

**Partnership Agreement between
Department of Health (DoH)
and
Northern Ireland Medical Dental Training
Agency (NIMDTA)**

CONTENTS

Introduction	3
1. The Partnership Agreement.....	3
NIMDTA Establishment and Purpose.....	7
2. Statutory Purpose and Strategic Objectives	7
NIMDTA Governance Arrangements.....	11
3. Organisational Status	11
4. Governance Framework	11
5. NIMDTA Board	12
6. Audit and Risk Assurance Committee	14
7. NIMDTA Chair	15
8. NIMDTA Chief Executive.....	15
Role of the DoH.....	17
9. Partnership Working with NIMDTA	17
10. Lead Official.....	18
11. Annual Engagement Plan	18
12. Departmental Accounting Officer	19
13. Attendance at Public Accounts Committee	20
Assurance Framework	22
14. Autonomy and Proportionality.....	22
15. Board Effectiveness.....	23
16. Board Appraisals	24
17. Internal Audit Assurance.....	24
18. Externally Audited Annual Report and Accounts	25
Signatories	27
Annex 1 - Applicable Legislation	28
Annex 2 – Illustrative Annual Engagement Plan	29
Annex 3 - Delegations.....	37

Annex 4 – Illustrative System of Assurance38

Annex 5 – Concerns/Complaints in respect of Board members39

Annex 6 - Applicable Guidance41

Annex 7 - Role of the Minister42

Annex 8 - Partnerships between Departments and Arm’s Length Bodies: NI Code of Good Practice43

Introduction

1. The Partnership Agreement

1.1 This document sets out the partnership arrangements between the Northern Ireland Medical Dental Training Agency (NIMDTA) and the Department of Health (DoH). In particular, it explains the overall governance framework within which NIMDTA operates, including the framework through which the necessary assurances are provided to stakeholders. Roles/responsibilities of partners within the overall governance framework are also outlined.

1.2 The partnership is based on a mutual understanding of strategic aims and objectives; clear accountability; and a recognition of the distinct roles each party contributes. Underpinning the arrangements are the principles set out in the NI Code of Good Practice '*Partnerships **between Departments and Arm's-Length Bodies***' which should be read in conjunction with this document. The principles which are laid out the Code are:

LEADERSHIP
<i>Partnerships work well when Departments and Arm's Length Bodies demonstrate good leadership to achieve a shared vision and effective delivery of public services. Strong leadership will provide inspiration, instil confidence and trust and empower their respective teams to deliver good outcomes for citizens.</i>
PURPOSE
<i>Partnerships work well when the purpose, objectives and roles of Arm's Length Bodies and the sponsor department are clear, mutually understood and reviewed on a regular basis. There needs to be absolute clarity about lines of accountability and responsibility between departments and Arm's Length Bodies. In exercising statutory functions Arm's Length Bodies need to have clarity about how their purpose and objectives align with those of departments.</i>
ASSURANCE

Partnerships work well when departments adopt a proportionate approach to assurance, based on Arm's Length Bodies' purpose and a mutual understanding of risk. Arm's Length Bodies should have robust governance arrangements in place and in turn departments should give Arm's Length Bodies the autonomy to deliver effectively. Management information should be what is needed to enable departments and Arm's Length Bodies to provide assurance and assess performance.

VALUE
<i>Partnerships work well when departments and Arm's Length Bodies share knowledge, skills and experience in order to enhance their impact and delivery. Arm's Length Bodies are able to contribute to policy making and departmental priorities. There is a focus on innovation, and on how departments and Arm's Length Bodies work together to deliver the most effective policies and services for its customers.</i>
ENGAGEMENT
<i>Partnerships work well when relationships between departments and Arm's Length Bodies are open, honest, constructive and based on trust. There is mutual understanding about each other's objectives and clear expectations about the terms of engagement.</i>

A full copy of the NI Code can be found at Annex 8.

1.3 This document should also be read in conjunction with guidance on proportionate autonomy which provides an outline of the principles and characteristics for proportionate autonomy. Guidance on proportionate autonomy has been considered in determining the extent of engagement and assurance to be established between NIMDTA and the DoH and this is reflected in this Agreement.

1.4 DoH and NIMDTA are committed to:

- Working together within distinct roles and responsibilities;
- Maintaining focus on successful delivery of Programme for Government outcomes and Ministerial priorities (see also paras 2.6 and 2.7);
- Maintaining open and honest communication and dialogue;
- Keeping each other informed of any issues and concerns, and of emerging areas of risk;
- Supporting and challenging each other on developing policy and delivery [when developing policy this may cut across more than one department];
- Seeking to resolve issues quickly and constructively; and
- Acting at all times in the public interest and in line with the values of integrity, honesty, objectivity and impartiality.

1.5 The effectiveness of the Partnership and the associated Engagement Plan will be reviewed each year by the DoH and NIMDTA in order to assess whether

the Partnership is operating as intended and to identify any emerging issues/opportunities for enhancement. This can be carried out as part of existing governance arrangements. The Partnership Agreement document itself will be reviewed formally at least once every three years to ensure it remains fit for purpose and up-to-date in terms of current governance frameworks. The formal review will be proportionate to NIMDTA's size and overall responsibilities and will be published on DoH and NIMDTA's websites as soon as practicable following completion.

1.6 A copy of this agreement has been placed in the Assembly Library and is available on the DoH and NIMDTA's websites.

NIMDTA Establishment and Purpose

2. Purpose

- 2.1 NIMDTA is a non-departmental public body (ALB) and was originally established as the Northern Ireland Council for Postgraduate Medical Education, in 1970, under the broad powers of section 1 of the Health Services (Northern Ireland) Act 1948. Equivalent provisions of the HPSS (NI) Order 1972 allowed for its continued existence. In April 1994 the council was reconstituted, by a “Minute of Appointment”, under powers conferred by the Ministries of Northern Ireland Act (Northern Ireland) 1921 and the Northern Ireland Act 1974. This brought together its membership criteria, terms of reference, functions, financial and other responsibilities under a more defined legal basis. That “Minute of Appointment” was repealed by a revised “Minute of Appointment”, which came into effect on 1 January 1996.
- 2.3 Following a Review of the Council in June 2002, the Council was reconstituted as a HPSS Special Agency with effect from 1 April 2004 under the powers conferred upon it by Articles 3 (1), (2), (4) and (6) of the Health and Personal Social Services (Special Agencies) (Northern Ireland) Order 1990. Statutory Rules of Northern Ireland – S.R. 2004 No 62 refers. Due to NIMDTA’s financial profile NIMDTA must fully complete the Whole of Government Accounts process.
- 2.4 NIMDTA’s [statutory] functions, duties and powers are as follows:
- 2.5 NIMDTA’s primary role is to train postgraduate medical and dental professionals for Northern Ireland. NIMDTA also seeks to serve the government, public and patients of Northern Ireland by providing specialist advice, listening to local needs and having the agility to respond to regional and national requirements.
- 2.6 NIMDTA commissions, promotes and oversees postgraduate medical and dental education and training throughout Northern Ireland. NIMDTA endeavours to attract and appoint individuals of the highest calibre to recognised training posts and programmes. NIMDTA encourages doctors to train and remain in NI so that

Health and Social Care (HSC) has a highly competent medical and dental workforce with the essential skills to meet the changing health needs of its population.

