 2006, with respect to the standards, procedures and techniques to be adopted by the Auditor	The Audit Code applicable to NHS Foundation Trusts ("The Audit Code") contains directions of the Independent Regulator under Schedule 7 paragraph 24 of the National Health Service Act 2006, with respect to the standards, procedures and techniques to be adopted by the Auditor	Narrative amendment, to enable the SFI to always apply to the latest mandatory audit standards, as and when they change.
2.6.5 Fraud and Corruption		The Trust shall appoint a Counter Fraud Champion (CFC) in accordance with the NHS Requirements under Government Functional Standard 013 for Counter Fraud. The CFC will work closely with the LCFS to assist in promoting awareness of fraud, bribery and corruption and in embedding a counter fraud culture within the Trust	New note included on the mandated introduction of Counter Fraud Champions within the NHS
3.4 Capital Expenditure & Leases	Capital Expenditure & Leases	Capital Expenditure & Leases (those accounted for under IFRS16)	Reference now made to the new reporting standard IFRS16, in reference to the accounting of leases. This standard was applicable to the NHS from 1st April 2022.
6.2.1 Fees and Charges	The Trust shall, where applicable, follow the Department of Health and Social Care advice in the Payment by Result (PbR) guidelines and any other applicable guidance in setting prices for contracts with NHS Commissioners for all services falling within PbR from time to time.		The reference of Payment by Results (PbR) is no longer application to the Trust and therefore removed
7.3 Reports to Board on LBC's	The Chief Executive, as the Accountable Officer, will need to ensure that regular reports are provided to the Board detailing actual and forecast income from the LBCs. This will include information on costing arrangements, which increasingly should, where applicable, be based upon Healthcare Resource Groups (HRGs) or other national methodologies. Where HRGs are unavailable for specific services, all parties should agree a common currency for application across the range of SLAs.	The Chief Executive, as the Accountable Officer, will need to ensure that regular reports are provided to the Board detailing actual and forecast income from the LBCs.	Replace with more meaningful narrative. Section 7.3 is fully removed with the updated narrative now included under 7.2
9.4 (a) Prepayments	Prepayments are only permitted where the financial advantages outweigh the disadvantages (i.e. cash flows must be discounted to NPV) and the intention is not to circumvent cash limits using the National Loans Fund (NLF) rate, for a period similar to the contract term, plus 2%).	Prepayments are only permitted where the financial advantages outweigh the disadvantages (i.e. cash flows must be discounted to NPV)	Narrative amendment, to enable the SFI to always apply to the latest mandatory audit standards, as and when they change.
9.4 (c) Prepayments	The Director of Finance, Contracting and Estates will need to be satisfied with the proposed arrangements before contractual arrangements proceed; and (taking into account the EU public procurement rules where the contract is above a stipulated financial threshold);	The Director of Finance, Contracting and Estates will need to be satisfied with the proposed arrangements before contractual arrangements proceed;	Narrative amendment, to enable the SFI to always apply to the latest procurement rules, as and when they change. All relevant procurement rules and not just those EU rules that still apply
9.5.2 (d) Official Orders - Duties of Managers and Officers	(This provision needs to be read in conjunction with and the principles outlined in the national guidance "Managing Conflicts of Interest in the NHS: Guidance for staff and organisations" (Supersedes the guidance contained in HSG 93(5) "Standards of Business Conduct for NHS Staff").	(This provision needs to be read in conjunction with and the principles outlined in the national guidance "Managing Conflicts of Interest in the NHS: Guidance for staff and organisations"	Removal of reference to HSG 93(5) "Standards of Business Conduct for NHS Staff". This was superseded over 3 years ago and there is no longer required to continue to quote
9.6.1 Joint Finance Arrangements with Local Authorities and Voluntary Bodies	Payments to local authorities and voluntary organisations made under the powers of section 28A of the NHS Act shall comply with procedures laid down by the Director of Finance, Contracting and Estates which shall be in accordance with these Acts.	Payments to local authorities and voluntary organisations made under the powers of section 256 of the NHS Act 2006 shall comply with procedures laid down by the Director of Finance, Contracting and Estates which shall be in accordance with these Acts.	Update in the reference within the NHS Act 2006.
