

Appendix 1 - Trustees Scheme of Delegation

Source Reference	Authority	Responsibility	Authority to Delegate	Level of Delegation
TD clause 1(g)	Trustees	Form reasonable opinion that a person is "living independently"	TD clause 9(2)	First line opinion on applicants and changes for existing Users
TD clause 1(r)	Trustees	Decision on which Threshold Sum applies to a Candidate	TD clause 9(2)	First line decision on appeals and requests for exceptions
TD clause 3(1)	Trustees	Decision to award payments to Candidates	TD clause 9(2)	First line weekly and lump sum awards
TD clause 3(1)(a)	Trustees	Form opinion that liability relates to Qualifying Support and Services	TD clause 9(2)	First line opinion on applicants and changes for existing Users
TD clause 3(1)(c)	Trustees	Discretion to pay more than the Maximum Sum for particular weeks	TD clause 9(2)	First line decision on Users
TD clause 3(2)	Trustees	Decision to pay compensation	TD clause 9(2)	First line decision to award a compensation payment
TD clause 3(2)(a)	Trustees	Form opinion that a person has suffered financial loss, etc	TD clause 9(2)	First line opinion on complaints that criteria are met
TD clause 5(1)	Trustees	Employment of staff on reasonable salaries, terms & conditions	TD clause 9(2)	Recruitment of staff on contract stating salaries, terms & conditions
TD clause 5(3)	Trustees	Make, vary & revoke policies	TD clause 9(2)	Creation of policies subject to separate scheme of approval
TD clause 5(4)	Trustees	Negotiate and agree COGA and changes to this document	TD clause 9(2)	Negotiations leading to final proposals; advice to Trustees on proposals
TD clause 5(5)	Trustees	Meet administration expenses	TD clause 9(2)	Place orders and authorise invoices subject to separate budgets scheme
TD clause 5(6)	Trustees	Retain moneys in bank accounts	TD clause 9(2)	Management of bank accounts and receipt/check of interest earned
TD clause 5(8)	Trustees	Give good receipt for moneys paid or transferred to the Fund	TD clause 9(2)	Issue receipts to Users/Debtors for moneys received
TD clause 8(4)(a)	Trustees plus Chief Executive	Monitor efficient management of the Trust	TD clause 9(2)	Financial & Performance management (Dashboard & Statistical information)
TD clause 8(4)(b)	Trustees plus Chief Executive	Monitor compliance with COGA	TD clause 9(2)	Annual assurance statements on all areas of operation
TD clause 8(4)(c)	Trustees plus Chief Executive	Manage expenditure within budget	TD clause 9(2)	Monthly expenditure reviews and forecasts

Appendix 1 - Trustees Scheme of Delegation

Source Reference	Authority	Responsibility	Responsible officer(s)
TD clause 1(g)	Trustees	Form reasonable opinion that a person is "living independently"	Operations Caseworker
TD clause 1(r)	Trustees	Decision on which Threshold Sum applies to a Candidate	Senior Management Panel
TD clause 3(1)	Trustees	Decision to award payments to Candidates	Operations Caseworker
TD clause 3(1)(a)	Trustees	Form opinion that liability relates to Qualifying Support and Services	Operations Caseworker
TD clause 3(1)(c)	Trustees	Discretion to pay more than the Maximum Sum for particular weeks	Operations Caseworker
TD clause 3(2)	Trustees	Decision to pay compensation	Complaints & Decision Review Manager
TD clause 3(2)(a)	Trustees	Form opinion that a person has suffered financial loss, etc	Complaints & Decision Review Manager
TD clause 5(1)	Trustees	Employment of staff on reasonable salaries, terms & conditions	HR Manager
TD clause 5(3)	Trustees	Make, vary & revoke policies	Senior Manager responsible for the policy area
TD clause 5(4)	Trustees	Negotiate and agree COGA and changes to this document	Chief Executive assisted by Directors as relevant
TD clause 5(5)	Trustees	Meet administration expenses	Budget Holder
TD clause 5(6)	Trustees	Retain moneys in bank accounts	Finance Manager
TD clause 5(8)	Trustees	Give good receipt for moneys paid or transferred to the Fund	Finance Officer
TD clause 8(4)(a)	Trustees plus Chief Executive	Monitor efficient management of the Trust	Technical Accounting Manager
TD clause 8(4)(b)	Trustees plus Chief Executive	Monitor compliance with COGA	Each Director
TD clause 8(4)(c)	Trustees plus Chief Executive	Manage expenditure within budget	Finance Director

Appendix 1 - Trustees Scheme of Delegation

Source Reference	Authority	Responsibility	Line Management below Chief Exec	Report
TD clause 1(g)	Trustees	Form reasonable opinion that a person is "living independently"	Operations Manager; Senior Operations Manager; Operations Director	Monthly regional report, Quarterly Performance and Dashboard report.
TD clause 1(r)	Trustees	Decision on which Threshold Sum applies to a Candidate		Quarterly reports to Trustees
TD clause 3(1)	Trustees	Decision to award payments to Candidates	Operations Manager; Senior Operations Manager; Operations Director	Monthly regional report, Quarterly Performance and Dashboard report.
TD clause 3(1)(a)	Trustees	Form opinion that liability relates to Qualifying Support and Services	Operations Manager; Senior Operations Manager; Operations Director	Monthly regional report, Quarterly Performance and Dashboard report.
TD clause 3(1)(c)	Trustees	Discretion to pay more than the Maximum Sum for particular weeks	Operations Manager; Senior Operations Manager; Operations Director	Monthly regional report, Quarterly Performance and Dashboard report.
TD clause 3(2)	Trustees	Decision to pay compensation	Senior Operations Manager; Operations Director	Quarterly Performance
TD clause 3(2)(a)	Trustees	Form opinion that a person has suffered financial loss, etc	Senior Operations Manager; Operations Director	Quarterly Performance Dashboard report
TD clause 5(1)	Trustees	Employment of staff on reasonable salaries, terms & conditions	HR Director	Annual Assurance to the HR Sub-Committee
TD clause 5(3)	Trustees	Make, vary & revoke policies	Director with overall responsibility for the policy area	Review per policy approval scheme
TD clause 5(4)	Trustees	Negotiate and agree COGA and changes to this document		Review per policy approval scheme
TD clause 5(5)	Trustees	Meet administration expenses	Director for each area; Finance Director	Quarterly Administration Expenditure review
TD clause 5(6)	Trustees	Retain moneys in bank accounts	Procurement Manager; Finance Director	Quarterly Administration Expenditure review
TD clause 5(8)	Trustees	Give good receipt for moneys paid or transferred to the Fund	Finance Manager; Procurement Manager; Finance Director	Quarterly Administration Expenditure review
TD clause 8(4)(a)	Trustees plus Chief Executive	Monitor efficient management of the Trust	Procurement Manager; Finance Director	Quarterly Performance Dashboard report
TD clause 8(4)(b)	Trustees plus Chief Executive	Monitor compliance with COGA		Chief Executive annual Assurance Report
TD clause 8(4)(c)	Trustees plus Chief Executive	Manage expenditure within budget		Monthly Trustees Forecast reports