- 2.7 NIMDTA organises and delivers the recruitment, selection and allocation of doctors and dentists to foundation, core and specialty training programmes. NIMDTA supports trainees with the aim of maximising their potential to successfully progress, complete training and be appointed to permanent posts in NI. NIMDTA manages the quality of postgraduate medical and dental education in HSC Trusts and in general medical and dental practices through learning and development agreements, the receipt of reports, regular meetings, trainee surveys and inspection visits. It works in close partnership with local education providers to ensure that both the training and supervision of trainees support the delivery of high quality safe patient care. NIMDTA provides trainees with a wide range of opportunities to gain experience in leadership, quality improvement, research and teaching.
- 2.8 NIMDTA trains clinical and educational supervisors and recommends them to the General Medical Council (GMC) for recognition of their role. NIMDTA selects, appoints, trains and develops educational leaders for foundation, core and specialty medical and dental training programmes throughout NI.
- 2.9 NIMDTA is accountable to the GMC for ensuring that the standards set by the GMC for medical training, educational structures and processes are achieved. Revalidation is the process by which the GMC confirms that doctors are up to date and fit to practice. NIMDTA is the Designated Body for doctors in training and has a statutory role in making recommendations to the GMC to support the revalidation of trainees.
- 2.10 NIMDTA is accountable to the General Dental Council (GDC) for the Standards for Specialty Education. NIMDTA also participate in the UK Committee of Postgraduate Dental Deans and Directors (COPDEND) who oversee Standards for Dental Training. A Continuing Education programme is delivered for all members of Dental Practices across a variety of platforms including haptic

simulation training. NIMDTA is a National Exam Board for Dental Nursing (NEBDN) accredited centre.

- 2.11 NIMDTA enhances the standard and safety of patient care through the organisation and delivery of career development for general medical and dental practitioners and dental care professionals. It also supports the career development of general medical practitioners and the requirements for revalidation through the management and delivery of GP appraisal.
- 2.12 NIMDTA has been integrated as lead employer for Doctors and Dentists in training (DDiT) across the HSC. The aim of this service is to provide a high quality continuous employment experience for DDiT.
- 2.13 NIMDTA plays a key role in attracting DDiT to the HSC, and in creating an environment where they wish to continue to remain practising within the HSC.
- 2.14 NIMDTA carries out these roles on behalf of the DoH by focussing on the needs of people (population, trainees, trainers and NIMDTA staff), in partnership with key stakeholders and by upholding the HSC Values – openness and honesty, compassion, excellence and working together.
- 2.15 The status and constitution of NIMDTA is set out in The Northern Ireland Medical and Dental Training Agency (Establishment and Constitution) Order (Northern Ireland) 2004.
- 2.16 The Minister for DoH is answerable to the Assembly for the overall performance and delivery of both DoH and NIMDTA.
- 2.17 The Northern Ireland Executive's outcome-based approach to delivery recognises the importance of arm's length bodies and departments working collaboratively and together in a joined up approach to improve overall outcomes and results.

2.18 To that end there is strategic alignment between the aims, objectives and expected outcomes and results of NIMDTA and DoH.

2.19 The strategic aims of NIMDTA are set out in NIMDTA's Corporate Strategic Plan 2023-28 which presents five key objectives that provide a pathway to enable NIMDTA to effectively deliver its primary legislative role and align to the aims of DoH and the Programme for Government. NIMDTA's Corporate Strategic Plan is underpinned by Medical Education and Dental Education Sub-Strategies and are supported by eight business support sub-strategies.

NIMDTA Governance Arrangements

3. Organisational Status

- 3.1 NIMDTA is a legal entity in its own right, employing its own staff and operating at arm's-length from the DoH. As a legal entity it must comply with all associated legislation including legislation relating to its employer status.

4. Governance Framework

- 4.1 NIMDTA has an established Corporate Governance Framework which reflects all relevant good practice guidance. The framework includes the governance structures established within NIMDTA and the internal control and risk management arrangements in place. This includes its Board and Committee Structure. The DoH should be satisfied with the framework.
- 4.2 An account of this is included in NIMDTA's annual Governance Statement together with the NIMDTA Board's assessment of its compliance with the extant Corporate Governance Code of Good Practice (NI). Any departure from the Corporate Governance Code must be explained in the Governance Statement. The extant Corporate Governance Code of Good Practice (NI) is available on the Department of Finance (DoF) website.
- 4.3 NIMDTA is required to follow the principles, rules, guidance and advice in Managing Public Money Northern Ireland. A list of other applicable guidance and instructions which NIMDTA is required to follow is set out in Annex 6. Good governance should also include positive stakeholder engagement, the building of positive relationships and a listening and learning culture.

5. NIMDTA Board

- 5.1 NIMDTA is led by a Board, non-executive members of which are appointed by the Minister of the DoH. The NIMDTA Board consists of a Chairperson, one medical practitioner, one dental practitioner and three members who are neither a medical practitioner nor a dental practitioner. NIMDTA has designated that one of its non-executive member roles requires a background in finance. The appointment process for non-executive Board members complies with the Code of Practice on Public Appointments for Northern Ireland.
- 5.2 As public appointees Board members are office holders rather than employees they are not subject to employee terms and conditions. Board appraisal arrangements are set out in paras 15.1 and 15.2, and matters for consideration in dealing with concerns/complaints in respect of Board members are provided in Annex 5.
- 5.3 The Board's operating framework/terms of reference provides further detail on roles and responsibilities and should align closely with this Agreement. The NIMDTA Board and delegated Committees have Standing Orders which govern how NIMDTA conduct their business in accordance with the Statutory Rules.
- 5.4 The purpose of the NIMDTA Board is to provide effective leadership and strategic direction to the organisation and to ensure that the policies and priorities set by the Minister for Health are implemented. It is responsible for ensuring that the organisation has effective and proportionate governance arrangements in place and an internal control framework which allow risks to be effectively identified and managed. The Board will set the culture and values of the organisation, and set the tone for the organisation's engagement with stakeholders and customers.

- 5.5 The Board is responsible for holding the Chief Executive to account for the management of the organisation and the delivery of agreed plans and outcomes. The Board should also however support the Chief Executive as appropriate in the exercise of their duties.
- 5.6 Board members act solely in the interests of NIMDTA and must not use the Board as a platform to champion their own interests or pursue personal agendas. They occupy a position of trust and their standards of action and behaviour must be exemplary and in line with the seven principles of public life (Nolan principles). NIMDTA has a Code of Practice for Board Members and subscribes to the DoH Code of Conduct and Accountability for Board Members of Health and Social Care Bodies. NIMDTA has mechanisms in place to deal with any Board disputes/conflicts to ensure they do not become wider issues that impact on the effectiveness of the Board. A Board Register of Interests is maintained, kept up to date and is publicly available upon request to help provide transparency and promote public confidence in NIMDTA.
- 5.7 Communication and relationships within the Board are underpinned by a spirit of trust and professional respect. The Board recognises that using consensus to avoid conflict or encouraging members to consistently express similar views or consider only a few alternative views does not encourage constructive debate and does not give rise to an effective Board dynamic.
- 5.8 It is for the Board to decide what information it needs, and in what format, for its meetings/effective operation. If the Board is not confident that it is being fully informed about the organisation this will be addressed by the Chair of the Board as the Board cannot be effective with out-of-date or only partial knowledge.
- 5.9 In order to fulfil their duties, Board members must undertake initial training, and regular ongoing training and development. Review of Board skills and development will be a key part of the annual review of Board effectiveness.

