



Royal College of Anaesthetists
(Including RCoA Trading Ltd)

Scheme of Delegation

Approved May 2019
Next review date: May 2021
Owner of policy: Board of Trustees

Introduction

This scheme of delegation sets out the roles and responsibilities for the Royal College of Anaesthetists (RCoA), including RCoA Trading Ltd, the trading company.

The guiding principle in this scheme of delegation is that all powers of the charity are vested with the trustees¹. They choose to delegate those powers as they deem appropriate to the Board of Trustees, Council and the Colleges Boards and Committees and retain the right to remove that delegation at any time subject to the RCoA's Charter, Ordinances and Regulations.

The powers delegated, cannot be delegated further, unless the trustees expressly permit it by documenting it and issuing an updated and approved scheme of delegation.

The prime purpose of the trustees is to ensure that the College has strong corporate governance and is run efficiently and effectively to achieve its objects as stated in the Royal Charter.

The trustees establish, implement and monitor the College's financial controls, delegating powers and responsibilities as outlined in this document. The trustees retain ultimate responsibility for the College's finances and financial controls, and are accountable to the Charity Commission for their discharge of this duty.

For College staff, adherence to the contents of this scheme is mandatory and failure to follow its requirements could result in disciplinary procedures under the College's disciplinary policy.

For reference, Appendix 4 contains a matrix of key decision-making and authorisation levels.

Powers of the Charity

The Royal Charter, Ordinances and Regulations lay out the powers of the RCoA.

Only the Queen in Council can amend the Royal Charter, on the recommendation of the College.

Only the Privy Council can amend the Ordinances, on the recommendation of the College.

The Council can amend the College Regulations.

Matters Reserved for the Board of Trustees

Subject to the Charter, Ordinances and Regulations, the Board of Trustees shall oversee:

1. the governance arrangements for the College (including recommendations to the Annual General Meeting on changes required to the Royal Charter and Ordinances)
2. setting the strategic direction, including the written strategy, in consultation with the Council
3. the College's finances:
 - a. ensuring effective financial stewardship
 - b. approving the College's annual budget
 - c. receiving updates and monitoring In-year expenditure (see: New Projects not in the business plan section)
 - d. approving the College's consolidated annual financial statements
4. the reserves policy
5. the investment policy
6. the scheme of delegation
7. the Finance & Resources Board's (F&R Board) terms of reference
8. the risk register
9. membership subscription rates (for recommendation to the AGM)
10. events and exam fees
11. agreeing staff pay and reward structures (including allowances and expenses)
12. appoint the Chief Executive Officer (CEO)
13. convene and disband boards and committees (that report directly to them as required to enact the agreed College strategy)

Matters Reserved for the Council

Subject to the Charter, Ordinances and Regulations, the Council:

1. elect the President and the Vice Presidents
2. oversee the arrangements for other College activities (eg Council, devolved nation boards)
3. oversight for all clinical, professional and health policy matters
4. agree the terms of reference for all Boards (excluding F&R Board)
5. set the code of conduct for trustees and volunteers
6. agree Council and membership disciplinary procedures
7. define membership categories and the rights and obligations associated with these categories
8. convene boards and committees that report directly to them as required to enact the agreed College strategy
9. amend the College Regulations

These lists are not exhaustive. If the Council or Board of Trustees have not specifically delegated a matter or power as evidenced in this document, then the matter is reserved for them.

All trustees can attend any board, committee or College meeting, as they deem necessary in performance of their responsibilities, except the Audit & Internal Affairs Committee, National Honours Committee and Nominations Committee, which they can request to attend at the discretion of the relevant Chair.

The President

1. provides leadership to and co-ordinates the effective running of the College on behalf of the trustees
2. agrees the Council and Board of Trustees agendas, taking full account of the strategic, regulatory and charitable issues facing the College, having due regard to the views of the trustees
3. chairs Council and Board of Trustees meetings
4. ensures College compliance with the Council and Board of Trustees' approved procedures and scheme of delegation
5. recommends to Council and Board of Trustees respectively the Board and Committee chairs and members
6. ensures the Council, boards and committees play a full and constructive part in the development and determination of the College's strategy and overall objectives
7. ensures the provision of a comprehensive induction programme and an appraisal process for trustees
8. chairs a weekly business meeting (the President's Meeting) to enact College business in a timely manner between Council meetings, which is open to trustees and the Senior Management Team, ensuring any decisions made are relayed to the Board of Trustees and Council²
9. allocates consultations to be actioned by a trustee or staff member in a timely and equitable manner
10. oversight and appraisal of the CEO
11. is an ex-officio member (along with the Vice-Presidents) of all boards and committees except the Audit & Internal Affairs Committee

A Vice-President deputises for the President if they are unable to fulfill the above roles.