Appendix 1 - Trustees Scheme of Delegation

Source Reference	Authority	Responsibility	Reference
TD clause 1(g)	Trustees	Form reasonable opinion that a person is "living independently"	User Admin policies
TD clause 1(r)	Trustees	Decision on which Threshold Sum applies to a Candidate	Trustees paper on 9 April 2008
TD clause 3(1)	Trustees	Decision to award payments to Candidates	User Admin policies
TD clause 3(1)(a)	Trustees	Form opinion that liability relates to Qualifying Support and Services	User Admin policies
TD clause 3(1)(c)	Trustees	Discretion to pay more than the Maximum Sum for particular weeks	User Admin policies
TD clause 3(2)	Trustees	Decision to pay compensation	Ex-gratia policy
TD clause 3(2)(a)	Trustees	Form opinion that a person has suffered financial loss, etc	Complaints policy
TD clause 5(1)	Trustees	Employment of staff on reasonable salaries, terms & conditions	Committee papers
TD clause 5(3)	Trustees	Make, vary & revoke policies	Policy review schedule
TD clause 5(4)	Trustees	Negotiate and agree COGA and changes to this document	Policy review schedule
TD clause 5(5)	Trustees	Meet administration expenses	Admin Budget Holders table
TD clause 5(6)	Trustees	Retain moneys in bank accounts	Finance Procedures
TD clause 5(8)	Trustees	Give good receipt for moneys paid or transferred to the Fund	Finance Procedures
TD clause 8(4)(a)	Trustees plus Chief Executive	Monitor efficient management of the Trust	Dashboard
TD clause 8(4)(b)	Trustees plus Chief Executive	Monitor compliance with COGA	Statement of Internal Control
TD clause 8(4)(c)	Trustees plus Chief Executive	Manage expenditure within budget	Trustees papers

Source Reference	Authority	Responsibility	Authority to Delegate	Level of Delegation
TD clause 8(4)(d)	Trustees plus Chief Executive	Identify and recover overpayments to Users	TD clause 9(2)	First line recording of overpayments and pursue recovery
TD clause 8(4)(e)	Trustees plus Chief Executive	Take reasonable steps to safeguard against fraud and theft	TD clause 9(2)	Compliance and fraud prevention, and recommend for prosecution
TD clause 8(5)	Trustees	Keep proper accounting records	TD clause 9(2)	Handling financial items; payments & receipts; accounting records
TD clause 8(6)	Trustees plus Chief Executive	Apply accountancy practices and financial systems for 8(4) and 8(5)	TD clause 9(2)	Maintain & reconcile accounts system; provide reports to support accounts
TD clause 8(7)	Trustees	Open and maintain bank accounts	TD clause 9(2)	Open accounts and sign agreements and authorisations for the bank
TD clause 8(8)	Trustees	Annual external audit	TD clause 9(2)	Agree external audit programme and produce Accounts for audit
TD clause 8(17)	Trustees	Keep proper minute books for Trustees and Sub Committees	TD clause 9(2)	Produce agenda, papers, and minutes for approval and signature
TD Sch 1 para 2	Trustees	Form reasonable opinion that a person is a Group 1 Candidate	TD clause 9(2)	First line opinion on qualification as a Group 1 Candidate
TD Sch 1 para 4	Trustees	Form reasonable opinion on continuing Group 1 entitlement	TD clause 9(2)	First line opinion on Group 1 qualification after break in entitlement
TD Sch 1 Pt I, 5	Trustees	Form reasonable opinion that a person is a Group 2 Candidate	TD clause 9(2)	First line opinion on qualification as a Group 2 Candidate
TD Sch 1 Pt I, 5(d)(ii)	Trustees	Form reasonable opinion on Group 2 Candidate limited period eligibility	TD clause 9(2)	First line assessment of LA input for a period less than a year
TD Sch 1 Pt I, 6	Trustees	Form reasonable opinion that a person is a Group 3 Candidate	TD clause 9(2)	First line opinion on qualification as a Group 3 Candidate
TD Sch 1 Pt I, 8	Trustees	Form reasonable opinion that a person is a Group 4 Candidate	TD clause 9(2)	First line opinion on qualification as a Group 4 Candidate
TD Sch 1 Pt I, 10	Trustees	Form reasonable opinion that a person is a Group 5 Candidate	TD clause 9(2)	First line opinion on qualification as a Group 5 Candidate
TD Sch 1 Pt 2, 3	Trustees	Exercise discretion to dispense with "residence/presence" requirement	TD clause 9(2)	First line opinion that discretion can be exercised for reasons provided