6. Audit and Governance and Risk Committees

- 6.1 A further important aspect of NIMDTA's governance framework is its Audit and Risk Committee, established in line with the extant Audit and Risk Assurance Committee Handbook (NI).
- 6.2 The Audit and Risk Committee's purpose/role is to support the Accounting Officer and Board on governance issues. In line with the Handbook the Audit and Risk Committee focuses on:
- assurance arrangements over governance; financial reporting; annual reports and accounts, including the Governance Statement; and
 - ensuring there is an adequate and effective risk management and assurance framework in place.
- 6.3 NIMDTA and DoH have agreed arrangements in respect of Audit and Risk Assurance Committees which may include:
- attendance by DoH representatives in an observer capacity at NIMDTA's Audit and Risk Committee meetings;
 - Access to NIMDTA's Audit and Risk Committee papers and minutes;
 - Any input required from NIMDTA's Audit and Risk Committee to the DoH Audit and Risk Assurance Committee.
- 6.4 Full compliance with the Audit and Risk Assurance Committee Handbook (NI) is an essential requirement. In the event of significant non-compliance with the handbook's five good practice principles (or other non-compliance) discussion will be required with the DoH and a full explanation provided in the annual Governance Statement.
- 6.5 NIMDTA complements the role and function of its Audit and Risk Committee with a Governance, Resources and Performance Committee who provide scrutiny and proactive challenge in relation to strategic and business planning, service delivery performance, policy development and review, good governance, and organisational resources and development.

6.6 The extant Audit and Risk Assurance Committee Handbook (NI) is available on the DoF website.

7. NIMDTA Chair

7.1 The Chair is responsible for setting the agenda and managing the Board to enable collaborative and robust discussion of issues. The Chair's role is to develop and motivate the Board and ensure effective relationships in order that the Board can work collaboratively to reach a consensus on decisions. To achieve this, he or she should ensure:

- The Board has an appropriate balance of skills appropriate to its business;
- Board members are fully briefed on terms of appointment, duties, rights and responsibilities;
- Board members receive and maintain appropriate training;
- The Minister is advised of NIMDTA's needs when board vacancies arise;
- There is a Board Operating Framework in place setting out the roles and responsibilities of the Board in line with relevant guidance;
- There is a code of practice for Board members in place, consistent with relevant guidance.

7.2 The role also requires the establishment of an effective working relationship with the Chief Executive that is simultaneously collaborative and challenging. It is important that the Chair and Chief Executive act in accordance with their distinct roles and responsibilities as laid out in Managing Public Money and their appointment letters.

7.3 The Chair has a presence in the organisation and cultivates external relationships which provide useful links for the organisation while being mindful of overstepping boundaries and becoming too involved in day to day operations or executive activities.

8. NIMDTA Chief Executive

8.1 The role of the NIMDTA Chief Executive is to run NIMDTA's business. The Chief Executive is responsible for all executive management matters affecting the organisation and for leadership of the executive management team.

- 8.2 The Chief Executive is designated as NIMDTA Accounting Officer by the DoH Accounting Officer (see section 12). As Accounting Officer they are responsible for safeguarding the public funds in their charge and ensuring they are applied only to the purposes for which they were voted and more generally for efficient and economical administration.
- 8.3 The Chief Executive is accountable to the Board for NIMDTA's performance and delivery of outcomes and targets and is responsible for implementing the decisions of the Board and its Committees. The Chief Executive maintains a dialogue with the Chair on the important strategic issues facing the organisation and for proposing Board agendas to the Chair to reflect these. The Chief Executive ensures effective communication with stakeholders and communication on this to the Board. The Chief Executive also ensures that the Chair is alerted to forthcoming complex, contentious or sensitive issues, including risks affecting the organisation.
- 8.4 The Chief Executive acts as a role model to other executives by exhibiting open support for the Chair and Board members and the contribution they make. The Chair and Chief Executive have agreed how they will work together in practice, understanding and respecting each other's role, including the Chief Executive's responsibility as Accounting Officer.
- 8.5 Further detail on the role and responsibilities of the Chief Executive are as laid out in Managing Public Money NI and their Accounting Officer appointment letter.
- 8.6 The Chief Executive is the Principal Officer for handling cases involving the NI Public Sector Ombudsman. The Chief Executive shall advise the DoH Accounting Officer of any complaints about NIMDTA accepted by the Ombudsman for investigation, and about the proposed response to any subsequent recommendations from the Ombudsman.

Role of the Department of Health

9. Partnership Working with NIMDTA

- 9.1 The DoH and NIMDTA are part of a total delivery system, within the same Ministerial portfolio. The partnership between DoH and NIMDTA is open, honest, constructive and based on trust. There is mutual understanding of each other's objectives and clear expectations on the terms of engagement.
- 9.2 In exercising its functions NIMDTA has absolute clarity on how its purpose and objectives align with those of DoH. There is also a shared understanding of the risks that may impact on each other and these are reflected in respective Risk Registers.
- 9.3 There is a regular exchange of skills and experience between DoH and NIMDTA and where possible joint programme / project delivery boards / arrangements. NIMDTA may also be involved as a partner in policy / strategy development and provides advice on policy implementation / the impact of policies in practice.
- 9.4 The DoH will consult and communicate with the NIMDTA Chief Executive and Board Chair in advance of any modifications to service delivery scope or the commissioning of a new service area.
- 9.5 The DoF has established, on behalf of the Assembly, a delegated authority framework which sets out the circumstances where prior DoF approval is required before expenditure can be occurred or commitments entered into. The Accounting Officer of the DoH has established an internal framework of delegated authority for the Department and its ALBs which apply to NIMDTA. Other specific approval requirements established in respect of NIMDTA as set out at Annex 3.
- 9.6 Once NIMDTA's budget has been approved by the DOH [and subject to any restrictions imposed by statute] NIMDTA shall have authority to incur expenditure approved in the budget without further reference to the Department. Inclusion of any planned and approved expenditure in the budget shall not however remove

the need to seek formal departmental approval where proposed expenditure is outside the delegated limits (as laid out in Annex 3) or is for new schemes not previously agreed. Nor does it negate the need to follow due processes laid out in guidance contained in Managing Public Money NI and Better Business Cases NI (previously the NI Guide to Expenditure Appraisal and Evaluation).

10. Lead Official

10.1 The DoH has appointed a lead senior official (usually Grade 5 level) to manage the relationship with NIMDTA and ensure effective partnership working. Engagement between the Department and NIMDTA will be co-ordinated, collaborative and consistent. A clear sense of collaboration and partnership will be communicated to staff in both the Department and NIMDTA in order to promote mutual understanding and support.

10.2 The lead senior official is the policy lead for the policy Area relating to NIMDTA's business and has a clear understanding of NIMDTA's responsibilities for policy implementation/operational delivery and the relevant audiences/stakeholders involved.

10.3 The lead senior official will ensure that where there are departmental staff changes, time is taken to ensure they have a full understanding of NIMDTA's business and challenges.

11. Annual Engagement Plan

11.1 The DoH and NIMDTA will agree an engagement plan before the start of each business year. The Annual Engagement Plan (Annex 2) will set out the timing and nature of engagement between NIMDTA and the DoH. The engagement plan will be specific to NIMDTA and should not stray into operational oversight.

- 11.2 Engagement between the DoH's lead official/their teams and NIMDTA will be centered on partnership working, understanding of shared risks and working together on business developments that align with policy objectives.
- 11.3 In line with relevant guidance¹, NIMDTA will work in collaboration and partnership with the DoH to prepare corporate and business plans. There should be good high level strategic alignment between departmental and NIMDTA plans. Once approved it will be the Board of NIMDTA that primarily holds the Chief Executive to account for delivery and performance. The DoH will engage with NIMDTA on areas of strategic interest, linking DoH policy and NIMDTA delivery of policy intent.
- 11.4 The Annual Engagement Plan will also reference the agreed management and financial information to be shared over the course of a year. The aim will be to ensure clear understanding of why information is necessary and how it will be used. Where the same, or similar information is required for internal governance information requirements will be aligned so that a single report can be used for both purposes. In addition, the engagement plan should consider opportunities for learning and development, growth and actions which could help achieve better outcomes.

