

# SCOTTISH GOVERNMENT HEALTH AND SOCIAL CARE DIRECTORATES

## Golden Jubilee Hospital (National Waiting Times Centre Board)

### FRAMEWORK DOCUMENT

#### Introduction

1. This framework document has been drawn up by the Scottish Government (SG) in consultation with the National Waiting Times Centre Board (NWTCB). It sets out the broad framework within which NWTCB will operate and defines key roles and responsibilities which underpin the relationship between NWTCB and the SG, with the delivery of the highest patient quality at the core. While this document does not confer any legal powers or responsibilities, it forms a key part of the accountability and governance framework and should be reviewed and updated as necessary, and at least every 2-3 years. The NWTCB and SG may propose amendments to the Management Statement at any time. Any such proposals by the NWTCB will be considered in the light of SG priorities and policy aims. Any questions regarding the interpretation of the document shall be determined by the SG after consultation with NWTCB. Legislative provisions shall take precedence over any part of the document.

2. NWTCB shall not establish subsidiaries or enter into joint ventures without the express approval of the SG.

3. Copies of the document shall be placed in the Scottish Parliament Reference Centre. It shall also be published on the NWTCB website.

#### Purpose

4. The aim of the NWTCB has always been to ensure that they deliver NHS Scotland's national health priorities and in that context, to meet individual NHS Board demands. In doing so they ensure equity of access and equality of health benefits to as wide a range of patients as possible so that they benefit from the clinical expertise and excellent facilities.

Within the Golden Jubilee National Hospital and the Beardmore Centres there are still significant opportunities available to improve healthcare services in Scotland by fully utilising potential capacity and expertise, expanding the current range of services, and importantly further develop the highly specialist Centre of Excellence model that has been so successfully deployed to date with the minimum of disruption, yet highest possible quality of care.

As a national resource, NHSS Quality Ambitions are at the heart of everything. The primary focus is to deliver the best quality healthcare to the people of Scotland – care that is person centred, safe and effective.

5. The National Waiting Times Centre Board (NWTCB) is established as a Special Health Board for the whole of Scotland under the National Waiting Times Centre Board (Scotland) Order 2002 (SSI 2002 No.305) as amended by The National Waiting Times Centre Board (Scotland) Amendment Order 2006 (SSI 2006 No.144). The constitution of the NWTCB is set out under section 3 of the 2002 Order under the National Health Service (Scotland) Act 1978 as amended (“the 1978 Act”). The affairs of NWTCB are managed by a Board constituted pursuant to Schedule 5

of the 1978 Act (referred to in this document as the “NWTCB Board”). The NWTCB Board is supported by the following sub-committees:

- **Audit (Effectiveness) Committee** – to support them in their responsibilities for the issues of risk, control and governance and associated assurance through a process of constructive challenge. The purpose of the committee is to assure the Board that an appropriate system of internal control has been implemented and is working effectively.
- **Clinical Governance (Safe) Committee** – to lead the ‘Safe’ Ambition within the NHS Healthcare Quality Strategy for the Board. This builds upon the responsibility to provide assurances to the Board that appropriate structures are in place for effective and safe clinical governance in accordance with MEL (2009)29 and that appropriate action is being taken to address any areas of concern.
- **Remuneration Committee** – ensures the application and implementation of fair and equitable pay systems on behalf of the NWTCB Board as determined by Scottish Ministers and the Scottish Government; and
- **Staff Governance (Person Centred) Committee** – to ensure appropriate scrutiny and governance around the person centred quality agenda. Person centred encompasses a range of stakeholders including patients, families, staff, customers, volunteers, carers and any relevant 3<sup>rd</sup> sector parties. In particular the committee ensures the deliver of the staff governance standard.

6. The 1978 Act is the main piece of primary legislation to define the overall aims for Health Boards. Further secondary legislation has been enacted delegating to these bodies various powers of the Scottish Ministers set out in the 1978 Act and other primary legislation. The functions of NWTCB are therefore broadly defined in the Functions Order as follows:

- The NWTCB is empowered to exercise the functions of the Scottish Ministers in relation to the provision of goods and services for the purpose of the Health Service, including in particular surgical, medical and related services at hospital accommodation and ancillary facilities at Beardmore Way, Dalmuir, Clydebank. Specifically this includes
  - To operate the West of Scotland Regional Heart and Lung Centre
  - To operate a national dedicated elective facility to provide services in specialties to patients throughout Scotland to contribute to reduction in waiting times
  - Provision of three national services for patients with long-term conditions;
  - Delivery of the strategy and effective operational management for the Beardmore Hotel and Conference Centre as a leading conference hotel supporting local communities, patient populations and all public sector organizations
  - The Beardmore Centre for Health Science was established in 2010 and aims to
    - enhance the experience of patients participating in clinical trials;
    - increase the number of trials hosted by the Golden Jubilee National Hospital;
    - provide excellent co-located hotel accommodation for patients taking part in research projects;

- enhance the clinical skills training experience for all health care professionals
  - Deliver the Board vision to lead quality, research and innovation for NHSS.
- Has the power to raise money and property by appeals, collections and other similar activities
- To make available for necessary under-graduate and post graduate clinical teaching and research and for the education and training of persons providing services
- the provision of such accommodation of the kind referred to in section 36(1) of the 1978 Act for the functions of NWTCB
- All other functions as described in the SSI 2002 No.305 and SSI 2016 No 144.

## **Relationship between Scottish Government and NWTCB**

5. Effective strategic engagement between the SG and NWTCB is essential in order that they work together as effectively as possible to maintain and improve public services and deliver improved outcomes.

### **Governance and accountability**

In addition to the detailed descriptions below of the responsibilities of each relevant party, the Scottish Government have agreed a governance quadrant which summarises the key responsibilities of Chairs and Non Executives; Chief Executives and Executive Directors; Scottish Government and 'everyone delivering health and care services'.

The following section describes this in more detail:

### **Ministerial responsibilities**

9. The Scottish Ministers are ultimately accountable to the Scottish Parliament for the activities of NWTCB and its use of resources. Their responsibilities include:

- agreeing NWTCB's strategic aims and objectives and key targets as part of the corporate planning process;
- providing information to the Scottish Parliament about the performance of NWTCB;
- approving the Revenue and Capital Resource Limits and the associated cash funding requirement to be paid to NWTCB, and securing the necessary Parliamentary approval; and
- carrying out responsibilities specified in the 1978 Act including appointments to the NWTCB Board, approving the terms and conditions of members, approval of terms and conditions of staff, and laying of the annual accounts before the Parliament.