Source Reference	Authority	Responsibility	Responsible officer(s)
TD clause 8(4)(d)	Trustees plus Chief Executive	Identify and recover overpayments to Users	Overpayments Caseworker
TD clause 8(4)(e)	Trustees plus Chief Executive	Take reasonable steps to safeguard against fraud and theft	Compliance and Fraud specialist
TD clause 8(5)	Trustees	Keep proper accounting records	Finance Officer
TD clause 8(6)	Trustees plus Chief Executive	Apply accountancy practices and financial systems for 8(4) and 8(5)	Finance Manager; Technical Accounting Manager
TD clause 8(7)	Trustees	Open and maintain bank accounts	First Cheque signatories as approved by Trustees
TD clause 8(8)	Trustees	Annual external audit	Technical Accounting Manager
TD clause 8(17)	Trustees	Keep proper minute books for Trustees and Sub Committees	Chief Executive's Secretary
TD Sch 1 para 2	Trustees	Form reasonable opinion that a person is a Group 1 Candidate	Operations Caseworker
TD Sch 1 para 4	Trustees	Form reasonable opinion on continuing Group 1 entitlement	Operations Caseworker
TD Sch 1 Pt I, 5	Trustees	Form reasonable opinion that a person is a Group 2 Candidate	Operations Caseworker
TD Sch 1 Pt I, 5(d)(ii)	Trustees	Form reasonable opinion on Group 2 Candidate limited period eligibility	Operations Caseworker
TD Sch 1 Pt I, 6	Trustees	Form reasonable opinion that a person is a Group 3 Candidate	Operations Caseworker
TD Sch 1 Pt I, 8	Trustees	Form reasonable opinion that a person is a Group 4 Candidate	Operations Caseworker
TD Sch 1 Pt I, 10	Trustees	Form reasonable opinion that a person is a Group 5 Candidate	Operations Caseworker
TD Sch 1 Pt 2, 3	Trustees	Exercise discretion to dispense with "residence/presence" requirement	Operations Caseworker

Source Reference	Authority	Responsibility	Line Management below Chief Exec	Report
TD clause 8(4)(d)	Trustees plus Chief Executive	Identify and recover overpayments to Users	Overpayments Manager; Senior Operations Manager; Operations Director	Quarterly Performance Dashboard report
TD clause 8(4)(e)	Trustees plus Chief Executive	Take reasonable steps to safeguard against fraud and theft	Senior Operations Manager; Operations Director	Annual Report to HM treasury
TD clause 8(5)	Trustees	Keep proper accounting records	Finance Manager; Procurement Manager; Finance Director	Monthly Grant/Benefit reports
TD clause 8(6)	Trustees plus Chief Executive	Apply accountancy practices and financial systems for 8(4) and 8(5)	Procurement Manager; Finance Director	Audit Committee papers re annual accounts
TD clause 8(7)	Trustees	Open and maintain bank accounts		Reports and change requests to Audit Committee
TD clause 8(8)	Trustees	Annual external audit	Procurement Manager; Finance Director	Annual process via Audit Committee to full Board
TD clause 8(17)	Trustees	Keep proper minute books for Trustees and Sub Committees		Monthly papers and minutes for meetings
TD Sch 1 para 2	Trustees	Form reasonable opinion that a person is a Group 1 Candidate	Operations Manager; Senior Operations Manager; Operations Director	Monthly regional report, Quarterly Performance and Dashboard report.
TD Sch 1 para 4	Trustees	Form reasonable opinion on continuing Group 1 entitlement	Operations Manager; Senior Operations Manager; Operations Director	Monthly regional report, Quarterly Performance and Dashboard report.
TD Sch 1 Pt I, 5	Trustees	Form reasonable opinion that a person is a Group 2 Candidate	Operations Manager; Senior Operations Manager; Operations Director	Monthly regional report, Quarterly Performance and Dashboard report.
TD Sch 1 Pt I, 5(d)(ii)	Trustees	Form reasonable opinion on Group 2 Candidate limited period eligibility	Operations Manager; Senior Operations Manager; Operations Director	Monthly regional report, Quarterly Performance and Dashboard report.
TD Sch 1 Pt I, 6	Trustees	Form reasonable opinion that a person is a Group 3 Candidate	Operations Manager; Senior Operations Manager; Operations Director	Monthly regional report, Quarterly Performance and Dashboard report.
TD Sch 1 Pt I, 8	Trustees	Form reasonable opinion that a person is a Group 4 Candidate	Operations Manager; Senior Operations Manager; Operations Director	Monthly regional report, Quarterly Performance and Dashboard report.
TD Sch 1 Pt I, 10	Trustees	Form reasonable opinion that a person is a Group 5 Candidate	Operations Manager; Senior Operations Manager; Operations Director	Monthly regional report, Quarterly Performance and Dashboard report.
TD Sch 1 Pt 2, 3	Trustees	Exercise discretion to dispense with "residence/presence" requirement	Operations Manager; Senior Operations Manager; Operations Director	Monthly regional report, Quarterly Performance and Dashboard report.

Source Reference	Authority	Responsibility	Reference
TD clause 8(4)(d)	Trustees plus Chief Executive	Identify and recover overpayments to Users	Overpayments Principles
TD clause 8(4)(e)	Trustees plus Chief Executive	Take reasonable steps to safeguard against fraud and theft	Fraud prevention strategy
TD clause 8(5)	Trustees	Keep proper accounting records	Finance Procedures
TD clause 8(6)	Trustees plus Chief Executive	Apply accountancy practices and financial systems for 8(4) and 8(5)	Finance Procedures
TD clause 8(7)	Trustees	Open and maintain bank accounts	Signatory list
TD clause 8(8)	Trustees	Annual external audit	Internal Audit strategy
TD clause 8(17)	Trustees	Keep proper minute books for Trustees and Sub Committees	Trustees papers
TD Sch 1 para 2	Trustees	Form reasonable opinion that a person is a Group 1 Candidate	User Admin policies
TD Sch 1 para 4	Trustees	Form reasonable opinion on continuing Group 1 entitlement	User Admin policies
TD Sch 1 Pt I, 5	Trustees	Form reasonable opinion that a person is a Group 2 Candidate	User Admin policies
TD Sch 1 Pt I, 5(d)(ii)	Trustees	Form reasonable opinion on Group 2 Candidate limited period eligibility	User Admin policies
TD Sch 1 Pt I, 6	Trustees	Form reasonable opinion that a person is a Group 3 Candidate	User Admin policies
TD Sch 1 Pt I, 8	Trustees	Form reasonable opinion that a person is a Group 4 Candidate	User Admin policies
TD Sch 1 Pt I, 10	Trustees	Form reasonable opinion that a person is a Group 5 Candidate	User Admin policies
TD Sch 1 Pt 2, 3	Trustees	Exercise discretion to dispense with "residence/presence" requirement	User Admin policies