12. Departmental Accounting Officer

- 12.1 The DoH Accounting Officer is accountable to the NI Assembly for the issue of grant in aid to NIMDTA. He/she has designated the Chief Executive of NIMDTA as NIMDTA's Accounting Officer and respective responsibilities of the DoH Accounting Officer and the NIMDTA Accounting Officer are set out in Chapter 3 of Managing Public Money Northern Ireland. The DoH Accounting Officer may withdraw the NIMDTA Accounting Officer designation if he/she concludes that the NIMDTA Accounting Officer is no longer a fit person to carry out the responsibilities of an Accounting Officer or that it is otherwise in the public interest that the

¹ Guidance issued by TEO on NICS Work Programme which includes guidance on business planning for an outcomes-based PfG/ODP

designation be withdrawn. In such circumstances the NIMDTA Board will be given a full account of the reasons for withdrawal and a chance to make representations. Withdrawal of NIMDTA Accounting Officer status would bring into question employment as Chief Executive and the Chair should engage with the Department should such circumstances arise.

12.2 As outlined in section 8, the NIMDTA Chief Executive is accountable to the NIMDTA Board for his/her stewardship of NIMDTA. This includes advising the Board on matters of financial propriety, regularity, prudent and economical administration, efficiency and effectiveness.

12.3 The DoH Accounting Officer must be informed in the event that the judgement of the NIMDTA Accounting Officer (on matters for which they are responsible) is over-ridden by the NIMDTA Board. The NIMDTA Accounting Officer must also take action if the NIMDTA Board is contemplating a course that would infringe the requirement for financial propriety, regularity, prudent and economical administration, efficiency or effectiveness. In all other regards, the DoH Accounting Officer has no day to day involvement with NIMDTA or its' Chief Executive.

12.4 In line with DoF requirements, the NIMDTA Accounting Officer will provide an annual declaration of fitness to act as Accounting Officer to the departmental Accounting Officer as part of the mid-year assurance statement.

13. Attendance at Public Accounts Committee

13.1 The NIMDTA Chief Executive may be summoned to appear before the Public Accounts Committee to give evidence on the discharge of their responsibilities as Accounting Officer (as laid out in their Accounting Officer appointment letter) on issues arising from the C&AG's studies or reports following the annual audit of accounts.

13.2 The NIMDTA Chair may also, on occasion, be called to give evidence to the Public Accounts Committee on such relevant issues arising within the C&AG's studies or reports, in relation to the role and actions taken by the Board, where appropriate.

13.3 In addition, the DoH Accounting Officer may be summoned to appear before the Public Accounts Committee to give evidence on the discharge of their responsibilities as DoH Accounting Officer with overarching responsibility for NIMDTA. In such circumstances, the DoH accounting Officer may therefore expect to be questioned on their responsibilities to ensure that:

- there is a clear strategic control framework for NIMDTA;
- sufficient and appropriate management and financial controls are in place to safeguard public funds;
- the nominated Accounting Officer is fit to discharge his or her responsibilities;
- there are suitable internal audit arrangements;
- accounts are prepared in accordance with the relevant legislation and any accounting direction; and
- intervention is made, where necessary, in situations where the NIMDTA Accounting Officer's advice on transactions in relation to regularity, propriety or value for money is overruled by the body's Board or its Chair.

Assurance Framework

14. Autonomy and Proportionality

14.1 The DoH will ensure that NIMDTA has the autonomy to deliver effectively, recognising its status as a separate legal entity which has its own Board and governance arrangements. Guidance on proportionate autonomy has been considered in determining the extent of engagement and assurance established between NIMDTA and the DoH and is reflected in this agreement.

14.2 A proportionate approach to assurance will be taken based on NIMDTA's overall purpose, business and budget and a mutual understanding of risk. The approach will include an agreed process through which the NIMDTA Accounting Officer provides written assurance to the DoH that the public funds and organisational assets for which they are personally responsible are safeguarded, have been managed with propriety and regularity, and use of public funds represents value for money.

14.3 Recognising the governance arrangements in place within the organisation, the NIMDTA Accounting Officer will arrange for their written assurance to be discussed at the NIMDTA Audit and Risk Committee and presented to the NIMDTA Board prior to submission to the DoH where possible. If not possible, or practicable, the Chair of the NIMDTA Board should have sight of the assurance statement, prior to being submitted to the DoH.

14.4 The NIMDTA Chair will provide written confirmation that the NIMDTA Accounting Officer's formal assurance has been considered by the Board and is reflective of NIMDTA's current position.

14.5 In addition to the NIMDTA Accounting Officer's written assurance, the DoH will take assurance from the following key aspects of NIMDTA's own governance framework:

- Annual Review of Board Effectiveness;

- Completion of Board Appraisals which confirm Board member effectiveness;
- Internal Audit assurance and External Quality Assessment of the Internal Audit function;
- Externally audited Annual Report and Accounts, reviewed/considered by the NIMDTA Audit Committee.

15. Board Effectiveness

15.1 The NIMDTA Chair will ensure that the NIMDTA Board undertakes an annual review of Board Effectiveness² which encompasses committees established by the Board.

15.2 The NIIMDTA Chair will discuss the outcome of the annual review of Board Effectiveness with the lead official to ensure a partnership approach to any improvements identified. This will inform the annual programme of Board training/development and discussions in respect of Board composition and succession.

15.3 In line with any parameters set out in founding (or other) legislation, the Chair in conjunction with the DoH, and Ministers where appropriate, will consider the size and composition of the NIMDTA Board, proportionate to the size and complexity of NIMDTA and keep this under review.

15.4 In addition to the annual review of Board Effectiveness NIMDTA will undertake an externally facilitated review of Board effectiveness at least once every three years covering the performance of the Board, its Committees and individual Board members. NIMDTA commission the Business Services Organisation (BSO) Internal Audit Department to undertake the independent external review of the NIMDTA Board's effectiveness every three years. BSO Internal Audit are suitably skilled to undertake the external review and will share the findings/outcome report with the DoH on completion of the review.

² NIAO Good Practice Guide on Board Effectiveness

16. Board Appraisals

16.1 The NIMDTA Chair will conduct an annual appraisal in respect of each Board member which will also inform the annual programme of Board training/development. The NIMDTA Chair will engage with the Chief Executive/lead official as appropriate on improvements identified through the appraisal process and the annual training/development programme.

16.2 The NIMDTA Chair's annual appraisal will be completed by the Permanent Secretary or a nominated officer within the DoH. The appraisal will take account of the Key Characteristics of a good chairperson (particularly for the Chair to have well developed interpersonal skills) set out in the NIAO Good Practice Guide on Board Effectiveness available on the NIAO website. There will be close engagement between the NIMDTA Chair and the lead official on improvements identified through the appraisal process.

17. Internal Audit Assurance

17.1 NIMDTA is required to establish and maintain arrangements for an internal audit function that operates in accordance with the Public Sector Internal Audit Standards (PSIAS). The DoH must be satisfied with the competence and qualifications of the Head of Internal Audit and that the requirements for approving appointments are in accordance with PSIAS.

17.2 In the event that the internal audit function is contracted out NIMDTA shall ensure the DoH is satisfied that the contract specification for the internal audit service meets the requirements of PSIAS.

17.3 NIMDTA will provide its internal audit strategy, periodic audit plans and annual audit report, including the Head of Internal Audit's opinion on risk management, control and governance to the DoH. NIMDTA will ensure the DoH's internal audit team have complete right of access to all relevant records. This applies whether the internal audit function is provided in-house or is contracted out.