The longest serving Vice-President will deputise in the first instance. If both Vice-Presidents, have been in office for the same amount of time, the Vice-President with the longest service on Council deputises. Both these things being equal, the longer length of time since award of the FRCA will determine the senior Vice-President (see College Regulations).

Treasurers

The President, Vice-Presidents and Chair of the F&RB are treasurers of the College.

The treasurers' role is to:

1. sign the annual accounts once approved by Council
2. sign high value invoices in line with the high value signing levels set out below
3. act as a bank signatory
4. sign investment fund applications and transfers

² A trustee can request that any decision made at the President's Meeting not be enacted until discussed in full Board of Trustees or Council as appropriate

Finance & Resources Board (F&RB)

The responsibilities of the F&RB are set out in its terms of reference agreed by the Board of Trustees. The F&RB:

1. reviews financial reports and management accounts of the College
2. receives reports from the Investment Committee and makes recommendations to the Board of Trustees for changes in the long term investment strategy, taking financial advice as appropriate
3. takes investment decisions on behalf of the Board of Trustees, upon recommendation of the Investment Committee
4. reviews the next financial year budget before making a recommendation to the Board of Trustees
5. recommends future subscription rates, exam fees and event fees to the Board of Trustees
6. sets all other fees and charges for the College
7. assesses and authorises in-year expenditure to the level delegated by Board of Trustees (see section: New Projects not in the business plan)
8. recommends staff pay and reward structures (including allowances and expenses)
9. agrees accounting / financial regulations and policies
10. annually reviews all contracts above a value of £50,000
11. review all single tender waivers undertaken by the CEO

Audit & Internal Affairs Committee (A&IA)

The responsibilities of A&IA are set out in its terms of reference agreed by the Board of Trustees. A&IA advises and reviews on behalf of the trustees, and makes recommendations to the trustees on the following:

1. assurances on strategic processes regarding risk, financial control and governance (including information and corporate governance)
2. the accounts and the annual report of the College
3. the results of the external financial audit

In addition, A&IA:

1. undertakes disciplinary procedures relating to College members in line with the College Ordinances and Regulations
2. reports (and records if others report) serious incidents (as defined by the Charity Commission) to the Charity Commission
3. instigates proposals for tendering for either external or internal audit or for purchase of non-audit services from audit providers
4. sets the College's anti-bribery and anti-fraud policies

Faculties, Devolved Nation Boards and Council Boards

The responsibilities of each of the Faculties, Devolved Nation Boards and Council Boards are set out in their terms of reference agreed by Council.

Each Devolved Nation Board has responsibility for the development of the respective devolved nation's strategy.

The Boards agree, subject to Council final approval, the terms of reference for any committees and working groups that report to them, in which they can only delegate further the responsibilities delegated to them by Council.

RCoA Trading Limited

The trading company has no delegated powers, being under the control of the College. The Directors are the President, Vice Presidents and Chair of the F&RB. All distributable profits are gift aided to the College annually.

The Chief Executive Officer (CEO)

The trustees delegate responsibility for the administration of the College in order to implement the College strategy to the CEO. The CEO's principal duties are to:

1. implement the operational decisions of the Council, Board of Trustees and boards
2. provide information and support to the Council, Board of Trustees and boards
3. work closely with the President on the important strategic issues facing the College and agree with the President an agenda for Council and Board of Trustee meetings which reflects this
4. ensure compliance with the College's governing documents and the scheme of delegation
5. enact changes to the Charter and Ordinances as directed by the trustees in liaison with the Privy Council and approval at AGM
6. appoint, induct, appraise and line manage members of the Senior Management Team
7. act as the Elections Officer for the College
8. maintain a register of interests
9. proceed with single tender waivers only on approval of the F&RB
10. maintain an accurate membership database

Senior Management Team (SMT)

1. design and manage the operating arrangements and policies to make efficient use of the College's resources
2. design directorate organisational plans to deliver the strategic plan
3. maintain financial control and manage resources diligently within the approved budget
4. maintain and test a business continuity plan
5. protect and retain data, ensuring statutory compliance
6. appoint and ensure appropriate line management of College staff

The SMT members are the directors named in Appendix 1.