11.1.3 Capital Investment	The Chief Executive and Director of Finance, Contracting and Estates shall ensure that the arrangements for financial control and financial audit of building and engineering contracts and property transactions comply with the guidance contained within the EU Procurement Regulations and ESTATECODE. The technical audit of these contracts shall be the responsibility of the relevant Director	The Chief Executive and Director of Finance, Contracting and Estates shall ensure that the arrangements for financial control and financial audit of building and engineering contracts and property transactions comply with the guidance contained within the ESTATECODE or any other legally binding contractual process as appropriate. The technical audit of these contracts shall be the responsibility of the relevant Director	Narrative amendment, to enable the SFI to always apply to the latest procurement rules, as and when they change. All relevant procurement rules and not just those EU rules that still apply
13.2.4 Losses and Special Payments	Within limits delegated to it by the Department of Health and Social Care, the Board shall approve the writing-off of losses	Within limits delegated to it by the Department of Health and Social Care, the Audit Committee shall approve the initial writing-off of losses, which in turn are reported to the Board	Narrative amended that the board have delegated powers to the Audit Committee to approve the initial write off of losses

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17.6.1 (iv) Invitation to tender	Every tender for building or engineering works (except for maintenance work, when Estmancode guidance shall be followed) shall embody or be in the terms of the current edition of one of the Joint Contracts Tribunal Standard Forms of Building Contract or Department of the Environment (GC/Wks) Standard forms of contract amended to comply with EU Procurement Regulations; or, when the content of the work is primarily engineering, the General Conditions of Contract recommended by the Institution of Mechanical and Electrical Engineers and the Association of Consulting Engineers (Form A), or (in the case of civil engineering work) the General Conditions of Contract recommended by the Institute of Civil Engineers, the Association of Consulting Engineers and the Federation of Civil Engineering Contractors. These documents shall be modified and/or amplified to accord with Department of Health guidance and, in minor respects, to cover special features of individual projects.	Every tender for building or engineering works (except for maintenance work, when Estatecode guidance shall be followed) shall embody or be in accordance with the terms of a recognised form of construction contract e.g. the Joint Contracts Tribunal (JCT) standard forms of building contract or the NEC4 Engineering and Construction Contract. Where the content of the work is primarily engineering, the Model Forms of general conditions of contract recommended by the Institution of Mechanical and Electrical Engineers or the Institute of Civil Engineers, may be more appropriate. These documents may be modified and/or amplified to accord with Department of Health guidance and, in minor respects, to cover special features of individual projects.	Replace narrative with updated and relevant processes
18 Acceptance of Gifts by staff and Link to Standards of Business Conduct	The Director of Human Resources and Organisational Development shall ensure that all staff are made aware of the Trust policy on acceptance of gifts and other benefits in kind by staff. This policy follows the national NHSE guidance 'Managing Conflict of interest in the NHS: Guidance for staff and organisations', which supersedes 'Standards of Business Conduct for NHS Staff (HSG(93)5)' and is also deemed to be an integral part of these Standing Orders and Standing Financial Instructions.	The Director of Human Resources and Organisational Development shall ensure that all staff are made aware of the Trust policy on acceptance of gifts and other benefits in kind by staff. This policy follows the national NHSE guidance 'Managing Conflict of interest in the NHS: Guidance for staff and organisations' and is also deemed to be an integral part of these Standing Orders and Standing Financial Instructions.	Removal of reference to HSG 93(5) "Standards of Business Conduct for NHS Staff". This was superseded over 3 years ago and there is no longer required to continue to quote
AMENDMENTS RELATING TO CHANGE TO THE JOB TITLE OF BOARD MEMBERS			
3.3.2 (c) Budget Control and Reporting	no permanent employees are appointed without the approval of the Directors of Finance, Contracting and Estates and Human Resources and Organisational Development other than those provided for within the available resources and manpower establishment as approved by the Board.	no permanent employees are appointed without the approval of the Directors of Finance, Contracting and Estates and Chief People Officer other than those provided for within the available resources and manpower establishment as approved by the Board.	Change in the job title from Director of Human Resources and Organisational Development to Chief People Officer
8.3.1 (a) Staff Appointments	unless authorised to do so by the Directors of Finance, Contracting and Estates and the Human Resources and Organisational Development ;	unless authorised to do so by the Directors of Finance, Contracting and Estates and the Chief People Officer	
8.3.2 Staff Appointments	The Board will approve procedures presented by the Directors of Finance, Contracting and Estates and the Human Resources and Organisational Development for the determination of commencing pay rates, condition of service, etc, for employees.	The Board will approve procedures presented by the Directors of Finance, Contracting and Estates and the Chief People Officer for the determination of commencing pay rates, condition of service, etc, for employees.	