17.4 NIMDTA will ensure regular, periodic self-assessments of the internal audit function in line with PSIAS and will share these with the DoH. NIMDTA will also liaise with the DoH on the External Quality Assessment (EQA) of the internal audit function which (in line with PSIAS) is required to be conducted at least once every five years by a qualified independent assessor.

17.5 NIMDTA will alert the DoH to any less than satisfactory audit reports at the earliest opportunity on an ongoing basis. NIMDTA will also alert the DoH to a less than satisfactory annual opinion from the Head of Internal Audit at the earliest opportunity. NIMDTA and the DoH will then engage closely on actions required to address the less than satisfactory opinion in order to move NIMDTA to a satisfactory position as soon as possible.

17.6 The DoH will take assurance from the fact that NIMDTA has met the requirements of PSIAS and has a satisfactory annual opinion from the Head of Internal Audit as part of its overall assurance assessment.

18. Externally Audited Annual Report and Accounts

18.1 NIMDTA is required to prepare an Annual Report and Accounts in line with the Government Financial Reporting Manual (FReM) issued by the DoF and the specific Accounts Direction issued by DoH, and in accordance with the deadlines specified.

18.2 The Comptroller & Auditor General (C&AG) will arrange to audit NIMDTA's annual accounts and will issue an independent opinion on the accounts. The C&AG passes the accounts to NIMDTA who shall lay them before the NI Assembly together NIMDTA's annual report.

18.3 The C&AG will also provide a Report to Those Charged with Governance (RTTCWG) to NIMDTA which will be shared with the DoH.

18.4 NIMDTA will alert the DoH to any likely qualification of the accounts at the earliest opportunity. In the event of a qualified audit opinion or significant issues reported in the RTTCWG the DoH will engage with NIMDTA on actions required to address the qualification/significant issues.

18.5 The DoH will take assurance from the external audit process and an unqualified position as part of its overall assurance assessment.

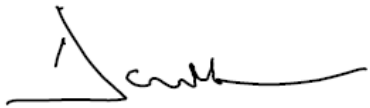
18.6 The C&AG may carry out examinations into the economy, efficiency and effectiveness with which NIMDTA has used its resources in discharging its functions. The C&AG may also carry out thematic examinations that encompass the functions of NIMDTA.

18.7 For the purpose of audit and any other examinations, the C&AG has statutory access to documents as provided for under Articles 3 and 4 of the Audit and Accountability (Northern Ireland) Order 2003.

18.8 Where making payment of a grant, or drawing up a contract, NIMDTA should ensure that it includes a clause which makes the grant or contract conditional upon the recipient or contractor providing access to the C&AG in relation to documents relevant to the transaction. Where subcontractors are likely to be involved, it should also be made clear that the requirements extend to them.

Signatories

NIMDTA and the DoH agree to work in partnership with each other in line with the NI Code of Good Practice '**Partnerships between Departments and Arm's-Length Bodies**' and the arrangements set out in this Agreement.



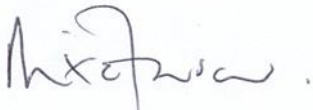
(NIMDTA Chair)

Date 09.01.2025



Signed (NIMDTA Chief Executive)

Date 09.01.2025



Signed (DoH –Permanent Secretary)

Date 11.04.2025

Annex 1 - Applicable Legislation

List the founding legislation and other key statutes which provide NIMDTA with its statutory functions, duties and powers.

- Statutory Rules for Northern Ireland – 2004 No. 62 Health and Personal Social Services - The Northern Ireland Medical and Dental Training Agency (Establishment and Constitution) Order (Northern Ireland) 2004
- Statutory Rules for Northern Ireland – 2011 No. 166 Health and Social Care - The Northern Ireland Medical and Dental Training Agency (Establishment and Constitution) Order (Northern Ireland) 2011

Annex 2 – Illustrative Annual Engagement Plan

Good engagement is one of the key principles in the Partnership Code, underpinning the other principles of: Leadership; Purpose; Assurance; and Value.

As laid out in the Code, partnerships work well when relationships between departments and ALBs are open, transparent, honest, constructive and based on trust and when there is mutual understanding of each other’s objectives and clear expectations about the terms of engagement.

The template provided outlines the key areas of engagement between Departments and ALBs. The template is not intended to be prescriptive and should be completed collaboratively and agreed between the Department and the ALB.

Engagement Plan 2024/25		
Policy Development and Delivery		
<i>Add details of the planned engagement between the ALB and the Department in relation to development and monitoring of existing and new areas of policy.</i>		
Policy Area	Frequency/Timing	Lead DoH/NIMDTA Officials
Relevant DoH Policy	As required	DoH Policy Leads
Strategic Planning		
Activity	Date	Lead DoH/NIMDTA Official
ALB Strategic Planning Workshops – encompassing strategic planning and risk identification. Informed by input on departmental priorities/plans and risk areas	Sufficiently well in advance of the Business Year to inform development of the Business Plan for the year ahead	DoH Policy Leads NIMDTA Chief Executive and Senior GITFM
Engagement on the draft Business Plan and identification of areas of strategic interest to the Department to inform further scheduled engagement during the year	As required	NIMDTA Chief Executive and Senior GITFM

Submission/presentation of the ALB Business Plan	February each year	NIMDTA Chief Executive
Approval of the ALB Business Plan	March each year	DoH Policy Leads NIMDTA Chief Executive
Engagement on areas of strategic interest in respect of the ALB Business Plan during the year	January each year	DoH Policy Leads NIMDTA Chief Executive
Board Appointments		
<i>Add details of any engagement related to Public Appointment exercises</i>		
Activity	Date	Lead DoH/NIMDTA Official
Public Appointments, new appointments, reappointment, or extension activity	Annual Workplan / as required	DoH Head of Public Appointments DoH Head of Sponsor Branch
Succession Planning	Annually	DoH Head of Public Appointments
Completion of Skills Audits for Non-Executive Directors	As required	NIMDTA Chair DoH Head of Public Appointments DoH Head of Sponsor Branch
Completion of Skills Audits for Non-Executive Director Chairs	As required	DoH Head of Public Appointments DoH Head of Sponsor Branch NIMDTA Outgoing Chair NIMDTA Chief Executive
Chief Executive Recruitment		
<i>Add details of any engagement related to the recruitment of a new Chief Executive (if anticipated during the year ahead). ALBs should engage with the Department at an early stage in the event of the recruitment of a new Chief Executive. While recognising the role of the Board as employer, the Department will work closely with the ALB in the recruitment and selection process in line with extant guidance.</i>		
Activity	Date	Lead DoH/NIMDTA Official
Approval to recruit to posts in Senior Executive grades (including Chief Executive)	In advance of proposed recruitment	DoH Director of Workforce Policy
Chief Executive acknowledges, in writing, receipt of a formal letter of designation as Accounting Officer defining the role and responsibilities of this position	As required	NIMDTA Chief Executive DoH Head of Sponsor Branch
Chief Executive has, within six months and preferably within three months of appointment,	Between 3 and 6 months of appointment	NIMDTA Chief Executive DoH Head of Sponsor Branch

attended an accounting officer training course run by Chief Executives Forum		
Refresher Accounting Officer Training is undertaken at least every six years	Every 6 years	NIMDTA Chief Executive DoH Head of Sponsor Branch
Assurances <i>Add details of the timetable for submission of key assurance sources and any other assurance related activity</i>		
Action	Date	Lead DoH/NIMDTA Official
Outcome of the Review of Board Effectiveness	Annual review with an externally facilitated review at least once every three years	NIMDTA Chair
Planning for the externally facilitated review of Board Effectiveness	Externally facilitated review at least once every three years	NIMDTA Chair
Board Appraisals and planned training/development for Board members	Following the end of the Business year.	NIMDTA Chair DoH Director of Public Appointments DCMO DCDO
Chair Appraisal	Following the end of the Business year. After Board Appraisals have been completed by the Chair and the annual Review of Board Effectiveness has concluded	DoH Director of Public Appointments DoH EBM Sponsor DoH Permanent Secretary
Departmental Attendance at ARAC	Attendance as observer 1xpa	DoH Head of Sponsor Branch
Assurance Statement	Bi-annual mid and end year	NIMDTA Chief Executive / Senior GITF Manager DoH Head of Sponsor Branch DoH Head of ALB Governance
Draft Governance Statement	Annual - end year	NIMDTA Chief Executive / Senior GITF Manager DoH EBM Sponsor DoH Head of Sponsor Branch DoH Head of ALB Governance