### **Performance Review**

10. NWTCB's performance in assisting delivery of Ministers' policies, including the achievement of agreed key objectives, shall be formally reviewed each year at the

**“Annual Review”** of NWTCB. Ministerial attendance at the Board’s Annual Reviews will be at least every two years and the Review shall be chaired by the appropriate Cabinet Secretary/Minister and be held in public. In addition, performance will also be reviewed at official level on an annual basis in the form of a Mid-Year Review.

## **NWTCB Board Responsibilities**

11. The NWTCB Board, including the Chair, consists of executives and non-executives appointed by the Scottish Ministers in line with the Code of Practice for Ministerial Public Appointments in Scotland. It has corporate responsibility for:

- taking forward the strategic aims and objectives agreed by the Scottish Ministers;
- determining the steps needed to deal with changes which are likely to impact on the strategic aims and objectives of NWTCB or on the attainability of its operational targets;
- promoting the efficient, economic and effective use of staff and other resources by NWTCB consistent with the principles of [Best Value](#), including, where appropriate, participation in [shared services](#) arrangements;
- ensuring that effective arrangements are in place to provide assurance on risk management, governance and internal control. (The board must set up an audit committee chaired by a non-executive member to provide independent advice and assurance on the effectiveness of the internal control and risk management systems.)
- complying with any statutory or administrative requirements for the use of public funds and operating within the limits of any statutory or delegated authority;
- taking into account relevant guidance issued by the Scottish Ministers in reaching decisions;
- ensuring that the board receives and reviews regular financial information concerning the management of NWTCB and is informed in a timely manner about any concerns regarding the activities of NWTCB;
- appointing the NWTCB Chief Executive and, in consultation with the SG, set appropriate performance objectives and remuneration terms linked to these objectives which give due weight to the proper management and use of public funds and the delivery of outcomes; and
- demonstrating high standards of corporate governance at all times.

## **The Chair’s Responsibilities**

12. The Chair is personally responsible to the Scottish Ministers. Communications between the NWTCB Board and the Scottish Ministers should normally be through the Chair. He or she is responsible for ensuring that NWTCB’s policies and actions support the Scottish Ministers’ wider strategic policies and that its affairs are conducted with probity.

13. The Chair has the following leadership responsibilities:

- formulating the Board's strategy;
- ensuring that the Board, in reaching decisions, takes proper account of guidance issued by the Scottish Ministers;
- promoting the efficient and effective use of staff and other resources within the body and supporting the Chief Executive to take executive action in this regard;
- delivering high standards of regularity and propriety; and
- representing the views of the Board to the general public.

14. The Chair also has an obligation to ensure that:

- the work of the Board and its Members is reviewed and that the Board is working effectively;
- the Board has a balance of skills appropriate to directing NWT CB business, in accordance with recognised good practice in corporate governance;
- the Board Members are fully briefed on terms of appointment, duties, rights and responsibilities;
- he or she, together with the other Board Members, receives appropriate induction training, including on financial management and reporting requirements and on any differences that may exist between private and public sector practice;
- the Scottish Ministers are advised of NWT CB needs when board vacancies arise;
- he or she assesses the performance of individual Non-Executive Directors on an annual basis and when being considered for reappointment; and in addition approves the performance appraisal of the Chief Executive
- NWT CB Board members are fully aware of the “**NWT CB Code of Conduct**” created pursuant to the Ethical Standards in Public Life etc (Scotland) Act 2000 as amended and approved by the Scottish Ministers.

### **Individual Board Members' Responsibilities**

15. Individual Board Members should act in accordance with the responsibilities of the board as a whole and comply at all times with the code of conduct adopted by NWT CB and with the rules relating to the use of public funds and to conflicts of interest. General guidance on Board Members' responsibilities is provided in [On Board: A Guide for Board Members of Public Bodies in Scotland](#).

## NWTCB Chief Executive/Accountable Officer responsibilities

16. The NWTCB Chief Executive is employed and appointed by the Board and is accountable to the Board for the performance, management and staffing of NWTCB, and for ensuring that its functions are delivered and targets met through effective and properly controlled executive action. The Chief Executive is the Board's principal adviser on the discharge of their functions.

17. The Principal Accountable Officer for the Scottish Administration (the Permanent Secretary of the SG) will designate the Chief Executive as the Accountable Officer for NWTCB. The role of the Accountable Officer is to ensure that the use of resources by NWTCB and any decisions taken by it comply with public sector accountability standards, both through advice to the board and in decisions taken on his/her own authority. The responsibilities of the Accountable Officer are set out in detail in the [Memorandum to Accountable Officers for Other Public Bodies](#). These include:

- a personal responsibility for NWTCB's financial propriety and regularity and for ensuring that the resources of NWTCB are used economically, efficiently and effectively;
- ensuring compliance with relevant guidance issued by the Scottish Ministers.
- ensuring that arrangements have been made by NWTCB to secure [Best Value](#); and
- seeking written authority if the Board, or the Chair, is contemplating a course of action which the Chief Executive considers would infringe the requirements of propriety or regularity or that could not be defended as representing value for money within a framework of Best Value.

18. The Chief Executive's responsibilities to the Board include:

- advising the Board on the discharge of its responsibilities - as set out in this document, in the founding legislation and in any other relevant instructions and guidance issued by or on behalf of the Scottish Ministers - and implementing the decisions of the Board;
- ensuring that financial considerations are taken fully into account by the Board at all stages in reaching and executing its decisions, and that appropriate financial appraisal and evaluation techniques, consistent with the [Appraisal and Evaluation](#) section of the SPFM, are followed;
- ensuring that NWTCB adheres, where appropriate, to the SG's [Programme and Project Management Principles](#).
- having robust performance and risk management arrangements - consistent with the [Risk Management](#) section of the SPFM - in place that support the achievement of NWTCB's aims and objectives and that facilitate comprehensive reporting to the Board, the SG and the wider public;
- ensuring that adequate systems of internal control are maintained by NWTCB, including effective measures against fraud and theft consistent with the [Fraud](#) section of the SPFM;

- establishing appropriate documented internal delegated authority arrangements in accordance with NWTCB Standing Financial Instructions (SFIs);
- advising the Board on the performance of NWTCB compared with its aims and objectives.

19. Other responsibilities of the Chief Executive include:

- establishing, in agreement with the SG, NWTCB's Local Delivery Plan in the light of the strategic aims and objectives agreed by the Scottish Ministers; and
- ensuring that timely forecasts and monitoring information on performance and finance are provided to the SG; that the SG is notified promptly if over or under spends are likely and that corrective action is taken; and that any significant problems whether financial or otherwise, and whether detected by internal audit or by other means, are notified to the SG in a timely fashion.