8.4.1 Processing Payroll	The Director of Human Resources and Organisational Development is responsible for:	The Chief People Officer is responsible for:	
8.4.2 Processing Payroll	The Director of Human Resources and Organisational Development will issue instructions regarding;	The Chief People Officer will issue instructions regarding;	
8.4.3 (b) Processing Payroll - Appropriately nominated managers have delegated responsibility for:	completing time records and other notifications in accordance with the Director of Human Resources and Organisational Development instructions and in the form prescribed by the Director of Human Resources and Organisational Development ;	completing time records and other notifications in accordance with the Chief People Officer instructions and in the form prescribed by the Chief People Officer ;	
8.4.3 (c) Processing Payroll - Appropriately nominated managers have delegated responsibility for:	submitting termination forms in the prescribed form immediately upon knowing the effective date of an employee's or Officer's resignation, termination or retirement. Where an employee fails to report for duty or to fulfil obligations in circumstances that suggest they have left without notice, the Director of Human Resources and Organisational Development must be informed immediately.	submitting termination forms in the prescribed form immediately upon knowing the effective date of an employee's or Officer's resignation, termination or retirement. Where an employee fails to report for duty or to fulfil obligations in circumstances that suggest they have left without notice, the Chief People Officer must be informed immediately.	
8.4.4 Processing Payroll - Appropriately nominated managers have delegated responsibility for:	Regardless of the arrangements for providing the payroll service, the Director of Human Resources and Organisational Development shall ensure that the chosen method is supported by appropriate (contracted) terms and conditions, adequate internal controls and audit review procedures and that suitable arrangements are made for the collection of payroll deductions and payment of these to appropriate bodies.	Regardless of the arrangements for providing the payroll service, the Chief People Officer shall ensure that the chosen method is supported by appropriate (contracted) terms and conditions, adequate internal controls and audit review procedures and that suitable arrangements are made for the collection of payroll deductions and payment of these to appropriate bodies.	
8.5.1 Contracts of Employment	The Board shall delegate responsibility to the Director of Human Resources and Organisational Development for:	The Board shall delegate responsibility to the Chief People Officer for:	
17.6.3 (v) Opening tenders and register of tenders (paper based responses)	All Executive Directors/members will be authorised to open tenders regardless of whether they are from the originating department provided that the other authorised person opening the tenders with them is not from the originating department. This may be delegated to Deputy Directors where a director is not available. The Director of Corporate Affairs and Chief Information Officer will count as Directors for the purposes of opening tenders	All Executive Directors/members will be authorised to open tenders regardless of whether they are from the originating department provided that the other authorised person opening the tenders with them is not from the originating department. This may be delegated to Deputy Directors where a director is not available. The Trust Secretary and Chief Information Officer will count as Directors for the purposes of opening tenders	
NARRATIVE CHANGE TO INCLUDE THE FULL ORGANISATIONAL TITLE OF DEPARTMENT OF HEALTH AND SOCIAL CARE (DHSC)			
2.4.2 Role of Internal Audit - DHSC	The Head of Internal Audit will provide an annual opinion statement, in accordance with Department of Health guidelines, which will be based on a systematic review and evaluation of risk management, control and governance which comprises the policies, procedures and operations in place to:	The Head of Internal Audit will provide an annual opinion statement, in accordance with Department of Health and Social Care (DHSC) guidelines, which will be based on a systematic review and evaluation of risk management, control and governance which comprises the policies, procedures and operations in place to:	

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9.5.2 (c) Official Orders - Duties of Managers and Officers	where consultancy advice is being obtained, the procurement of such advice must be in accordance with guidance issued by the Department of Health ;	where consultancy advice is being obtained, the procurement of such advice must be in accordance with guidance issued by the Department of Health and Social Care (DHSC) ;	Reference the full organisation name of Department of Health and Social Care
13.2.8 Losses and Special Payments	No special payments exceeding delegated limits shall be made without the prior approval of the Department of Health .	No special payments exceeding delegated limits shall be made without the prior approval of the Department of Health and Social Care (DHSC) .	
17.2 EU Directives Governing Public Procurement	Directives by the Council of the European Union promulgated by the Department of Health prescribing procedures for awarding all forms of contracts shall have effect as if incorporated in these Standing Financial Instructions.	Directives by the Council of the European Union promulgated by the Department of Health and Social Care (DHSC) prescribing procedures for awarding all forms of contracts shall have effect as if incorporated in these Standing Financial Instructions.	