Annual Report and Accounts	Annual	NIMDTA Chief Executive DoH Director of Finance
Report to those Charged with Governance	Bi-annual	NIMDTA Chief Executive
Engagement on other planned NIAO reports	As required	NIMDTA Chief Executive
Head of Internal Audit Annual report/Opinion	Annual	NIMDTA Chief Executive
Internal Audit Strategy and Plans	Annual	NIMDTA Chief Executive
Internal Audit External Quality Assessment	To be conducted at least once every five years	NIMDTA Chief Executive
Ground Clearing Meetings	Bi-Annual	DoH EBM Sponsor DCMO DCDO NIMDTA Chief Executive NIMDTA Relevant Senior Officers
Accountability Meetings	Mid and end year	DoH Permanent Secretary DoH EBM Sponsor NIMDTA Chair NIMDTA Chief Executive
Internal Audit reports with less than satisfactory assurance	Once - for consideration/ comment/ approval (where noted)	NIMDTA Chief Executive / Relevant Senior Officer(s) DoH Policy Leads DoH Head of Sponsor Branch
Fraud return	Annually - for consideration/ comment/ approval (where noted)	NIMDTA Chief Executive / Relevant Senior Officer DoH Finance Director
Annual Report, with the draft submitted to the Department two weeks before the publication date (<i>detailed timetable for the annual accounts, SIC etc is set by Finance Directorate</i>)	Annually - For information	NIMDTA Chief Executive / Senior GIF Manager DoH Finance Director
Anti-Fraud Policy	Once, and then when revised - for information	NIMDTA Chief Executive / Senior Business Manager DoH Finance Director DoH Head of Sponsor Branch

Assurance Framework	Annually - For information	NIMDTA Chief Executive / Senior GITF Manager DoH Head of Sponsor Branch
Audit Committee papers (including draft minutes) for each meeting as and when issued to Committee members)	Monthly - For information	NIMDTA Senior GITF Manager DoH Head of Sponsor Branch
Audit Committee Terms of Reference	Once, and then when revised - for information	NIMDTA Senior GITFM DoH Head of Sponsor Branch
Audit Strategy	Once, and then when revised - for information	NIMDTA Chief Executive / Senior Business Manager / Senior GITF Manager DoH Head of Sponsor Branch
Board meeting papers (including draft minutes) for each meeting as and when issued to Council members)	Quarterly - For information	NIMDTA Senior GITF Manager DoH Head of Sponsor Branch
Business Continuity plan	Annually - For information	NIMDTA Chief Executive / Senior GITF Manager DoH Head of Sponsor Branch
Code of Conduct for board members	Once, and then when revised - for information	NIMDTA Chief Executive / Senior GITF Manager DoH Head of Sponsor Branch
Code of Practice for staff	Once, and then when revised - for information	NIMDTA Chief Executive / Senior GITF Manager DoH Head of Sponsor Branch
Complaints procedure	Once, and then when revised - for information	NIMDTA Chief Executive / Senior GITF Manager DoH Head of Sponsor Branch
Corporate Plan (including the Business Plan), must be produced for Departmental approval	Annually - for consideration/ comment/ approval (where noted)	NIMDTA Chief Executive / Senior GITF Manager DoH Head of Sponsor Branch
Corporate Risk Register	Bi-annual - for consideration/ comment/ approval (where noted)	NIMDTA Chief Executive / Senior GITF Manager DoH Head of Sponsor Branch
Equality scheme	Once, and then when revised - for information	NIMDTA Chief Executive / Senior Professional Support Manager DoH Head of Sponsor Branch

Fraud Response Plan	Once, and then when revised - for information	NIMDTA Chief Executive / Senior Business Manager DoH Finance Director
Grievance and Disciplinary procedures	Once, and then when revised - for information	NIMDTA Chief Executive DoH Head of Sponsor Branch
Head of Internal Audit's end-of-year and mid-year opinions on risk management, control and governance	Annually - for consideration/ comment/ approval (where noted)	NIMDTA Chief Executive / Senior Business Manager / Senior GITF Manager DoH Head of Sponsor Branch
Internal Audit Progress Report	Annually - for consideration/ comment/ approval (where noted)	NIMDTA Chief Executive / Senior Business Manager / Senior GITF Manager DoH Head of Sponsor Branch
Internal Audit work-plan	Annually - for consideration/ comment/ approval (where noted)	NIMDTA Chief Executive / Senior Business Manager / Senior GITF Manager DoH Head of Sponsor Branch
Mid-year Assurance Statement (by end-October each year)	Annually - for consideration/ comment/ approval (where noted)	NIMDTA Chief Executive / Senior GITF Manager DoH Head of Sponsor Branch
NIAO management letters	Once - for consideration/ comment/ approval (where noted)	NIMDTA Chief Executive / Senior Business Manager DoH Head of Sponsor Branch
Publication scheme	Once, and then when revised - for information	NIMDTA Chief Executive / Senior GITF Manager DoH Head of Sponsor Branch
Register of board members' interests	Annually - For information	NIMDTA Chief Executive / Senior GITF Manager DoH Head of Sponsor Branch
Report on quarterly assessment of progress being made in the delivery of the Corporate/Business Plan's aims and objectives	Quarterly - for consideration/ comment/ approval (where noted)	NIMDTA Chief Executive / Senior GITF Manager DoH Head of Sponsor Branch
Whistle-blowing procedures	Once, and then when revised - for information	NIMDTA Chief Executive / Senior GITF Manager DoH Head of Corporate Governance Unit DoH Head of Sponsor Branch

Budget Management

Add details of the information and returns to be provided.

Item and Purpose	Date	Lead DoH/NIMDTA Official
Monthly Financial Management Returns	Monthly	NIMDTA Chief Executive / Senior Business Manager
Monthly Cash Forecast	Monthly	BSO Finance
Monitoring Round Returns	As required	NIMDTA Chief Executive / Senior Business Manager
Provisional Outturn	Annual/As required	BSO Finance
Final Outturn	Annual/As required	BSO Finance
DoF Commissioned Monitoring Rounds	June, October, and January (work commences the previous month)	DoH Head of Financial Management Unit / ALB
Business cases outside APB delegated limits or falling within the definition of Novel, Contentious or repercussive	Ad hoc	DoH Head of Finance Policy and Accountability / ALBs
Write off outside delegated limits or which could be considered Novel, Contentious or repercussive	Ad hoc	DoH Head of Finance Policy and Accountability Unit / ALBs
Clinical Negligence claims, EL/OL Claims outside delegated limits or which could be considered Novel, Contentious or repercussive	Ad hoc	DoH Head of Finance Policy and Accountability Unit / ALBs
Test Drilling samples	Interim - November and Final – March	DoH Head of Finance Policy and Accountability Unit / ALBs
FAU circulars and memos in relation to Year – End Accounts production*	Year – End (March)	DoH Head of Financial Accounting Unit / All ALBs
Circulars – FD letters*	Ad hoc	DoH Head of Financial Accounting Unit / All ALBs
Capital Spend Returns	Monthly	DoH Head of Capital Resources Unit / All ALBs