Source Reference	Authority	Responsibility	Authority to Delegate	Level of Delegation
TD Sch 3 para 2 & 8	Trustees	Decision on priority of an application received on or after 1 April 2008	TD clause 9(2)	First line decision on appeals and requests for exceptions
TD Sch 3 para 4 & 10	Trustees	Decision not to award ILF funding to a recipient of a trust or compensation	TD clause 9(2)	First line decision on appeals and requests for exceptions
TD Sch 4 para 1	Chief Executive	Designated Accounting Officer for the ILF	TD Sch 4 para 18	Day-to-day responsibility for operation and management of the ILF
TD Sch 4 para 2	Chief Executive	Consolidation Officer for Whole of Government Accounts	TD Sch 4 para 18	Consolidation Manager for preparation of required reports
TD Sch 4 para 4	Chief Executive	Ensure compliance with DWP, HMT and Cabinet Office guidance	TD Sch 4 para 18	Compliance with guidance as applied to expenditure per budget scheme
TD Sch 4 para 6	Chief Executive	Ensure proper accounting records and sign Accounts	TD Sch 4 para 18	Maintain & reconcile accounts system; provide reports to support accounts
TD Sch 4 para 8	Chief Executive	Ensure proper system of controls and adequate risk management	TD Sch 4 para 18	Control Checks per separate scheme; risk management action per risk register
TD Sch 4 para 9	Chief Executive	Ensure compliance with NDPB requirements	TD Sch 4 para 18	Maintain Framework documents, related guidance & system for review
TD Sch 4 para 10	Chief Executive	Ensure compliance with DPA & FOIA requirements	TD Sch 4 para 18	Ensure DPA and FOIA compliance and produce Publications Scheme
TD Sch 4 para 12	Chief Executive	Ensure Trustees consider financial issues when making decisions	TD Sch 4 para 18	Provision of strategic financial reports
TD Sch 4 para 13	Chief Executive	Ensure "regularity & propriety" in use of Public Funds	TD Sch 4 para 18	Compliance with ILF Regularity & Propriety guidance
TD Sch 4 para 14	Chief Executive	Keep records of gifts and bequests	TD Sch 4 para 18	Record gifts and bequests received; provide reports on request
TD Sch 4 para 14	Chief Executive	Keep records of losses due to fraud and overpayment	TD Sch 4 para 18	Record fraud, overpayment and writeoff information
TD Sch 4 para 15	Chief Executive	Ensure assets/equipment/staff used economically/effectively/efficiently	TD Sch 4 para 18	Day to day management of assets and staff resources
TD Sch 4 para 16	Chief Executive	Ensure effective procedures for the handling of complaints	TD Sch 4 para 18	Recording and first line decision on complaints received

Source Reference	Authority	Responsibility	Responsible officer(s)
TD Sch 3 para 2 & 8	Trustees	Decision on priority of an application received on or after 1 April 2008	Senior Management Panel
TD Sch 3 para 4 & 10	Trustees	Decision not to award ILF funding to a recipient of a trust or compensation	Senior Management Panel
TD Sch 4 para 1	Chief Executive	Designated Accounting Officer for the ILF	First line managers agreed by Directors for each area
TD Sch 4 para 2	Chief Executive	Consolidation Officer for Whole of Government Accounts	Finance Director
TD Sch 4 para 4	Chief Executive	Ensure compliance with DWP, HMT and Cabinet Office guidance	Budget Holder as delegated by Directors
TD Sch 4 para 6	Chief Executive	Ensure proper accounting records and sign Accounts	Finance Manager; Technical Accounting Manager
TD Sch 4 para 8	Chief Executive	Ensure proper system of controls and adequate risk management	First line managers agreed by Directors for each area
TD Sch 4 para 9	Chief Executive	Ensure compliance with NDPB requirements	Finance Director
TD Sch 4 para 10	Chief Executive	Ensure compliance with DPA & FOIA requirements	Information owners per asset register; Information Manager
TD Sch 4 para 12	Chief Executive	Ensure Trustees consider financial issues when making decisions	Finance Director
TD Sch 4 para 13	Chief Executive	Ensure "regularity & propriety" in use of Public Funds	Budget Holder as delegated by Directors
TD Sch 4 para 14	Chief Executive	Keep records of gifts and bequests	Finance Officer
TD Sch 4 para 14	Chief Executive	Keep records of losses due to fraud and overpayment	Compliance, Fraud and Overpayment specialists
TD Sch 4 para 15	Chief Executive	Ensure assets/equipment/staff used economically/effectively/efficiently	First line managers agreed by Directors for each area
TD Sch 4 para 16	Chief Executive	Ensure effective procedures for the handling of complaints	Complaints & Decision Review Manager

Source Reference	Authority	Responsibility	Line Management below Chief Exec	Report
TD Sch 3 para 2 & 8	Trustees	Decision on priority of an application received on or after 1 April 2008		Quarterly reports to Trustees
TD Sch 3 para 4 & 10	Trustees	Decision not to award ILF funding to a recipient of a trust or compensation		Quarterly reports to Trustees
TD Sch 4 para 1	Chief Executive	Designated Accounting Officer for the ILF	Senior Managers; Directors responsible for each area as per ILF Framework	Annual governance report and Statement of Internal Control
TD Sch 4 para 2	Chief Executive	Consolidation Officer for Whole of Government Accounts		Audit Committee papers re annual accounts
TD Sch 4 para 4	Chief Executive	Ensure compliance with DWP, HMT and Cabinet Office guidance	Director for each area; Finance Director	Quarterly Administration Expenditure review
TD Sch 4 para 6	Chief Executive	Ensure proper accounting records and sign Accounts	Procurement Manager; Finance Director	Audit Committee papers re annual accounts
TD Sch 4 para 8	Chief Executive	Ensure proper system of controls and adequate risk management	Senior Managers; Directors responsible for each area	Quarterly reports to Audit Committee
TD Sch 4 para 9	Chief Executive	Ensure compliance with NDPB requirements		Annual governance report and Statement of Internal Control
TD Sch 4 para 10	Chief Executive	Ensure compliance with DPA & FOIA requirements	Director for each area; Senior IT Manager; Business Development Director	Annual governance report and Statement of Internal Control
TD Sch 4 para 12	Chief Executive	Ensure Trustees consider financial issues when making decisions		Monthly Trustees Forecast reports
TD Sch 4 para 13	Chief Executive	Ensure "regularity & propriety" in use of Public Funds	Director for each area; Finance Director	Annual governance report and Statement of Internal Control
TD Sch 4 para 14	Chief Executive	Keep records of gifts and bequests	Finance Manager; Procurement Manager; Finance Director	Quarterly Administration Expenditure review
TD Sch 4 para 14	Chief Executive	Keep records of losses due to fraud and overpayment	Senior Operations Manager; Operations Director	Quarterly Performance Dashboard report
TD Sch 4 para 15	Chief Executive	Ensure assets/equipment/staff used economically/effectively/efficiently	Senior Managers; Directors responsible for each area as per ILF Framework	Annual governance report and Statement of Internal Control
TD Sch 4 para 16	Chief Executive	Ensure effective procedures for the handling of complaints	Senior Operations Manager; Operations Director	Quarterly Performance Dashboard report