### **Portfolio Accountable Officer responsibilities**

20. The Principal Accountable Officer for the Scottish Administration (the Permanent Secretary of the SG) has designated the Director-General for Health and Social Care as the Accountable Officer for the SG portfolio charged with responsibility for NWTCB. The responsibilities of a Portfolio Accountable Officer are set out in detail in the [Memorandum to Accountable Officers for Parts of the Scottish Administration](#). He/she is personally answerable to the Scottish Parliament for ensuring that:

- the financial and other management controls applied by the SG are appropriate and sufficient to safeguard public funds and, more generally that those being applied by NWTCB conform to the requirements both of propriety and of good financial management. ("Public funds" include not only any funds provided to NWTCB by the Scottish Ministers but also any other funds falling within the stewardship of the NWTCB, including trading and investment income, gifts, bequests and donations.);
- there is an adequate statement of the relationship between the SG and NWTCB in this framework document - and that this document is regularly reviewed;
- compliance with this framework document is effectively monitored by the sponsor unit;
- effective relationships are in place at Director and Performance Manager level between the SG and NWTCB in accordance with the strategic engagement principles; and
- there is effective continuous assessment and appraisal of the performance of the Chair of NWTCB, in line with the requirements of the Code of Practice for Ministerial Public Appointments in Scotland, if appropriate.

## Scottish Government Director and Performance Manager

21. The Director of Health Workforce and the Performance Manager, have responsibility for overseeing and ensuring effective relationships between the SG and NWTCB which support alignment of NWTCB's business to the Government's Purpose and National Outcomes and high performance by NWTCB. They will work closely with the NWTCB Chief Executive and be answerable to the Portfolio Accountable Officer for maintaining and developing positive relationships with NWTCB characterised by openness, trust, respect and mutual support. *The Portfolio Accountable Officer* shall be responsible for assessing the performance of the NWTCB Chair.

### Sponsor unit responsibilities

22. The SG sponsor unit for NWTCB is the Performance Management Team. It is the normal point of contact for NWTCB in dealing with the SG. The unit, under the direction of the Director is the primary source of advice to the Scottish Ministers on the discharge of their responsibilities in respect of NWTCB and the primary point of contact for the NWTCB in dealing with the Health Directorate. The sponsoring team shall have primary responsibility for overseeing the activities of the NWTCB.

Specific responsibilities include:

- ensuring that appointments to the NWTCB Board are made timeously and, where appropriate, in accordance with the Code of Practice for Ministerial Appointments to Public Bodies in Scotland;
- proportionate monitoring of NWTCB's activities through an adequate and timely flow of appropriate information, agreed with NWTCB, on performance, budgeting, control and risk management;
- addressing in a timely manner any significant problems arising in NWTCB, alerting the Portfolio Accountable Officer and the responsible Minister(s) where considered appropriate;
- ensuring that the objectives of NWTCB and the risks to them are properly and appropriately taken into account in the SG's risk assessment and management systems; and
- informing NWTCB of relevant SG policy in a timely manner.

### Internal audit

23. NWTCB shall:

- establish and maintain arrangements for internal audit in accordance with the Public Sector Audit Standards (PSIAS) and the [Internal Audit](#) section of the SPFM;
- set up an audit committee of its Board, in accordance with the [Audit Committees](#) section of the SPFM, to advise both the Board and the Chief Executive in his/her capacity as the NWTCB Accountable Officer;

- forward promptly to the SG the annual audit assurance report, including the Internal Audit opinion on risk management, control and governance and other relevant reports as requested; and
- keep records of, and prepare and forward promptly to the SG an annual report on fraud and theft suffered by NWTCB and notify the SG at the earliest opportunity of any unusual or major incidents.

24. The SG's Internal Audit Division has a right of access to all documents held by the NWTCB internal auditor, including where the service is contracted out. The SG has a right of access to all NWTCB records and personnel for any purpose.

### **External audit**

25. The Auditor General for Scotland (AGS) audits, or appoints auditors to audit, NWTCBs' annual accounts and passes them to the Scottish Ministers who shall lay them before the Scottish Parliament, together with the auditor's report and any report prepared by the AGS. For the purpose of audit the auditors have a statutory right of access to documents and information held by relevant persons. NWTCB shall instruct its auditors to send copies of all management reports (and correspondence relating to those reports) and responses to the SG.

26. The AGS, or examiners appointed by the AGS, may carry out examinations into the economy, efficiency and effectiveness with which NWTCB has used its resources in discharging its functions. For the purpose of these examinations the examiners have a statutory right of access to documents and information held by relevant persons. In addition, NWTCB shall provide, in contracts and any conditions to grants, for the AGS to exercise such access to documents held by contractors and sub-contractors and grant recipients as may be required for these examinations; and shall use its best endeavours to secure access for the AGS to any other documents required by the AGS which are held by other bodies.

### **Annual report and accounts**

27. NWTCB must publish an annual report of its activities together with its audited accounts after the end of each financial year. The annual report must cover the activities of any corporate, subsidiary or joint ventures under the control of NWTCB. It should comply with the [Financial Reporting Manual](#) (FReM) and outline NWTCB's main activities and performance against agreed objectives and targets for the previous financial year.

28. The accounts must be prepared in accordance with relevant statutes and the specific accounts direction (including compliance with the FReM) and other relevant guidance issued by the Scottish Ministers. Information on performance against key financial targets is within the scope of the audit and should be included in the notes to the accounts. Any subsidiary or joint venture owned or controlled by NWTCB shall be consolidated in its accounts in accordance with International Financial Reporting Standards as adapted and interpreted for the public sector context.

29. The report and accounts should be submitted in draft to the SG for comment by 1 June and the final version should be available for laying before the Scottish Parliament by the Scottish Ministers by 30 June. Whilst the statutory date for laying and publishing accounts audited by the AGS is by 31 December, following the close

of the previous financial year, there is an expectation on the part of the Scottish Ministers that accounts will be laid and published at the earliest possible date following the completion of the formal sign-off and approval process. The accounts must not be laid before they have been formally sent by the AGS to the Scottish Ministers and must not be published before they have been laid. NWT CB shall be responsible for the publication of the report and accounts e.g. on the NWT CB website.

30. As part of the Health and Wellbeing Accountable Officer's Statement of Assurance process, Chairs of the Audit Committees from Sponsored Bodies and Health Boards are required to write to the Chair of the Health and Wellbeing Audit Committee to advise if there are specific Governance matters they wish to draw to his attention.