Finance & Resources Director (F&RD)

1. responsible for the financial management of the College, complying with financial statutes and regulations, the College's financial regulations and other accounting policies of the College
2. provide financial reports and advice to the trustees
3. prepare the annual financial statements
4. act as the nominated staff contact for external audit
5. approve the monthly payroll
6. maintain the integrity of the payment system
7. act as secretary to the trading company

Financial Authorisation Levels

All the financial amounts given below are exclusive of VAT.

Failure by any member of staff to abide by these authorisation levels may lead to disciplinary procedures in accordance with the College's disciplinary policy.

Signing Levels

Delegated Budget Holders	£1k
Budget Holders	£10k
Director	£50k
CEO and F&RD (individually)	to the budget approved

A trustee must approve all invoices over £50k prior to payment.

Contracting for Goods and Services # *

Budget Holders	£10k
Director	£50k
CEO and F&RD (individually)	£100k
Finance & Resources Board	above £100k

Contracts are let as per the financial regulations, with a minimum of three quotes sought for contracts over £10k, and a full competitive tender for contracts with a value over £50k.

* Contracts for which a budget exists.

Contracts for Consultancy Services (i.e. a named individual via either a consultancy* or company contract)

Director/SMT	Contracts of up to £50k, with a duration of less than 12 months, with no other contracts held with the College by the individual or consultancy
F&RB	All other consultancy contracts

* If a consultancy contract is used, the finance team will complete an Employment Status Indicator check, to confirm the consultant's status as such.

Single Tender Waivers

There should only be a need for a single tender waiver in contract letting under extraordinary circumstances.

The CEO must seek approval from the F&RB prior to applying for any single tender waivers, and then report the outcome of the waiver applied to the subsequent F&RB.

New projects not in the business plan and budget approved by Council, including contract variations

Director	Up to £50k*
F&R Board	Up to £100k
Council	Over £100k

* The director must identify budget from elsewhere within the directorate budget approved by the Board of Trustees, and the F&RD must report these changes to the F&RB in the next budget cycle.

Staff Eligible to Authorise the Above for the Purposes of the Scheme of Delegation

The trustees have agreed for this scheme of delegation that the following roles and role holders can make decisions, authorise payments and sign documentation:

Appendix 1: roles & role holders considered a Director

Appendix 2: roles & role holders considered a Budget Holder

Appendix 3: roles & role holders considered a Delegated Budget Holder

A Delegated Budget Holder cannot sign contract documentation.

Signing Contracts/Agreements

The CEO or F&RD must sign off all contracts with a value of more than £50k to ensure that the College can meet the contractual conditions and all risks and liabilities have been considered.

A director can sign contracts or agreements with a value of less than £50k, and pass a copy to the F&RD for recording on the contracts register, a list of all contracts maintained by the F&RD.

The secretary for the trading company signs contracts for the trading company.

'Contracts' refers to all agreements between two or more parties, including but not limited to Memorandums of Understanding (MOU), Service Level Agreements (SLA) and any other terms which mean an agreement has been entered into.

Appendix 1: Scheme of Delegation – Directors and current role holders

1. Chief Executive Officer – Tom Grinyer*
2. Deputy CEO and Director of Clinical Quality & Research – Sharon Drake
3. Director of Communications & External Affairs – Kathryn Stillman
4. Director of Education, Training & Examinations – Russell Ampofo
5. Director of Finance & Resources – Mark Blaney*
6. Technology Strategy Programme Director – Aaron Woods

* Financial authority up to the budget approved by Council

Appendix 2: Scheme of Delegation – Budget Holders, roles and current role holders