Source Reference	Authority	Responsibility	Reference
TD Sch 3 para 2 & 8	Trustees	Decision on priority of an application received on or after 1 April 2008	Trustees paper on 9 April 2008
TD Sch 3 para 4 & 10	Trustees	Decision not to award ILF funding to a recipient of a trust or compensation	Trustees paper on 9 April 2008
TD Sch 4 para 1	Chief Executive	Designated Accounting Officer for the ILF	ILF Framework
TD Sch 4 para 2	Chief Executive	Consolidation Officer for Whole of Government Accounts	Consolidation procedures
TD Sch 4 para 4	Chief Executive	Ensure compliance with DWP, HMT and Cabinet Office guidance	Expenditure Strategy
TD Sch 4 para 6	Chief Executive	Ensure proper accounting records and sign Accounts	ILF Accounts
TD Sch 4 para 8	Chief Executive	Ensure proper system of controls and adequate risk management	Control Checks; Risk Register
TD Sch 4 para 9	Chief Executive	Ensure compliance with NDPB requirements	Statement of Internal Control
TD Sch 4 para 10	Chief Executive	Ensure compliance with DPA & FOIA requirements	Statement of Internal Control
TD Sch 4 para 12	Chief Executive	Ensure Trustees consider financial issues when making decisions	Trustees papers
TD Sch 4 para 13	Chief Executive	Ensure "regularity & propriety" in use of Public Funds	Expenditure Strategy
TD Sch 4 para 14	Chief Executive	Keep records of gifts and bequests	Finance Procedures
TD Sch 4 para 14	Chief Executive	Keep records of losses due to fraud and overpayment	Control Checks, OP Procedures, Fraud Response Plan
TD Sch 4 para 15	Chief Executive	Ensure assets/equipment/staff used economically/effectively/efficiently	Fixed Asset policy
TD Sch 4 para 16	Chief Executive	Ensure effective procedures for the handling of complaints	Complaints policy

Source Reference	Authority	Responsibility	Authority to Delegate	Level of Delegation
TD Sch 4 para 17(a)	Chief Executive	Management of ILF Assessors (inc quality and value for money)	TD Sch 4 para 18	Day to day ILFA management; quality assurance on ILFA work
TD Sch 4 para 17(b/c)	Chief Executive	Application process including joint ILFA/LA support proposals	TD Sch 4 para 18	Day to day application processing (inc assessment of LA/ILF support)
TD Sch 4 para 17(d)	Chief Executive	Ensure effective HR procedures (inc Equal Opportunities policy)	TD Sch 4 para 18	Creation of policies subject to separate scheme of approval
TD Sch 4 para 17(e)	Chief Executive	Monthly expenditure forecasts to inform Trustees budget decisions	TD Sch 4 para 18	Provision of strategic financial reports
MS para 3.7.2 (a-c)	Chief Executive	Produce Corporate & Business Plans, performance and forecast reports	MS 3.9.1	Prepare Corporate Plan; produce performance and budget reports
MS para 3.7.2 (e)	Chief Executive	Advise Trustees on performance against aims and objectives	MS 3.9.1	Maintain MIS system and derived performance workbooks
MS para 3.7.2 (h)	Chief Executive	Maintain a risk management system to inform financial/operational decisions	MS 3.9.1	Produce Corporate Risk Register and review quarterly
MS para 3.7.2 (i)	Chief Executive	Ensure effective project and contract management	MS 3.9.1	Procurement exercises and contract reviews for critical service providers
MS para 3.7.2 (j)	Chief Executive	Ensure "regularity & propriety" in use of Public Funds	MS 3.9.1	Compliance with ILF Regularity & Propriety guidance
MS para 3.7.2 (k)	Chief Executive	Ensure adequate internal management & financial controls	MS 3.9.1	Day-to-day responsibility for management & financial controls
MS para 3.7.2 (l)	Chief Executive	Maintain system of delegated authority and compliance review	MS 3.9.1	Produce delegation scheme; provide assurance statements to Chief Exec
MS para 3.7.2 (m)	Chief Executive	Ensure effective HR procedures	MS 3.9.1	Creation of policies subject to separate scheme of approval
MS para 3.7.2 (n)	Chief Executive	Ensure proper accounting records and sign Accounts	MS 3.9.1	Maintain & reconcile accounts system; provide reports to support accounts
MS para 3.7.2 (q)	Chief Executive	Ensure effective procedures for the handling of complaints	MS 3.9.1	Recording and first line decision on complaints received
MS para 3.7.2 (r)	Chief Executive	Ensure compliance with DWP, HMT and Cabinet Office guidance	MS 3.9.1	Compliance with guidance as applied to expenditure per budget scheme
MS para 3.7.2 (y)	Chief Executive	Keep proper accounting records	MS 3.9.1	Handling financial items; payments & receipts; accounting records
MS para 4.1	Chief Executive "for the NDPB"	Produce Corporate Plan, agreeing key issues with DWP and Trustees	MS 3.9.1	Prepare Corporate Plan (inc proposed financial measures and targets)