Accountable Officers at Health Boards and Sponsored Bodies are also required to complete a Governance Statement as part of their Annual Accounts. Any disclosures reported in the Governance Statements are highlighted to the DG Health and Social Care for review, and if considered material to SG, noted in the Statement of Assurance that is sent to the Permanent Secretary.

## **Management responsibilities**

### **Corporate and business plans**

31. NWT CB shall produce annually a "Local Delivery Plan" setting out performance trajectories, identification and management of risks, financial planning and workforce planning in accordance with annual guidance issued by the SGHSCD. The Local Delivery Plan shall reflect the statutory duties of NWT CB and, within those duties, the priorities set from time to time by the Scottish Ministers. The main elements of the plan - including the key performance targets - shall be agreed between the SGHSCD and NWT CB in the light of the SGHSCD's decisions on policy and resources taken in the context of the Scottish Ministers' wider public expenditure plans and decisions.

32. In addition, NWT CB shall also produce a Board Strategy for at least over a 5 year period. The Strategic Plan will set out what NWT CB aims to achieve over the five year period of the plan including measures to demonstrate the achievement of objectives. The Board Strategy will be closely aligned to the strategic objectives contained in the Local Delivery Plans.

### **Budget management**

33. Each year, in the light of decisions by the Scottish Ministers on NWT CB's Local Delivery Plan the SGHSCD will send to NWT CB:

- a formal statement of the annual budgetary provision setting the Revenue Resource Limit ("**RRL**") and Capital Resource Limit ("**CRL**") allocated by the Scottish Ministers in the light of competing priorities across the Scottish Government and of the associated funding and any approved forecast income; and
- a statement of any planned change in policies affecting NWT CB.

34. NWTTCB's annual planning will take account both of its approved budgetary provision and of any forecast income, and will include a budget of estimated payments and receipts together with a profile of expected expenditure / consumption of resources and of draw-down and other income over the year. These elements will form part of the Local Delivery Plan for the year in question. Funding provided by the Scottish Ministers for the year in question will be included in the relevant annual Budget Act and will be subject to approval by the Parliament.

### **Cash management**

35. Cash funding will be made available to NWTTCB monthly, on the basis of information contained with the Monthly Monitoring Return ('MMR'). Funding should not be paid out in advance of need. Cash balances accumulated during the course of the year from funding shall therefore be kept at the minimum level consistent with the efficient operation of NWTTCB. No funding shall be paid into any reserve held by NWTTCB.

36. The banking arrangements adopted by NWTTCB must comply with the [Banking](#) section of the SPFM.

### **Risk management**

37. NWTTCB shall ensure that the risks, which it faces, are dealt with in an appropriate manner, in accordance with relevant aspects of best practice in corporate governance, and shall develop a risk management strategy, in accordance with the Risk Management section of the SPFM. NWTTCB shall adopt and implement policies and practices to safeguard itself against fraud and theft, in line with the following:

- Scottish Executive HDL(2002)23 – Financial Control: Procedure where criminal offences are suspected
- Scottish Executive HDL(2005)5 – Tackling Fraud in NHS Scotland – Joint Action Programme, which updates HDL(2002)23;
- Scottish Government CEL 3 (2008) - Strategy to Combat NHS Fraud in Scotland; and
- Scottish Government CEL 33 (2010) – Tackling NHS Fraud Training DVD.

NWTTCB shall take all reasonable steps to appraise the financial standing of any firm or other body with which it intends to enter into a contract or to give funding.

### **Fraud management**

38. NWTTCB should adopt and implement policies and practices to safeguard itself against fraud and theft, in accordance with the [Fraud](#) section of the SPFM. Application of these processes must be monitored actively, supported by a fraud response plan and robust reporting arrangements. This includes the establishment of avenues to report any suspicions of fraud. In addition NWTTCB should take risk-based and proportionate steps to appraise the financial standing of any supplier or other body with which it intends to enter into a contract or to provide funding.

### **Performance management**

39. NWTTCB shall operate management information and accounting systems that enable it to review, in a timely and effective manner, its financial and non-financial performance against the strategic aims, objectives, targets and milestones set out in the corporate and business plans. The results of such reviews should be reported on a regular basis to the board and if requested copied to the SG. Performance will be formally reviewed each year at the “**Annual Review**” of NWTTCB. Ministerial attendance at the Board’s Annual Reviews will be at least every two years and the Review shall be chaired by the appropriate Cabinet Secretary / Minister and be held in public.

## **NWTTCB staff management**

### *Broad responsibilities for NWTTCB staff*

40. NWTTCB will have responsibility for the recruitment, retention and motivation of its staff. The Board will ensure that:

- it complies with its duty in relation to the governance of staff as set out in the NHS Reform (Scotland) Act 2004 and complies with the Staff Governance Standard <http://www.staffgovernance.scot.nhs.uk/what-is-staff-governance/staff-governance-standard/>;
- in complying with the Staff Governance Standard the Board establishes a Staff Governance Committee and a Remuneration Committee as standing committees of the Board;
- personnel policies, practices and systems comply with Partnership Information Network (PIN) policies <http://www.staffgovernance.scot.nhs.uk/partnership/partnership-information-network/> that reflect current employment and equalities legislation, and best practice standards expected of public sector employers;
- the level and structure of its staffing, including grading and staff numbers, are appropriate to its functions and the requirements of economy, efficiency and;
- its staff are encouraged to acquire the appropriate professional, management and other expertise necessary to achieve the NWTTCB’s objectives;

### *Pay and conditions of service*

41 As part of NHSScotland, NWTTCB shall employ its staff on the NHS terms and conditions packages which apply to each staff group in line with UK or Scottish agreements, the only current exception to this relates to casual workers in the Beardmore Hotel who support peaks in service levels when required, these workers are widely used throughout the hospitality industry .

Pay for NWTTCB staff will be determined under Ministerial direction through the relevant NHS circulars. In addition, NWTTCB will comply fully with any process set up to determine appropriate pay for senior managers. The performance of staff at all levels will be appraised in line with the appraisal arrangements set out in that staff groups terms and conditions.

### *Pensions*

42. As part of NHS Scotland, NWTCB staff are eligible to join the NHSScotland Superannuation Scheme. Staff may, however, opt out of the NHSScotland Superannuation Scheme at any time.

### **Asset and property management**

43. NWTCB shall comply with CEL (35) 2010 "A Policy for Property and Asset Management in NHSScotland" and its' successors. NWTCB will maintain an accurate and up-to-date record of its current and non-current assets in accordance with the [Management of Assets](#) section of the SPFM. "Fixed" assets should be disposed of in accordance with the [Disposal of Property, Plant & Equipment](#) section of the SPFM. The SG's Property Advice Division should be notified of relevant proposed disposals of property at the earliest opportunity and at least 1 month prior to them being advertised on the open market. Any proposal to acquire land, buildings or other rights in property should comply with the [Acquisition of Property](#) section of the SPFM.