17.4 Capital Investment and other Department of Health and Social Care Guidance	The Trust shall comply as far as is practicable with the requirements of the Department of Health current capital investment guidance and "Estate code" in respect of capital investment and estate and property transactions. In the case of management consultancy contracts the Trust shall comply as far as is practicable with Department of Health guidance "The Procurement and Management of Consultants within the NHS".	The Trust shall comply as far as is practicable with the requirements of the Department of Health and Social Care current capital investment guidance and "Estate code" in respect of capital investment and estate and property transactions. In the case of management consultancy contracts the Trust shall comply as far as is practicable with Department of Health guidance "The Procurement and Management of Consultants within the NHS".	
17.5.1 Formal Competitive Tendering - General Applicability	• the rendering of services including all forms of management consultancy services (other than specialised services sought from or provided by the DH);	• the rendering of services including all forms of management consultancy services (other than specialised services sought from or provided by the DHSC);	
OTHER NARRATIVE AMENDMENTS			
9.2.1 Requisitioning	Requisitioners shall use the iProcurement facility to order goods and services supported by Trust negotiated contracts.	Requisitioners shall use the iProcurement and Edge for Health (EFH) facility to order goods and services supported by Trust negotiated contracts.	Addition to the narrative to also include the requisition function of Edge for Health (EFH).
9.2.2 Requisitioning	Where a service or good is not available then the requisitioner should consult with the Procurement and Supplies department . In choosing the item to be supplied (or the service to be performed) best value for money for the Trust should always be sought. Where the advice of the Procurement and Supplies department is not acceptable to the requisitioner, the Director of Finance, Contracting and Estates (and/or the Chief Executive) shall be consulted.	Where a service or good is not available then the requisitioner should consult with the Procurement department . In choosing the item to be supplied (or the service to be performed) best value for money for the Trust should always be sought. Where the advice of the Procurement department is not acceptable to the requisitioner, the Director of Finance, Contracting and Estates (and/or the Chief Executive) shall be consulted.	Narrative to reflect to official name of the department - removal of the reference to supplies.

PROPOSED AMENDMENTS TO SoD's

SoD SECTION	EXISTING NARRATIVE WITHIN THE SoD's	PROPOSED NARRATIVE FOR APPROVAL WITHIN THE SoD's	REASON FOR THE CHANGE REQUEST
AMENDMENTS RELATING TO CHANGE TO THE JOB TITLE OF BOARD MEMBERS			
1.5 Code of Conduct, Hospitality etc.	DHR to ensure that the Trust's Code of Conduct for Directors and Employees is brought to the attention of staff including new starters	CPO to ensure that the Trust's Code of Conduct for Directors and Employees is brought to the attention of staff including new starters	Change in the job title from Director of Human Resources and Organisational Development to Chief People Officer
4.1 Remuneration and Terms of Services for EDs	DHR advises Remuneration Committee.	CPO advises Remuneration Committee.	
4.2 Human Resources Policy Disputes/ Arbitration/ Disciplinary Matters	DHR to prepare options and draft policy in liaison with EDs. DHR reports to EDs or Board as required. MD to make recommendations regarding medical staff.	CPO to prepare options and draft policy in liaison with EDs. CPO reports to EDs or Board as required. MD to make recommendations regarding medical staff.	
4.3 Education and Training	DHR drafts policy in liaison with EDs.	CPO drafts policy in liaison with EDs.	
4.4 Manpower Plan	DHR and DFCE for changes where not in Annual Plan.	CPO and DFCE for changes where not in Annual Plan.	
OTHER NARRATIVE AMENDMENTS			
2.8 Recording and Monitoring of Payments under the Losses and Compensation Regulations	Directors and Senior Managers will notify DFCE in writing of losses and special payments who will arrange for the appropriate authorisation, notify the DFCE and provide quarterly reports to the Audit Committee . DFCE will notify the CEO/Chair/Board of Directors of specific items of a managerial nature without delay.	Directors and Senior Managers will notify DFCE in writing of losses and special payments who will arrange for the appropriate authorisation, notify the DFCE and provide reports to each Audit Committee . DFCE will notify the CEO/Chair/Board of Directors of specific items of a managerial nature without delay.	Updated in line with the internal committee processes