Source Reference	Authority	Responsibility	Responsible officer(s)
TD Sch 4 para 17(a)	Chief Executive	Management of ILF Assessors (inc quality and value for money)	Social Work Coordinator
TD Sch 4 para 17(b/c)	Chief Executive	Application process including joint ILFA/LA support proposals	Operations Caseworker
TD Sch 4 para 17(d)	Chief Executive	Ensure effective HR procedures (inc Equal Opportunities policy)	HR Manager
TD Sch 4 para 17(e)	Chief Executive	Monthly expenditure forecasts to inform Trustees budget decisions	Finance Director
MS para 3.7.2 (a-c)	Chief Executive	Produce Corporate & Business Plans, performance and forecast reports	Finance Director
MS para 3.7.2 (e)	Chief Executive	Advise Trustees on performance against aims and objectives	Technical Accounting Manager
MS para 3.7.2 (h)	Chief Executive	Maintain a risk management system to inform financial/operational decisions	All Directors
MS para 3.7.2 (i)	Chief Executive	Ensure effective project and contract management	Procurement Manager
MS para 3.7.2 (j)	Chief Executive	Ensure "regularity & propriety" in use of Public Funds	Budget Holder as delegated by Directors
MS para 3.7.2 (k)	Chief Executive	Ensure adequate internal management & financial controls	First line managers agreed by Directors for each area
MS para 3.7.2 (l)	Chief Executive	Maintain system of delegated authority and compliance review	All Directors
MS para 3.7.2 (m)	Chief Executive	Ensure effective HR procedures	HR Manager
MS para 3.7.2 (n)	Chief Executive	Ensure proper accounting records and sign Accounts	Finance Manager; Technical Accounting Manager
MS para 3.7.2 (q)	Chief Executive	Ensure effective procedures for the handling of complaints	Complaints & Decision Review Manager
MS para 3.7.2 (r)	Chief Executive	Ensure compliance with DWP, HMT and Cabinet Office guidance	Budget Holder as delegated by Directors
MS para 3.7.2 (y)	Chief Executive	Keep proper accounting records	Finance Officer
MS para 4.1	Chief Executive "for the NDPB"	Produce Corporate Plan, agreeing key issues with DWP and Trustees	All Directors

Source Reference	Authority	Responsibility	Line Management below Chief Exec	Report
TD Sch 4 para 17(a)	Chief Executive	Management of ILF Assessors (inc quality and value for money)	Social Work Director	Annual governance report and Statement of Internal Control
TD Sch 4 para 17(b/c)	Chief Executive	Application process including joint ILFA/LA support proposals	Operations Manager; Senior Operations Manager; Operations Director	Monthly regional report, Quarterly Performance and Dashboard report.
TD Sch 4 para 17(d)	Chief Executive	Ensure effective HR procedures (inc Equal Opportunities policy)	HR Director	Review per policy approval scheme
TD Sch 4 para 17(e)	Chief Executive	Monthly expenditure forecasts to inform Trustees budget decisions		Monthly Trustees Forecast reports
MS para 3.7.2 (a-c)	Chief Executive	Produce Corporate & Business Plans, performance and forecast reports		Trustees papers
MS para 3.7.2 (e)	Chief Executive	Advise Trustees on performance against aims and objectives	Procurement Manager; Finance Director	Quarterly Performance reports
MS para 3.7.2 (h)	Chief Executive	Maintain a risk management system to inform financial/operational decisions	Lead responsibility with Finance Director	Quarterly reports to Audit Committee
MS para 3.7.2 (i)	Chief Executive	Ensure effective project and contract management	Finance Director	Ad hoc reports to Audit Committee
MS para 3.7.2 (j)	Chief Executive	Ensure "regularity & propriety" in use of Public Funds	Director for each area; Finance Director	Annual governance report and Statement of Internal Control
MS para 3.7.2 (k)	Chief Executive	Ensure adequate internal management & financial controls	Senior Managers; Directors responsible for each area as per ILF Framework	Annual governance report and Statement of Internal Control
MS para 3.7.2 (l)	Chief Executive	Maintain system of delegated authority and compliance review	Lead responsibility with Finance Director	Review of this document at least annually
MS para 3.7.2 (m)	Chief Executive	Ensure effective HR procedures	HR Director	Review per policy approval scheme
MS para 3.7.2 (n)	Chief Executive	Ensure proper accounting records and sign Accounts	Procurement Manager; Finance Director	Annual process via Audit Committee to full Board
MS para 3.7.2 (q)	Chief Executive	Ensure effective procedures for the handling of complaints	Senior Operations Manager; Operations Director	Quarterly Performance Dashboard report
MS para 3.7.2 (r)	Chief Executive	Ensure compliance with DWP, HMT and Cabinet Office guidance	Director for each area; Finance Director	Quarterly Administration Expenditure review
MS para 3.7.2 (y)	Chief Executive	Keep proper accounting records	Finance Manager; Procurement Manager; Finance Director	Annual governance report and Statement of Internal Control
MS para 4.1	Chief Executive "for the NDPB"	Produce Corporate Plan, agreeing key issues with DWP and Trustees	Lead responsibility with Finance Director	Trustees papers

Source Reference	Authority	Responsibility	Reference
TD Sch 4 para 17(a)	Chief Executive	Management of ILF Assessors (inc quality and value for money)	Statement of Internal Control
TD Sch 4 para 17(b/c)	Chief Executive	Application process including joint ILFA/LA support proposals	User Admin policies
TD Sch 4 para 17(d)	Chief Executive	Ensure effective HR procedures (inc Equal Opportunities policy)	Policy review schedule
TD Sch 4 para 17(e)	Chief Executive	Monthly expenditure forecasts to inform Trustees budget decisions	Trustees papers
MS para 3.7.2 (a-c)	Chief Executive	Produce Corporate & Business Plans, performance and forecast reports	Published documents
MS para 3.7.2 (e)	Chief Executive	Advise Trustees on performance against aims and objectives	Dashboard
MS para 3.7.2 (h)	Chief Executive	Maintain a risk management system to inform financial/operational decisions	Risk Register
MS para 3.7.2 (i)	Chief Executive	Ensure effective project and contract management	Expenditure Strategy
MS para 3.7.2 (j)	Chief Executive	Ensure "regularity & propriety" in use of Public Funds	Expenditure Strategy
MS para 3.7.2 (k)	Chief Executive	Ensure adequate internal management & financial controls	ILF Framework
MS para 3.7.2 (l)	Chief Executive	Maintain system of delegated authority and compliance review	Trustees papers
MS para 3.7.2 (m)	Chief Executive	Ensure effective HR procedures	Policy review schedule
MS para 3.7.2 (n)	Chief Executive	Ensure proper accounting records and sign Accounts	ILF Accounts
MS para 3.7.2 (q)	Chief Executive	Ensure effective procedures for the handling of complaints	Complaints policy
MS para 3.7.2 (r)	Chief Executive	Ensure compliance with DWP, HMT and Cabinet Office guidance	Expenditure Strategy
MS para 3.7.2 (y)	Chief Executive	Keep proper accounting records	Finance Procedures
MS para 4.1	Chief Executive "for the NDPB"	Produce Corporate Plan, agreeing key issues with DWP and Trustees	Published documents