### **Specific financial provisions**

*Many of the provisions included in this section - and other sections - of the framework document highlight specific requirements in the SPFM that are considered of particular relevance to NWTCB. It should be noted however that guidance in the SPFM should always be considered in its entirety as and when relevant issues arise.*

### **Standing Financial Instructions (SFI)**

44. NWTCB's specific delegated financial authorities are set out as agreed in its SFI. NWTCB shall obtain the SG's prior written approval before entering into any undertaking to incur any expenditure that falls outside these delegations or which is not provided for in NWTCB's annual budget as allocated by the Scottish Ministers. NWTCB shall follow the guidance within its SFI in respect of the following areas:

- **Income generation**
- **Financial investments**
- **Borrowing**
- **Lease arrangements**
- **Tax arrangements**
- **Lending and guarantees**
- **Third party grants**
- **Endowments**

- **Impairments, provisions and write-offs**
- 
- **Insurance**
- **Procurement and payment**
- **Gifts made, special payments and losses**
- **Clawback**
- **Board expenses**

**SCOTTISH GOVERNMENT HEALTH AND SOCIAL CARE DIRECTORATES  
FRAMEWORK DOCUMENT – NHS NWTCB : APPENDIX**

**SPECIFIC DELEGATED FINANCIAL AUTHORITIES**

Further information on NWTCB's specific delegated financial authorities are as follows:

[Standing Financial Instructions](#)

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- **Remuneration Committee** – ensures the application and implementation of fair and equitable pay systems on behalf of the NWTC Board as determined by Scottish Ministers and the Scottish Government; and
- **Staff Governance (Person Centred) Committee** – to ensure appropriate scrutiny and governance around the person centred quality agenda. Person centred encompasses a range of stakeholders including patients, families, staff, customers, volunteers, carers and any relevant 3<sup>rd</sup> sector parties. In particular the committee ensures the deliver of the staff governance standard.

6. The 1978 Act is the main piece of primary legislation to define the overall aims for Health Boards. Further secondary legislation has been enacted delegating to these bodies various powers of the Scottish Ministers set out in the 1978 Act and other primary legislation. The functions of NWTCB are therefore broadly defined in the Functions Order as follows:

- The NWTCB is empowered to exercise the functions of the Scottish Ministers in relation to the provision of goods and services for the purpose of the Health Service, including in particular surgical, medical and related services at hospital accommodation and ancillary facilities at Beardmore Way, Dalmuir, Clydebank. Specifically this includes
  - To operate the West of Scotland Regional Heart and Lung Centre
  - To operate a national dedicated elective facility to provide services in specialties to patients throughout Scotland to contribute to reduction in waiting times
  - Provision of three national services for patients with long-term conditions;
  - Delivery of the strategy and effective operational management for the Beardmore Hotel and Conference Centre as a leading conference hotel supporting local communities, patient populations and all public sector organizations
  - The Beardmore Centre for Health Science was established in 2010 and aims to
    - enhance the experience of patients participating in clinical trials;
    - increase the number of trials hosted by the Golden Jubilee National Hospital;
    - provide excellent co-located hotel accommodation for patients taking part in research projects;

- enhance the clinical skills training experience for all health care professionals
  - Deliver the Board vision to lead quality, research and innovation for NHSS.
- Has the power to raise money and property by appeals, collections and other similar activities
- To make available for necessary under-graduate and post graduate clinical teaching and research and for the education and training of persons providing services
- the provision of such accommodation of the kind referred to in section 36(1) of the 1978 Act for the functions of NWTCB
- All other functions as described in the SSI 2002 No.305 and SSI 2016 No 144.

## **Relationship between Scottish Government and NWTCB**

5. Effective strategic engagement between the SG and NWTCB is essential in order that they work together as effectively as possible to maintain and improve public services and deliver improved outcomes.

### **Governance and accountability**

In addition to the detailed descriptions below of the responsibilities of each relevant party, the Scottish Government have agreed a governance quadrant which summarises the key responsibilities of Chairs and Non Executives; Chief Executives and Executive Directors; Scottish Government and 'everyone delivering health and care services'.

The following section describes this in more detail:

### **Ministerial responsibilities**

9. The Scottish Ministers are ultimately accountable to the Scottish Parliament for the activities of NWTCB and its use of resources. Their responsibilities include:

- agreeing NWTCB's strategic aims and objectives and key targets as part of the corporate planning process;
- providing information to the Scottish Parliament about the performance of NWTCB;
- approving the Revenue and Capital Resource Limits and the associated cash funding requirement to be paid to NWTCB, and securing the necessary Parliamentary approval; and
- carrying out responsibilities specified in the 1978 Act including appointments to the NWTCB Board, approving the terms and conditions of members, approval of terms and conditions of staff, and laying of the annual accounts before the Parliament.

### **Performance Review**

10. NWTCB's performance in assisting delivery of Ministers' policies, including the achievement of agreed key objectives, shall be formally reviewed each year at the

**“Annual Review”** of NWTCB. Ministerial attendance at the Board’s Annual Reviews will be at least every two years and the Review shall be chaired by the appropriate Cabinet Secretary/Minister and be held in public. In addition, performance will also be reviewed at official level on an annual basis in the form of a Mid-Year Review.

## **NWTCB Board Responsibilities**

11. The NWTCB Board, including the Chair, consists of executives and non-executives appointed by the Scottish Ministers in line with the Code of Practice for Ministerial Public Appointments in Scotland. It has corporate responsibility for:

- taking forward the strategic aims and objectives agreed by the Scottish Ministers;
- determining the steps needed to deal with changes which are likely to impact on the strategic aims and objectives of NWTCB or on the attainability of its operational targets;
- promoting the efficient, economic and effective use of staff and other resources by NWTCB consistent with the principles of [Best Value](#), including, where appropriate, participation in [shared services](#) arrangements;
- ensuring that effective arrangements are in place to provide assurance on risk management, governance and internal control. (The board must set up an audit committee chaired by a non-executive member to provide independent advice and assurance on the effectiveness of the internal control and risk management systems.)
- complying with any statutory or administrative requirements for the use of public funds and operating within the limits of any statutory or delegated authority;
- taking into account relevant guidance issued by the Scottish Ministers in reaching decisions;
- ensuring that the board receives and reviews regular financial information concerning the management of NWTCB and is informed in a timely manner about any concerns regarding the activities of NWTCB;
- appointing the NWTCB Chief Executive and, in consultation with the SG, set appropriate performance objectives and remuneration terms linked to these objectives which give due weight to the proper management and use of public funds and the delivery of outcomes; and
- demonstrating high standards of corporate governance at all times.

