		Type: Policy	Document reference: 2175	Manual Classification: Delegations of Authority	
Title: Delegations of Authority			Effective date: 01 October 2014		
Facilitator <small>sign/date</small>	Process authorised <small>sign/date</small>	Sponsor authorised <small>sign/date</small>		Version:	Page:
<i>Fiona McCarthy</i> General Manager HR	<i>Mo Neville</i> Assistant Group Manager Quality and Patient Safety	<i>Nigel Murray</i> Chief Executive Officer		04	1 of 41
				Document expiry date: 01 February 2018	

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1. Purpose and Scope

On 1 January 2001, Health Waikato Limited was succeeded by the Waikato District Health Board (Waikato DHB), a publicly-owned health and disability statutory corporation established by section 19 of the New Zealand Public Health and Disability Act 2000 (the Act). Under clause 39 (1) of Schedule 3 of the Act the board is required to formulate a policy for the exercise of its powers of delegation.

This policy has been formulated by the Board as its policy for the exercise of its powers of delegation under the Act and replaces any previous delegation policies of the Board. Every exercise by the Board of a power of delegation must comply with this policy.


2. Policy

- **This policy and any subsequent variations or changes must be approved by the Waikato DHB (the Board) and the Minister of Health**
- **All decisions made by the Board or staff holding properly delegated authority must comply with this policy**
- **Every delegation of any function, duty or power of the Board must be in writing.**
- **All staff with delegations must accept their standing delegations in writing and by signing the delegation document (as per Appendix C).**
- **Any sub delegation must be confirmed in writing by a person holding the proper authority to sub delegate.**
- **Any person who considers that they have or will have a conflict of interest with Waikato DHB in the exercise of any delegation must immediately disclose such conflict to their manager.**
- **Delegation of a function, duty or power is revocable and do not prevent the Board from performing the function or duty or exercising the power.**
- **All managers have an obligation to ensure that staff do not make decisions beyond the scope of their delegated authority.**
- **Staff shall have their levels of delegation noted in their position descriptions.**

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Preface

This Policy, contains the following parts:

- The Policy statement, processes and associated information as approved by the Minister of Health, in accordance with the Act.
- A summary of Delegation Levels 1 to 7 (Appendix B)
- Detailed standing delegations for Levels 1-7 and the notification to be given to staff on commencement (Appendix C).

1. Objectives

The objectives of this Policy are to:

- promote and maintain the highest service and ethical standards in the contractual relationships between the Waikato DHB and all external organisations;
- protect the Waikato DHB from loss or damage as a result of mis-management, financial failure, default, improper dealings or undue influence by other parties;
- ensure that decisions made by the Board, and directives issued in the name of the Board, are properly implemented, and that decisions made and instructions issued by the Chief Executive Officer (CEO) or Senior Management and instructions issued by them are properly actioned;
- clarify the level of delegated authority that a position has
- protect staff from becoming involved in conflicts of interest situations detrimental to the Waikato DHB, or themselves, individually or as staff members; and to
- ensure staff observe the highest levels of propriety, fairness and equity in their dealings with contractors, suppliers, customers, providers and other staff members.


Guidance for Staff and Managers

All staff delegations are contained in Appendix C. For delegation levels 2-7 staff should be provided with a copy of the appropriate standing delegation level notification on commencement (contained in Appendix C). The notification in Appendix C should be reviewed, any sub delegations hand written on the notification, the notification signed and a copy held by the staff member and manager. The original is retained on the employee's file. A staff member's delegation level will be outlined on their position description.

All staff, especially those who are unfamiliar with the contents of this Policy, need to read and understand the Policy itself before exercising the delegations shown in the schedules. If there is any uncertainty as to how any delegation is to be exercised, then the staff member must refer the matter to their manager for guidance before proceeding to exercise the delegation. Where there are any contradictions in the standing delegations compared to other Waikato DHB policies, the Delegations of Authority Policy will take precedence.

Changes

Any changes made, to this policy while in effect, shall be approved by the Waikato DHB Board and approved by the Minister of Health

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2. Review of Policy

This Policy must be reviewed after each triennial district health board election.

No delegation made prior to any review of this Policy is invalidated by such review and every delegation shall remain in force until such time as it is revoked

3. Resolution to Precede Written Notice of Delegation

Every written notice, pursuant to clause 39 of Schedule 3 of the Act, delegating a function, duty or power by the Board, shall be preceded by a resolution to that effect. To be effective, such resolution shall not require all delegates and the terms of their delegations to be recorded in the minutes of the Board. It shall be sufficient if the resolution refers to a named and dated schedule of delegations that is available for subsequent perusal in its adopted form.

4. Giving Written Notice of Delegation

Any written notice by the Board delegating a function, duty or power to any person or class of persons that is formally agreed by the Board, will be conveyed to the delegate on behalf of the Board by the Delegations Administrator.

5. Coming into Force of Delegations

A delegation comes into force on the date set out in the instrument of delegation by the Board.

6. Revocation of Delegations

A delegation shall be revoked in the following circumstances:


- At the expiry of the delegation instrument, or
- When the delegation is revoked by the Board before its expiry date.

7. Change in Membership of Committee

A delegation to a committee shall not be revoked or be deemed to have been revoked only because of a change to the membership of the committee.

8. Change to Position Description of Delegate

As long as the relevant function, duty or power remains the responsibility of a position, a delegation shall not be revoked or deemed to have been revoked only because the position description is in some other way modified through either formal amendment or informal agreement - in such cases, any changes to delegation levels will be noted in the position description.

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9. Powers, Duties and Functions Retained by the Board

Waikato DHB operates in accordance with the principles of good governance. This means that irrespective of delegations properly made there will be occasions when a matter should be referred to the Board that might otherwise be dealt with under delegated authority. The following clauses refer to the functions, duties and powers the Board wishes to retain and the situations in which a matter otherwise delegated may be referred to the Board.