Source Reference	Authority	Responsibility	Authority to Delegate	Level of Delegation
MS para 4.2	Chief Executive "for the NDPB"	Produce Business Plan, agreeing key issues with DWP and Trustees	MS 3.9.1	Propose Business Plan objectives, financial measures and targets
MS para 4.6.1	Chief Executive "for the NDPB"	Make suitable arrangements for internal audit to GIAS requirements	MS 3.9.1	Liaise on proposed audit programme and provide internal audit quality review
MS para 4.6.6	Chief Executive "for the NDPB"	Provide annual report on overpayments, fraud & theft	MS 3.9.1	Produce annual report using standard reporting format provided by DWP
MS para 5.1	Chief Executive "for the NDPB"	Produce annual Reports and Accounts including external audit	MS 3.9.1	Maintain & reconcile accounts system; provide reports to support accounts
MS para 6.1	Chief Executive "for the NDPB"	Responsibility for staff recruitment, retention and motivation	MS 3.9.1	Recruitment procedures; propose pay, terms & conditions within annual Remit
COGA para 4.2	Trustees	Provide specified information with monthly Grant in Aid requests	TD clause 9(12)	Provide specified information with monthly Grant in Aid requests
COGA para 6.2	Trustees	Decision that a Group 1 Candidate is a "protected customer"		Not delegable
COGA para 6.3	Trustees	Decision to make payment without the full contribution as per para 6.1		Not delegable
COGA para 7.3	Trustees	Decision to ignore capital for disability-related purchase over 12 months		Not delegable
COGA para 11.1	Trustees	Writeoff of losses and overpayments under £40,000 per item	TD clause 9(1); DWP approval	Writeoff or overpayments up to various levels as per DWP approval letter
COGA para 11.2	Trustees	Maintain up to date and accurate fixed assets register	TD clause 9(1)	Maintain fixed asset register, including additions and disposals
COGA para 11.3	Trustees	Asset disposal subject to provisions in this paragraph	TD clause 9(1)	Disposals per fixed assets policy and disposal procedures
COGA para 12-14,17.3	Trustees	Procurement of goods/services, usually by competition, subject to VFM	TD clause 9(1) & 9(2)	All procurement exercises
COGA para 15	Trustees	Prompt payment of properly authorised invoices	TD clause 9(1)	Make payments on receipt of authorised invoices
COGA para 17.1	Trustees	Maintain a risk management system to inform financial/operational decisions	TD clause 9(1)	Produce Corporate Risk Register and review quarterly
COGA para 17.2	Trustees	Take reasonable steps to safeguard against fraud and theft	TD clause 9(1) & 9(2)	Compliance and fraud prevention, and recommend for prosecution
COGA para 19.1	Trustees	Ensure compliance with DWP, HMT and Cabinet Office guidance	TD clause 9(1)	Compliance with guidance as applied to expenditure per budget scheme

Source Reference	Authority	Responsibility	Responsible officer(s)
MS para 4.2	Chief Executive "for the NDPB"	Produce Business Plan, agreeing key issues with DWP and Trustees	All Directors
MS para 4.6.1	Chief Executive "for the NDPB"	Make suitable arrangements for internal audit to GIAS requirements	Finance Director
MS para 4.6.6	Chief Executive "for the NDPB"	Provide annual report on overpayments, fraud & theft	Senior Operations Manager
MS para 5.1	Chief Executive "for the NDPB"	Produce annual Reports and Accounts including external audit	Finance Manager; Technical Accounting Manager
MS para 6.1	Chief Executive "for the NDPB"	Responsibility for staff recruitment, retention and motivation	Senior HR Manager
COGA para 4.2	Trustees	Provide specified information with monthly Grant in Aid requests	Finance Director
COGA para 6.2	Trustees	Decision that a Group 1 Candidate is a "protected customer"	
COGA para 6.3	Trustees	Decision to make payment without the full contribution as per para 6.1	
COGA para 7.3	Trustees	Decision to ignore capital for disability-related purchase over 12 months	
COGA para 11.1	Trustees	Writeoff of losses and overpayments under £40,000 per item	Overpayments Caseworker
COGA para 11.2	Trustees	Maintain up to date and accurate fixed assets register	IT Technician
COGA para 11.3	Trustees	Asset disposal subject to provisions in this paragraph	IT Manager
COGA para 12-14,17.3	Trustees	Procurement of goods/services, usually by competition, subject to VFM	Procurement Manager
COGA para 15	Trustees	Prompt payment of properly authorised invoices	Finance Officer
COGA para 17.1	Trustees	Maintain a risk management system to inform financial/operational decisions	All Directors
COGA para 17.2	Trustees	Take reasonable steps to safeguard against fraud and theft	Compliance and Fraud specialist
COGA para 19.1	Trustees	Ensure compliance with DWP, HMT and Cabinet Office guidance	Budget Holder