## **The Chair’s Responsibilities**

12. The Chair is personally responsible to the Scottish Ministers. Communications between the NWTCB Board and the Scottish Ministers should normally be through the Chair. He or she is responsible for ensuring that NWTCB’s policies and actions support the Scottish Ministers’ wider strategic policies and that its affairs are conducted with probity.

13. The Chair has the following leadership responsibilities:

- formulating the Board's strategy;
- ensuring that the Board, in reaching decisions, takes proper account of guidance issued by the Scottish Ministers;
- promoting the efficient and effective use of staff and other resources within the body and supporting the Chief Executive to take executive action in this regard;
- delivering high standards of regularity and propriety; and
- representing the views of the Board to the general public.

14. The Chair also has an obligation to ensure that:

- the work of the Board and its Members is reviewed and that the Board is working effectively;
- the Board has a balance of skills appropriate to directing NWT CB business, in accordance with recognised good practice in corporate governance;
- the Board Members are fully briefed on terms of appointment, duties, rights and responsibilities;
- he or she, together with the other Board Members, receives appropriate induction training, including on financial management and reporting requirements and on any differences that may exist between private and public sector practice;
- the Scottish Ministers are advised of NWT CB needs when board vacancies arise;
- he or she assesses the performance of individual Non-Executive Directors on an annual basis and when being considered for reappointment; and in addition approves the performance appraisal of the Chief Executive
- NWT CB Board members are fully aware of the “**NWT CB Code of Conduct**” created pursuant to the Ethical Standards in Public Life etc (Scotland) Act 2000 as amended and approved by the Scottish Ministers.

### **Individual Board Members' Responsibilities**

15. Individual Board Members should act in accordance with the responsibilities of the board as a whole and comply at all times with the code of conduct adopted by NWT CB and with the rules relating to the use of public funds and to conflicts of interest. General guidance on Board Members' responsibilities is provided in [On Board: A Guide for Board Members of Public Bodies in Scotland](#).

## NWTCB Chief Executive/Accountable Officer responsibilities

16. The NWTCB Chief Executive is employed and appointed by the Board and is accountable to the Board for the performance, management and staffing of NWTCB, and for ensuring that its functions are delivered and targets met through effective and properly controlled executive action. The Chief Executive is the Board's principal adviser on the discharge of their functions.

17. The Principal Accountable Officer for the Scottish Administration (the Permanent Secretary of the SG) will designate the Chief Executive as the Accountable Officer for NWTCB. The role of the Accountable Officer is to ensure that the use of resources by NWTCB and any decisions taken by it comply with public sector accountability standards, both through advice to the board and in decisions taken on his/her own authority. The responsibilities of the Accountable Officer are set out in detail in the [Memorandum to Accountable Officers for Other Public Bodies](#). These include:

- a personal responsibility for NWTCB's financial propriety and regularity and for ensuring that the resources of NWTCB are used economically, efficiently and effectively;
- ensuring compliance with relevant guidance issued by the Scottish Ministers.
- ensuring that arrangements have been made by NWTCB to secure [Best Value](#); and
- seeking written authority if the Board, or the Chair, is contemplating a course of action which the Chief Executive considers would infringe the requirements of propriety or regularity or that could not be defended as representing value for money within a framework of Best Value.

18. The Chief Executive's responsibilities to the Board include:

- advising the Board on the discharge of its responsibilities - as set out in this document, in the founding legislation and in any other relevant instructions and guidance issued by or on behalf of the Scottish Ministers - and implementing the decisions of the Board;
- ensuring that financial considerations are taken fully into account by the Board at all stages in reaching and executing its decisions, and that appropriate financial appraisal and evaluation techniques, consistent with the [Appraisal and Evaluation](#) section of the SPFM, are followed;
- ensuring that NWTCB adheres, where appropriate, to the SG's [Programme and Project Management Principles](#).
- having robust performance and risk management arrangements - consistent with the [Risk Management](#) section of the SPFM - in place that support the achievement of NWTCB's aims and objectives and that facilitate comprehensive reporting to the Board, the SG and the wider public;
- ensuring that adequate systems of internal control are maintained by NWTCB, including effective measures against fraud and theft consistent with the [Fraud](#) section of the SPFM;

- establishing appropriate documented internal delegated authority arrangements in accordance with NWTCB Standing Financial Instructions (SFIs);
- advising the Board on the performance of NWTCB compared with its aims and objectives.

19. Other responsibilities of the Chief Executive include:

- establishing, in agreement with the SG, NWTCB's Local Delivery Plan in the light of the strategic aims and objectives agreed by the Scottish Ministers; and
- ensuring that timely forecasts and monitoring information on performance and finance are provided to the SG; that the SG is notified promptly if over or under spends are likely and that corrective action is taken; and that any significant problems whether financial or otherwise, and whether detected by internal audit or by other means, are notified to the SG in a timely fashion.

### **Portfolio Accountable Officer responsibilities**

20. The Principal Accountable Officer for the Scottish Administration (the Permanent Secretary of the SG) has designated the Director-General for Health and Social Care as the Accountable Officer for the SG portfolio charged with responsibility for NWTCB. The responsibilities of a Portfolio Accountable Officer are set out in detail in the [Memorandum to Accountable Officers for Parts of the Scottish Administration](#). He/she is personally answerable to the Scottish Parliament for ensuring that:

- the financial and other management controls applied by the SG are appropriate and sufficient to safeguard public funds and, more generally that those being applied by NWTCB conform to the requirements both of propriety and of good financial management. ("Public funds" include not only any funds provided to NWTCB by the Scottish Ministers but also any other funds falling within the stewardship of the NWTCB, including trading and investment income, gifts, bequests and donations.);
- there is an adequate statement of the relationship between the SG and NWTCB in this framework document - and that this document is regularly reviewed;
- compliance with this framework document is effectively monitored by the sponsor unit;
- effective relationships are in place at Director and Performance Manager level between the SG and NWTCB in accordance with the strategic engagement principles; and
- there is effective continuous assessment and appraisal of the performance of the Chair of NWTCB, in line with the requirements of the Code of Practice for Ministerial Public Appointments in Scotland, if appropriate.