Capital Resource Limits (CRL) Returns	Ad hoc	DoH Head of Capital Resources Unit / All ALBs
ISNI Delivery Tracking System Updates	Monthly	DoH Head of Capital Resources Unit / All ALBs
Disposals	Bi-annually	DoH Head of Capital Resources Unit / All ALBs
General Capital Outturn	Annually	DoH Head of Capital Resources Unit / All ALBs
Capital Budget Exercises/10 Year Plan	Ad hoc	DoH Head of Capital Resources Unit / All ALBs
Other		
<i>Tailor as required to reflect the specific requirements</i>		
Item and Purpose	Submission Date	Lead DoH/NIMDTA Official
Accounting Officer - Fitness to Act as Accounting Officer	Annual request from the departmental Accounting Officer	DoH Director of ALB Governance Unit DoH Head of Sponsor Branch
Fraud Reporting	Immediate reporting of all frauds (proven or suspected including attempted fraud	NIMDTA Senior Business Manager DoH Finance Director
Preparation of business cases – departments and ALBs to consider working together to share expertise where appropriate.	Ad hoc	DoH Director of Estates NIMDTA Chief Executive / Senior Business Manager
Whistleblowing cases/ Speaking Up/Raising Concerns.	Ad hoc	DoH Head of Corporate Governance Unit NIMDTA Chief Executive / Senior GIFF Manager

Annex 3 - Delegations

Delegated authorities

NIMDTA shall obtain the DoH's prior written approval before:

- entering into any undertaking to incur any expenditure that falls outside the delegations or which is not provided for in the ALB's annual budget as approved by the Department;
- incurring expenditure for any purpose that is or might be considered novel or contentious, or which has or could have significant future cost implications;
- making any significant change in the scale of operation or funding of any initiative or particular scheme previously approved by the Department;
- making any change of policy or practice which has wider financial implications that might prove repercussive or which might significantly affect the future level of resources required; or
- carrying out policies that go against the principles, rules, guidance and advice in Managing Public Money Northern Ireland.

NIMDTA's Specific Delegated Authorities

Area of Delegation	HSC/NIFRS/DOH Directorates Delegated Limit	DoH Delegated Limit
Use of External Consultants	HSC Bodies & NIFRS- £10,000 (Ministerial Approval required)***	Fully delegated – (Ministerial Approval required)***
Capital Expenditure (excluding hospital schemes)	SPPG, NIMDTA, NIAS & HSC Trusts - £5,000,000	£5,000,000
	BSO £250,000	
	PHA - £50,000	
	PHA R&D - £1,500,000	

Area of Delegation	HSC/NIFRS/DOH Directorates Delegated Limit	DoH Delegated Limit
	NIBTS - £200,000 Other HSC Bodies - £10,000 NIFRS - £5,000,000	
Hospital Schemes – New Build, Extension, Refurbishment and Equipment involving capital expenditure	SPPG, NIAS & HSC Trusts - £10,000,000 BSO - £250,000 PHA - £50,000 NIBTS - £200,000 Other HSC Bodies - £10,000	£10,000,000
IT Projects (Total project cost, i.e. capital plus revenue)****	DHCNI £5,000,000 SPPG; 5 HSC Trusts; NIAS; BSO; PHA £250,000 NIBTS - £200,000 NIMDTA - £50,000 Other HSC Bodies - £50,000 NIFRS - £1,500,000	£5,000,000
Gifts- Any gift(s) to any individual or entity where the value of the gift(s) exceeds £250 Any collective gift(s) to any range of individuals or entities, where the value of the gift(s) to any one individual exceeds £250 or when the value of the collective gift(s) exceeds £5,000	Individual - £250 Collective £5,000	Individual - £250 Collective £5,000
Losses – write-off of cash losses and cash equivalents, bookkeeping losses, exchange rate fluctuations, fruitless payments and constructive losses, property in stores or in use due to any deliberate act	HSC Bodies £30,000 NIFRS - £3,000	DoH has full delegated authority
Losses - The write off of losses relating to social security benefits, grants, subsidies arising from miscalculation, misinterpretation or missing information The failure to make adequate charges for use of public property or services or loans	All HSC Bodies and NIFRS - Nil**	Nil**

Area of Delegation	HSC/NIFRS/DOH Directorates Delegated Limit	DoH Delegated Limit
The write off of losses relating to pay, allowances, superannuation benefits where losses have arisen due to causes such as non-disclosure by beneficiary/fraud.		
Losses - Waived of Abandoned claims	HSC Bodies £10,000 NIFRS - £1,000	£100,000
Special payments / Ex-Gratia Payments	All HSC Bodies - £10,000 NIFRS - £1,000	£100,000
Overpayments - Foregoing the recoupment of overpayments of pay, pensions and allowances	All HSC Bodies and NIFRS - £1,000 (pay & allowances) £1,000 (pensions)	£20,000
Overpayments - Foregoing the recoupment of overpayments of grants	All HSC Bodies and NIFRS - Nil**	Nil**
Special severance payments	All HSC Bodies and NIFRS - Nil**	Nil**
Ex-Gratia Financial Remedy Payments (i.e. those made to complainants through an organisation's internal complaints procedures/processes)	All HSC Bodies and NIFRS - £500	£500
Ex-Gratia Payments to be made as a result of a recommendation from the NI Public Services Ombudsman	All HSC Bodies - £10,000 NIFRS - £1,000	£50,000
Compensation payments for Clinical Negligence (to include interim payments if overall settlement is expected to exceed delegated limits) To include agreement of Periodic Payment Orders (PPOs)	HSC Bodies £5,000,000 NIFRS n/a	DoH has full delegated authority
Compensation payments following legal advice (This would include all personal injury and public liability claims)	HSC Bodies - £100,000 NIFRS - £1,000	£100,000
Compensation payments without legal advice	All HSC Bodies and NIFRS - Nil	£10,000
Extra-Statutory and Extra-Regulatory payments	All HSC Bodies and NIFRS - Nil	£100,000
Confidentiality Agreements	Nil**	Nil**

Area of Delegation	HSC/NIFRS/DOH Directorates Delegated Limit	DoH Delegated Limit
Grants: Revenue Capital	All HSC Bodies and NIFRS £750k per annum £750k in total	£750k per annum £750k in total
Leases for office accommodation/ warehousing / storage – both new and existing extension or renewal beyond break points. Excluding offices outside Northern Ireland.	- All HSC Bodies and NIFRS Nil**	Nil**
Pay remits	All HSC Bodies and NIFRS Nil*	As per FD Letter-Pay remit approval process and guidance
Revenue Business cases	NIFRS - £250,000 All other HSC Bodies – fully delegated DoH Directorates £20,000,000	DoH has full delegated authority
Foreign Currency – Any proposals to negotiate contracts in foreign currencies other than euro, yen or dollar exceeding £2m	£2,000,000	£2,000,000
EU – All expenditure over £5m under the EU Programmes for which the Special EU Programmes Body is responsible	£5,000,000	£5,000,000