Source Reference	Authority	Responsibility	Line Management below Chief Exec	Report
MS para 4.2	Chief Executive "for the NDPB"	Produce Business Plan, agreeing key issues with DWP and Trustees	Lead responsibility with Finance Director	Trustees papers
MS para 4.6.1	Chief Executive "for the NDPB"	Make suitable arrangements for internal audit to GIAS requirements		Biannual reports to Audit Committee
MS para 4.6.6	Chief Executive "for the NDPB"	Provide annual report on overpayments, fraud & theft	Operations Director	HM Treasury/ Department of Finance and Personnel (Northern Ireland)
MS para 5.1	Chief Executive "for the NDPB"	Produce annual Reports and Accounts including external audit	Procurement Manager; Finance Director	Annual process via Audit Committee to full Board
MS para 6.1	Chief Executive "for the NDPB"	Responsibility for staff recruitment, retention and motivation	HR Director	Annual assurance paper to the HR Sub-Committee and submission of pay proposals as required
COGA para 4.2	Trustees	Provide specified information with monthly Grant in Aid requests		Monthly reports with Trustees Forecast
COGA para 6.2	Trustees	Decision that a Group 1 Candidate is a "protected customer"		
COGA para 6.3	Trustees	Decision to make payment without the full contribution as per para 6.1		
COGA para 7.3	Trustees	Decision to ignore capital for disability-related purchase over 12 months		
COGA para 11.1	Trustees	Writeoff of losses and overpayments under £40,000 per item	Overpayments Manager; Senior Operations Manager	Quarterly Performance Dashboard report
COGA para 11.2	Trustees	Maintain up to date and accurate fixed assets register	IT Manager; Senior IT Manager; Business Development Director	Annual report to Audit Committee
COGA para 11.3	Trustees	Asset disposal subject to provisions in this paragraph	Senior IT Manager; Business Development Director	Annual report to Audit Committee
COGA para 12-14,17.3	Trustees	Procurement of goods/services, usually by competition, subject to VFM	Finance Director	Ad hoc reports to Audit Committee
COGA para 15	Trustees	Prompt payment of properly authorised invoices	Finance Manager; Procurement Manager; Finance Director	Quarterly Administration Expenditure review
COGA para 17.1	Trustees	Maintain a risk management system to inform financial/operational decisions	Lead responsibility with Finance Director	Quarterly reports to Audit Committee
COGA para 17.2	Trustees	Take reasonable steps to safeguard against fraud and theft	Senior Operations Manager; Operations Director	Monthly Report to Operations Director
COGA para 19.1	Trustees	Ensure compliance with DWP, HMT and Cabinet Office guidance	Director for each area; Finance Director	Quarterly Administration Expenditure review

Source Reference	Authority	Responsibility	Reference
MS para 4.2	Chief Executive "for the NDPB"	Produce Business Plan, agreeing key issues with DWP and Trustees	Published documents
MS para 4.6.1	Chief Executive "for the NDPB"	Make suitable arrangements for internal audit to GIAS requirements	Internal Audit strategy
MS para 4.6.6	Chief Executive "for the NDPB"	Provide annual report on overpayments, fraud & theft	Fraud Response Plan; Overpayment Procedural guidance
MS para 5.1	Chief Executive "for the NDPB"	Produce annual Reports and Accounts including external audit	ILF Accounts
MS para 6.1	Chief Executive "for the NDPB"	Responsibility for staff recruitment, retention and motivation	Committee papers
COGA para 4.2	Trustees	Provide specified information with monthly Grant in Aid requests	Trustees papers
COGA para 6.2	Trustees	Decision that a Group 1 Candidate is a "protected customer"	
COGA para 6.3	Trustees	Decision to make payment without the full contribution as per para 6.1	
COGA para 7.3	Trustees	Decision to ignore capital for disability-related purchase over 12 months	
COGA para 11.1	Trustees	Writeoff of losses and overpayments under £40,000 per item	DWP approval letter
COGA para 11.2	Trustees	Maintain up to date and accurate fixed assets register	Fixed Asset policy
COGA para 11.3	Trustees	Asset disposal subject to provisions in this paragraph	Fixed Asset policy
COGA para 12-14,17.3	Trustees	Procurement of goods/services, usually by competition, subject to VFM	Expenditure Strategy
COGA para 15	Trustees	Prompt payment of properly authorised invoices	Finance Procedures
COGA para 17.1	Trustees	Maintain a risk management system to inform financial/operational decisions	Risk Register
COGA para 17.2	Trustees	Take reasonable steps to safeguard against fraud and theft	Fraud prevention strategy
COGA para 19.1	Trustees	Ensure compliance with DWP, HMT and Cabinet Office guidance	Admin Budget Holders table

Source Reference	Authority	Responsibility	Authority to Delegate	Level of Delegation
COGA para 20.2-20.4	Trustees	Ensure compliance with DPA & FOIA requirements	TD clause 9(1)	Ensure DPA and FOIA compliance and produce Publications Scheme
COGA para 21	Trustees	Responsibility for staff pay, terms and conditions of service	TD clause 9(2)	Propose pay, terms & conditions within annual Remit
COGA para 21	Trustees	Responsibility for staff pay, terms and conditions of service	TD clause 9(2)	Manage pension scheme

Source Reference	Authority	Responsibility	Responsible officer(s)
COGA para 20.2-20.4	Trustees	Ensure compliance with DPA & FOIA requirements	Information owners per asset register; Information Manager
COGA para 21	Trustees	Responsibility for staff pay, terms and conditions of service	HR Director
COGA para 21	Trustees	Responsibility for staff pay, terms and conditions of service	Senior HR Manager

Source Reference	Authority	Responsibility	Line Management below Chief Exec	Report
COGA para 20.2-20.4	Trustees	Ensure compliance with DPA & FOIA requirements	Director for each area; Senior IT Manager; Business Development Director	Annual governance report and Statement of Internal Control
COGA para 21	Trustees	Responsibility for staff pay, terms and conditions of service		Annual assurance paper to the HR Sub-Committee and submission of pay proposals as required
COGA para 21	Trustees	Responsibility for staff pay, terms and conditions of service	HR Director	Annual assurance paper to the HR Sub-Committee and submission of pay proposals as required

Source Reference	Authority	Responsibility	Reference
COGA para 20.2-20.4	Trustees	Ensure compliance with DPA & FOIA requirements	Statement of Internal Control
COGA para 21	Trustees	Responsibility for staff pay, terms and conditions of service	Committee papers
COGA para 21	Trustees	Responsibility for staff pay, terms and conditions of service	Committee papers