## Scottish Government Director and Performance Manager

21. The Director of Health Workforce and the Performance Manager, have responsibility for overseeing and ensuring effective relationships between the SG and NWTCB which support alignment of NWTCB's business to the Government's Purpose and National Outcomes and high performance by NWTCB. They will work closely with the NWTCB Chief Executive and be answerable to the Portfolio Accountable Officer for maintaining and developing positive relationships with NWTCB characterised by openness, trust, respect and mutual support. *The Portfolio Accountable Officer* shall be responsible for assessing the performance of the NWTCB Chair.

### Sponsor unit responsibilities

22. The SG sponsor unit for NWTCB is the Performance Management Team. It is the normal point of contact for NWTCB in dealing with the SG. The unit, under the direction of the Director is the primary source of advice to the Scottish Ministers on the discharge of their responsibilities in respect of NWTCB and the primary point of contact for the NWTCB in dealing with the Health Directorate. The sponsoring team shall have primary responsibility for overseeing the activities of the NWTCB.

Specific responsibilities include:

- ensuring that appointments to the NWTCB Board are made timeously and, where appropriate, in accordance with the Code of Practice for Ministerial Appointments to Public Bodies in Scotland;
- proportionate monitoring of NWTCB's activities through an adequate and timely flow of appropriate information, agreed with NWTCB, on performance, budgeting, control and risk management;
- addressing in a timely manner any significant problems arising in NWTCB, alerting the Portfolio Accountable Officer and the responsible Minister(s) where considered appropriate;
- ensuring that the objectives of NWTCB and the risks to them are properly and appropriately taken into account in the SG's risk assessment and management systems; and
- informing NWTCB of relevant SG policy in a timely manner.

### Internal audit

23. NWTCB shall:

- establish and maintain arrangements for internal audit in accordance with the Public Sector Audit Standards (PSIAS) and the [Internal Audit](#) section of the SPFM;
- set up an audit committee of its Board, in accordance with the [Audit Committees](#) section of the SPFM, to advise both the Board and the Chief Executive in his/her capacity as the NWTCB Accountable Officer;

- forward promptly to the SG the annual audit assurance report, including the Internal Audit opinion on risk management, control and governance and other relevant reports as requested; and
- keep records of, and prepare and forward promptly to the SG an annual report on fraud and theft suffered by NWTCB and notify the SG at the earliest opportunity of any unusual or major incidents.

24. The SG's Internal Audit Division has a right of access to all documents held by the NWTCB internal auditor, including where the service is contracted out. The SG has a right of access to all NWTCB records and personnel for any purpose.

### **External audit**

25. The Auditor General for Scotland (AGS) audits, or appoints auditors to audit, NWTCBs' annual accounts and passes them to the Scottish Ministers who shall lay them before the Scottish Parliament, together with the auditor's report and any report prepared by the AGS. For the purpose of audit the auditors have a statutory right of access to documents and information held by relevant persons. NWTCB shall instruct its auditors to send copies of all management reports (and correspondence relating to those reports) and responses to the SG.

26. The AGS, or examiners appointed by the AGS, may carry out examinations into the economy, efficiency and effectiveness with which NWTCB has used its resources in discharging its functions. For the purpose of these examinations the examiners have a statutory right of access to documents and information held by relevant persons. In addition, NWTCB shall provide, in contracts and any conditions to grants, for the AGS to exercise such access to documents held by contractors and sub-contractors and grant recipients as may be required for these examinations; and shall use its best endeavours to secure access for the AGS to any other documents required by the AGS which are held by other bodies.

### **Annual report and accounts**

27. NWTCB must publish an annual report of its activities together with its audited accounts after the end of each financial year. The annual report must cover the activities of any corporate, subsidiary or joint ventures under the control of NWTCB. It should comply with the [Financial Reporting Manual](#) (FRoM) and outline NWTCB's main activities and performance against agreed objectives and targets for the previous financial year.

28. The accounts must be prepared in accordance with relevant statutes and the specific accounts direction (including compliance with the FRoM) and other relevant guidance issued by the Scottish Ministers. Information on performance against key financial targets is within the scope of the audit and should be included in the notes to the accounts. Any subsidiary or joint venture owned or controlled by NWTCB shall be consolidated in its accounts in accordance with International Financial Reporting Standards as adapted and interpreted for the public sector context.

29. The report and accounts should be submitted in draft to the SG for comment by 1 June and the final version should be available for laying before the Scottish Parliament by the Scottish Ministers by 30 June. Whilst the statutory date for laying and publishing accounts audited by the AGS is by 31 December, following the close

of the previous financial year, there is an expectation on the part of the Scottish Ministers that accounts will be laid and published at the earliest possible date following the completion of the formal sign-off and approval process. The accounts must not be laid before they have been formally sent by the AGS to the Scottish Ministers and must not be published before they have been laid. NWT CB shall be responsible for the publication of the report and accounts e.g. on the NWT CB website.

30. As part of the Health and Wellbeing Accountable Officer's Statement of Assurance process, Chairs of the Audit Committees from Sponsored Bodies and Health Boards are required to write to the Chair of the Health and Wellbeing Audit Committee to advise if there are specific Governance matters they wish to draw to his attention.

Accountable Officers at Health Boards and Sponsored Bodies are also required to complete a Governance Statement as part of their Annual Accounts. Any disclosures reported in the Governance Statements are highlighted to the DG Health and Social Care for review, and if considered material to SG, noted in the Statement of Assurance that is sent to the Permanent Secretary.

## **Management responsibilities**

### **Corporate and business plans**

31. NWT CB shall produce annually a "Local Delivery Plan" setting out performance trajectories, identification and management of risks, financial planning and workforce planning in accordance with annual guidance issued by the SGHSCD. The Local Delivery Plan shall reflect the statutory duties of NWT CB and, within those duties, the priorities set from time to time by the Scottish Ministers. The main elements of the plan - including the key performance targets - shall be agreed between the SGHSCD and NWT CB in the light of the SGHSCD's decisions on policy and resources taken in the context of the Scottish Ministers' wider public expenditure plans and decisions.

32. In addition, NWT CB shall also produce a Board Strategy for at least over a 5 year period. The Strategic Plan will set out what NWT CB aims to achieve over the five year period of the plan including measures to demonstrate the achievement of objectives. The Board Strategy will be closely aligned to the strategic objectives contained in the Local Delivery Plans.

### **Budget management**

33. Each year, in the light of decisions by the Scottish Ministers on NWT CB's Local Delivery Plan the SGHSCD will send to NWT CB:

- a formal statement of the annual budgetary provision setting the Revenue Resource Limit ("**RRL**") and Capital Resource Limit ("**CRL**") allocated by the Scottish Ministers in the light of competing priorities across the Scottish Government and of the associated funding and any approved forecast income; and
- a statement of any planned change in policies affecting NWT CB.