* Prior DoH approval required in all cases

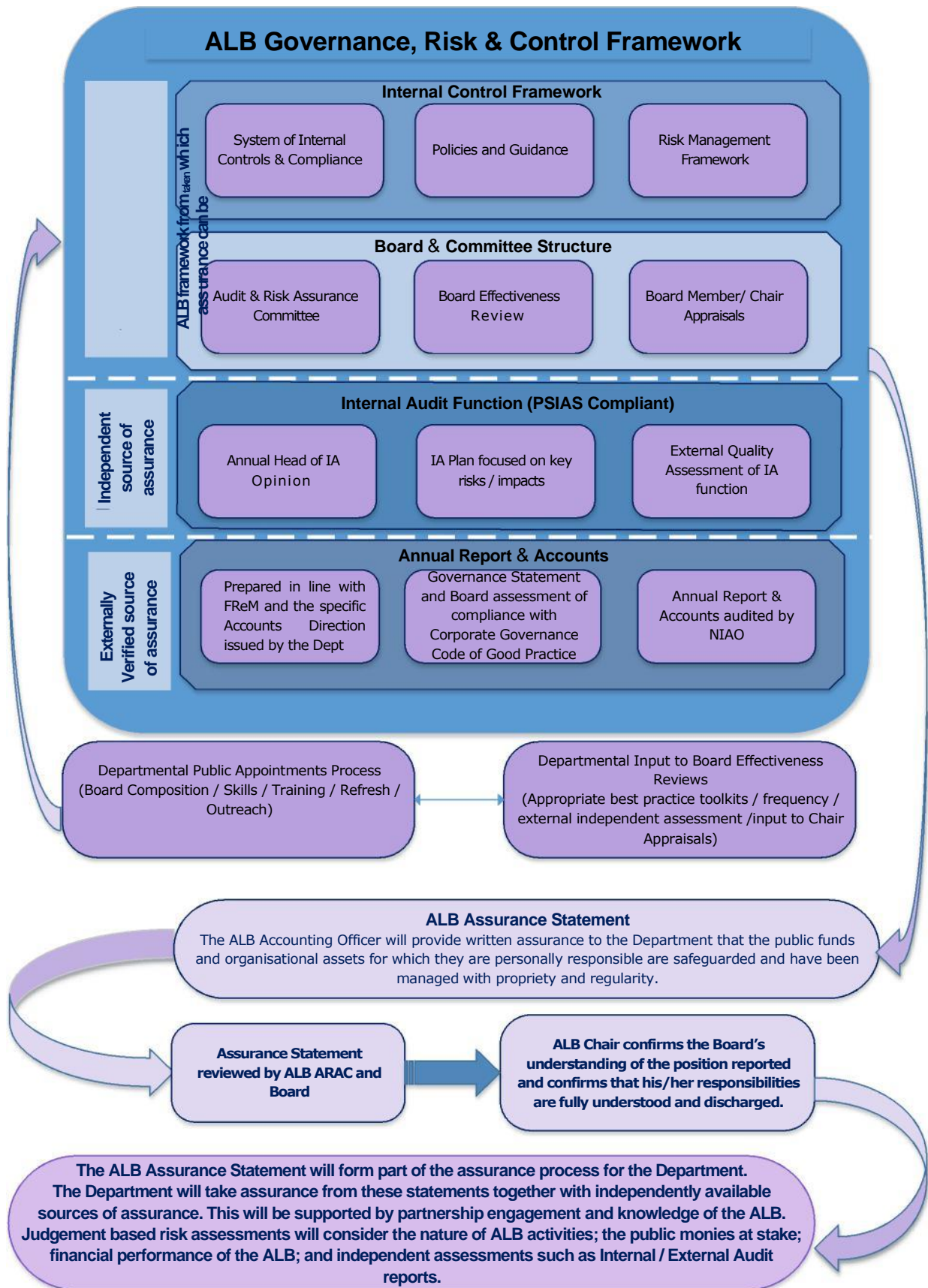
** Prior DoH and DoF approval required in all cases

*** All external consultancy business cases, regardless of value, must be submitted to FPAU prior to the commencement of an appointment process for any consultant. Where the expected value of external consultancy is £10k or more the business case requires DoH Ministerial approval.

****Please see section 9.4 of the [DoH User Guide](#) for advice on the governance arrangements for all IT-related expenditures

These delegations shall not be altered without the prior agreement of the department and, where applicable, DoF.

Annex 4 – Illustrative System of Assurance



Annex 5 – Concerns/Complaints in respect of Board members

In line with the NI Code of Good Practice and the arrangements in this Partnership Agreement the approach to concerns/complaints raised in respect of NIMDTA Board members should be transparent and collaborative. The principle of early and open engagement is important, with the DoH made aware of any concerns/complaints as soon as practicable.

While Board Members are Public Appointees/office holders rather than NIMDTA employees a NIMDTA employee may utilise NIMDTA's grievance procedure to raise a complaint against a Board member. The NIMDTA employee raising the grievance should expect this to be handled in line with NIMDTA's HR procedures.

Concerns/complaints might also be raised through:

- Raising Concerns/Whistleblowing arrangements;
- Complaints processes;
- Directly with NIMDTA or the DoH.

Where a concern/complaint is received within NIMDTA in respect of an individual Board Member this should be provided to the NIMDTA Chair and Chief Executive who should notify the DoH at the outset in order that lead responsibility for handling the complaint/concern is clear in advance.

Where a concern/complaint relates to the NIMDTA Chair, NIMDTA should notify the DoH at the outset for the DoH to determine the approach to handling the complaint/concern.

Differences of view in relation to matters which fall within the Board's responsibilities are a matter for the Board to resolve through consensus based decision making in the best interests of the NIMDTA.

Exceptionally a concern/complaint may be raised by a Board Member about a fellow Board Member or a senior member of NIMDTA staff. The NIMDTA Chair should notify the DoH at the outset to ensure that arrangements for handling the

concern/complaint are clear. The DoH may determine that it should make arrangements to deal with the concern/complaint. This will be agreed at the outset.

Arrangements for concerns/complaints in respect of Board members should be reflected in all relevant procedures, including Standing Orders and Board Operating Frameworks.

Annex 6 - Applicable Guidance

The following guidance is applicable to NIMDTA

Guidance issued by the Department of Finance

- Managing Public Money NI
- Public Bodies – A Guide for NI Departments
- Corporate Governance in central government departments – code of good practice
- DoF Risk Management Framework
- HMT Orange Book
- The Audit and Risk Assurance Committee Handbook
- Public Sector Internal Audit Standards
- Accounting Officer Handbook – HMT Regularity, Propriety and Value for Money
- Better Business Cases NI (Formerly The NI Guide to Expenditure Appraisal and Evaluation)
- Dear Accounting Officer Letters
- Dear Finance Director Letters
- Dear Consolidation Officer and Dear Consolidation Manager Letters
- The Consolidation Officer Letter of Appointment
- Government Financial Reporting Manual (FReM)
- Guidance for preparation and publication of annual report and accounts
- Procurement Guidance

Other Guidance and Best Practice

- Specific guidance issued by the Department
- EU Delegations
- Recommendations made by the NI Audit Office/NI Assembly Public Accounts Committee
- NIAO Good Practice Guides
- Guidance issued by the Executive's Asset Management Unit
- NI Public Services Ombudsman guidance

Annex 7 – Role of the Minister

Role of the Minister

The Chair of NIMDTA is responsible to the Minister. Communication between the Board and the Minister should normally be through the Chair.

The DoH Accounting Officer is responsible for advising the relevant Minister on a number of issues including the NIMDTA objectives and targets, budgets and performance.

In addition to being answerable to the Assembly as laid out in paragraph 2.4, the Minister is also responsible for:

- Setting the strategic direction and overall policies and priorities for the NIMDTA as reflected in the PfG;
- Approving the NIMDTA's Business Plan;
- Setting the NIMDTA's budget; and
- Appointment of non-executive board members. The Minister may also be involved in considering the size and composition of the NIMDTA Board – see para 15.3.

Annex 8 – Partnerships between Departments and Arm’s Length Bodies: NI Code of Good Practice

NI Code of Good Practice

Partnerships
between Department