1. Associate Director of Education & Events – Graham Blair
2. Head of Faculties – Daniel Waeland
3. Head of Clinical Quality – Carly Melbourne
4. Head of Communications – Gavin Dallas
5. Head of Examinations – Graham Clissett
6. Head of Facilities – Natasha Marshall
7. Head of IT – Peter Watts
8. Head of Member Engagement – Vacant
9. Head of Research – James Goodwin
10. Head of Training – Claudia Moran
11. Head of Human Resources – Fay Johnstone
12. Head of Finance – Deva Wijeyesekera
13. Head of Policy & Public Affairs – Mark Weiss

Appendix 3: Scheme of Delegation – Delegated Budget Holders, roles and current role holders

1. Clinical Standards Manager – Ruth Nichols (CQD)
2. Patient Safety Manager – Emily Basra (CQD)
3. Examinations Manager – David Rowand (Exams)
4. President's Office Manager – Jon Whale (President's Office)
5. Event Manager – Vacant (Events)
6. Facilities Manager – Arthur Raugialo (Facilities)
7. Faculties Manager – Anna Ripley / Natalie Bell (Faculties)
8. Financial Accountant – Alison Clark (Finance)
9. Membership Database Manager – Emily Worth (Membership Engagement)
10. Clinical Audit Manager – Jose Lourtie (Research)
11. Chief Executive Office Manager – Rose Murphy (CEO)
12. Training Manager – Neil Wiseman (Training)
13. Global Partnership Manager – Maria Burke (Training)
14. Policy & Patient Information Manager – El Fabbrani (Policy)

The F&RD maintains a list of specimen signatures of the above staff.

Appendix 4: Delegation at a Glance

Area	Delegated Budget Holder	Budget Holder	Director	F&RD	CEO	President	F&R Board	A&IA Committee	Board	Council	Board of Trustees	AGM
Governance												
College Governance											R	✓
College Strategy										A	✓	
Scheme of Delegation											✓	
Membership Categories										✓		
Chairs Council						✓						
Chairs Board of Trustees						✓						
Election of Officers										✓		
Agrees Boards Terms of Reference (C&EA, CQD&R, ET&E)										✓		
Agrees Boards Terms of Reference (F&R)											✓	
Agrees sub-committees Terms of Reference									✓	✓	✓	
Convenes and Disbands Boards										✓	✓	
Convenes and Disband Sub-Committees									✓	✓	✓	
Appoints auditors								✓				
Annual Report and Accounts approval								R			✓	
External Audit Contact				✓								
Risk Register											✓	
Financial Management												
Financial Strategy											✓	
Annual Budget Approval							R				✓	
Financial Regulations							✓					
Other accounting regulations							✓					
Financial Performance Monitoring							✓					
High Value Contract Review							✓					
Operational Delivery					✓							
Reserves Policy							R				✓	
Payment Approval												
Up to £1k	✓											
Up to £10k		✓										
Up to £50k			✓									
Board Approved Budget				✓	✓							
Double signature required above £50k				✓	✓						1	
Purchasing - Goods & Services (within budget)												
Up to £10k		✓										
Up to £50k			✓									
Up to £100k				✓	✓							
Contract signing up to £50k			✓	✓	✓							
Over £50k				✓	✓							
Single Tender Waiver					✓		A					
Purchasing - Consultancy (within budget)												
Up to £50k			✓	✓	✓							
Over £50k							✓					
Purchasing - New Goods & Services												
Up to £50k (only within existing budget)			✓	✓	✓							
Up to £100k							✓					
Over £100k											✓	
Write Off's												
Losses up to £10k				✓	✓							
Over £10k							R				✓	
Ex gratia payments (none allowed)												
Outstanding Membership fees				✓								

Area	Delegated Budget Holder	Budget Holder	Director	F&RD	CEO	President	F&R Board	A&IA Committee	Board	Council	Board of Trustees	AGM
Investments												
Policy							R				✓	
Investment Review							✓					
Investment Transactions							✓					
Income Fees												
Subscriptions							R				R	✓
Exams and Events							R				✓	
Other fees and Pricing							✓					
Staffing												
Pay Policy & Structure							R				✓	
Pay Award							R				✓	
New posts				R	R		✓				✓	
Replacement posts				✓	✓							

R = Recommendation to higher authority

A = pre-approval required

1 = One trustee to approve payment, usually the president, a vice-president or treasurer