34. NWTTCB's annual planning will take account both of its approved budgetary provision and of any forecast income, and will include a budget of estimated payments and receipts together with a profile of expected expenditure / consumption of resources and of draw-down and other income over the year. These elements will form part of the Local Delivery Plan for the year in question. Funding provided by the Scottish Ministers for the year in question will be included in the relevant annual Budget Act and will be subject to approval by the Parliament.

### **Cash management**

35. Cash funding will be made available to NWTTCB monthly, on the basis of information contained with the Monthly Monitoring Return ('MMR'). Funding should not be paid out in advance of need. Cash balances accumulated during the course of the year from funding shall therefore be kept at the minimum level consistent with the efficient operation of NWTTCB. No funding shall be paid into any reserve held by NWTTCB.

36. The banking arrangements adopted by NWTTCB must comply with the [Banking](#) section of the SPFM.

### **Risk management**

37. NWTTCB shall ensure that the risks, which it faces, are dealt with in an appropriate manner, in accordance with relevant aspects of best practice in corporate governance, and shall develop a risk management strategy, in accordance with the Risk Management section of the SPFM. NWTTCB shall adopt and implement policies and practices to safeguard itself against fraud and theft, in line with the following:

- Scottish Executive HDL(2002)23 – Financial Control: Procedure where criminal offences are suspected
- Scottish Executive HDL(2005)5 – Tackling Fraud in NHS Scotland – Joint Action Programme, which updates HDL(2002)23;
- Scottish Government CEL 3 (2008) - Strategy to Combat NHS Fraud in Scotland; and
- Scottish Government CEL 33 (2010) – Tackling NHS Fraud Training DVD.

NWTTCB shall take all reasonable steps to appraise the financial standing of any firm or other body with which it intends to enter into a contract or to give funding.

### **Fraud management**

38. NWTTCB should adopt and implement policies and practices to safeguard itself against fraud and theft, in accordance with the [Fraud](#) section of the SPFM. Application of these processes must be monitored actively, supported by a fraud response plan and robust reporting arrangements. This includes the establishment of avenues to report any suspicions of fraud. In addition NWTTCB should take risk-based and proportionate steps to appraise the financial standing of any supplier or other body with which it intends to enter into a contract or to provide funding.

### **Performance management**

39. NWTTCB shall operate management information and accounting systems that enable it to review, in a timely and effective manner, its financial and non-financial performance against the strategic aims, objectives, targets and milestones set out in the corporate and business plans. The results of such reviews should be reported on a regular basis to the board and if requested copied to the SG. Performance will be formally reviewed each year at the “**Annual Review**” of NWTTCB. Ministerial attendance at the Board’s Annual Reviews will be at least every two years and the Review shall be chaired by the appropriate Cabinet Secretary / Minister and be held in public.

## **NWTTCB staff management**

### *Broad responsibilities for NWTTCB staff*

40. NWTTCB will have responsibility for the recruitment, retention and motivation of its staff. The Board will ensure that:

- it complies with its duty in relation to the governance of staff as set out in the NHS Reform (Scotland) Act 2004 and complies with the Staff Governance Standard <http://www.staffgovernance.scot.nhs.uk/what-is-staff-governance/staff-governance-standard/>;
- in complying with the Staff Governance Standard the Board establishes a Staff Governance Committee and a Remuneration Committee as standing committees of the Board;
- personnel policies, practices and systems comply with Partnership Information Network (PIN) policies <http://www.staffgovernance.scot.nhs.uk/partnership/partnership-information-network/> that reflect current employment and equalities legislation, and best practice standards expected of public sector employers;
- the level and structure of its staffing, including grading and staff numbers, are appropriate to its functions and the requirements of economy, efficiency and;
- its staff are encouraged to acquire the appropriate professional, management and other expertise necessary to achieve the NWTTCB’s objectives;

### *Pay and conditions of service*

41 As part of NHSScotland, NWTTCB shall employ its staff on the NHS terms and conditions packages which apply to each staff group in line with UK or Scottish agreements, the only current exception to this relates to casual workers in the Beardmore Hotel who support peaks in service levels when required, these workers are widely used throughout the hospitality industry .

Pay for NWTTCB staff will be determined under Ministerial direction through the relevant NHS circulars. In addition, NWTTCB will comply fully with any process set up to determine appropriate pay for senior managers. The performance of staff at all levels will be appraised in line with the appraisal arrangements set out in that staff groups terms and conditions.

### *Pensions*

42. As part of NHS Scotland, NWTCB staff are eligible to join the NHSScotland Superannuation Scheme. Staff may, however, opt out of the NHSScotland Superannuation Scheme at any time.

### **Asset and property management**

43. NWTCB shall comply with CEL (35) 2010 "A Policy for Property and Asset Management in NHSScotland" and its' successors. NWTCB will maintain an accurate and up-to-date record of its current and non-current assets in accordance with the [Management of Assets](#) section of the SPFM. "Fixed" assets should be disposed of in accordance with the [Disposal of Property, Plant & Equipment](#) section of the SPFM. The SG's Property Advice Division should be notified of relevant proposed disposals of property at the earliest opportunity and at least 1 month prior to them being advertised on the open market. Any proposal to acquire land, buildings or other rights in property should comply with the [Acquisition of Property](#) section of the SPFM.

### **Specific financial provisions**

*Many of the provisions included in this section - and other sections - of the framework document highlight specific requirements in the SPFM that are considered of particular relevance to NWTCB. It should be noted however that guidance in the SPFM should always be considered in its entirety as and when relevant issues arise.*

### **Standing Financial Instructions (SFI)**

44. NWTCB's specific delegated financial authorities are set out as agreed in its SFI. NWTCB shall obtain the SG's prior written approval before entering into any undertaking to incur any expenditure that falls outside these delegations or which is not provided for in NWTCB's annual budget as allocated by the Scottish Ministers. NWTCB shall follow the guidance within its SFI in respect of the following areas:

- **Income generation**
- **Financial investments**
- **Borrowing**
- **Lease arrangements**
- **Tax arrangements**
- **Lending and guarantees**
- **Third party grants**
- **Endowments**

- **Impairments, provisions and write-offs**
- 
- **Insurance**
- **Procurement and payment**
- **Gifts made, special payments and losses**
- **Clawback**
- **Board expenses**

**SCOTTISH GOVERNMENT HEALTH AND SOCIAL CARE DIRECTORATES  
FRAMEWORK DOCUMENT – NHS NWTCB : APPENDIX**

**SPECIFIC DELEGATED FINANCIAL AUTHORITIES**

Further information on NWTCB's specific delegated financial authorities are as follows:

[Standing Financial Instructions](#)