The Board shall make all decisions in respect of major expenditure as follows:

- revenue and funding contracts above the financial limitation delegated to the CEO;
- capital expenditure above the financial limitation delegated to the CEO;
- expenditure for major maintenance above the financial limitation delegated to the CEO;
- financial delegations above the financial limitation delegated to the CEO and
- property matters above the financial limitation delegated to the CEO.

The Board shall make all decisions on the following:

- all new ventures and changes of policy or practice that are likely to significantly affect outputs or change access to a service.
- any proposal that might attract significant adverse publicity or can with reasonable foresight be predicted to result in legal action of material consequence being taken against Waikato DHB;
- ensure that any matter that requires Ministerial approval, including those described in section 24 (co-operative agreements and arrangements) and section 28 (shares in bodies corporate or interests in associations) and the giving of a notice under section 88 (notice of terms and conditions of payments) of the Act shall only be made in accordance to the procedures and requirements of the legislation.

The Board shall not delegate to the CEO:

- any function, duty or power of the Board which the Board has specifically indicated it wishes to exercise itself; or
- any function, duty or power delegated to a committee of the Board pursuant to clause 39(4) of Schedule 3 of the Act (Committee delegations).


10. Principles

Under this Policy the only persons/bodies to whom functions, duties or powers shall be delegated to shall be:

- a committee or member of the Board,
- a staff member of the Waikato DHB, or
- an individual or class of persons approved by the Minister of Health under clause 39(5) of Schedule 3 to the Act.

Individuals in a 'contract for service' relationship with Waikato DHB may be given a delegated authority level by a Level 3 manager. Such delegated level will relate to an appropriate level as per Appendix C."

A Waikato DHB staff member shall not commit Waikato DHB to any obligation or incur any liability included in this Policy unless:

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- they are one of the staff authorised to do so in accordance with the actual delegation, or
- they have the required authority properly sub-delegated to them by a person so authorised as per this policy

A person who holds a delegated authority shall not sub-delegate the authority except in accordance with the provisions of the delegation of authority policy or with the written consent of the Board (Appendix B and C - clause 40(1)(b) of Schedule 3 of the Act).

Position descriptions shall specify the delegation level applicable to the position.

All delegates shall be held accountable for their actions in exercising their delegations. If an employee is unclear of their delegation, they should check with their line manager.

All delegated authorities are exercised on the Board's behalf and shall be exercised in accordance with other relevant policies and procedures set by the Board from time to time.

Authorised delegates shall familiarise themselves with and follow any policies, standard procedures, protocol and guidelines and departmental processes.

When the function is available, delegation levels shall also be recorded in the Human Resource Management Information System (HRMIS).


No individual may approve time sheets, leave, any business expenses or benefits which relate to that individual or which result in personal gain to the approving individual.

Employees to whom the Board directly delegates authority to enter into commitments on behalf of the Waikato DHB shall operate their service within their approved annual responsibility centre (RC) budget or approved project budget.

11. Delegation to CEO

In accordance with section 26(3) of the Act, the Board shall delegate to the CEO the power to make decisions on management matters relating to the organisation on such terms and conditions, as the Board thinks fit. The delegation may include the following areas of responsibility subject to any conditions or financial limits outlined in delegation level 2:

- human resources;
- contracts;
- capital expenditure;
- finance;
- property and infrastructure;
- legal and audit matters;
- administration matters;
- supplies and services; and
- research;

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12. Conditions

Delegations shall be limited to the categories and scope shown in the notification of delegation, so that:

- any proposed action that exceeds the delegated authority upper limits specified in the notification of delegation shall require the specific approval of a higher authorised level, where such action is within their limit; and
- prior to making a commitment on behalf of the Board in areas not specified in the notification of delegation, staff members shall obtain the concurrence of a Line Manager able to make such a commitment in terms of their delegation. Should there be any doubt as to authority to make the commitment; the matter shall be referred to the CEO for action.

Other than in an emergency situation, staff shall only use their delegated authority within their own area of responsibility. In a hospital or DHB emergency situation (ie a CIMS) the incident controller is deemed to have the necessary delegations to enable cross service emergency responses.

13. Sub-delegations

The authority to sub delegate is noted in the standing delegations (Appendices B and C).

All sub-delegations shall be in writing, specifying any limits and special conditions or restrictions.


Copies shall be retained by the person authorising the sub-delegation and by the person receiving the sub-delegation.

The revocation of a sub-delegation shall be in writing.

No sub-delegation shall diminish the responsibility of the person holding a standing delegation for the way such authority is exercised.

Prior to any significant planned absence from the Board, the CEO shall make arrangements, approved by the Chair of the Board, for exercising the authorities delegated to the CEO. The CEO may put in place sub-delegations that may be exercised for a limited period, under special circumstances such as his/her unplanned absence.

Other staff with standing delegated authorities shall consider whether a temporary change to any delegated authority is necessary to enable a continuation of essential services when they are absent from the Waikato DHB. Such a temporary change must be approved by the next higher level Line Manager.

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In all other cases where an employee holding a sub-delegated authority is absent that authority shall revert to the officer from whom it was delegated unless that latter officer has specifically approved other arrangements in writing.

14. Changes in Delegations


Authorities vested in the Board shall not be altered without the Board's approval. Only the CEO shall have the authority to approve changes to the standing delegations in Appendices B and C.

15. Notices of Delegation

Notices of Delegation shall be in the form of Delegation levels and shall cover the following topics:

Human Resources
Contracts
Capital Expenditure
Finance
Property
Legal

Administration
Supplies and Services
Research

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Paragraphs 15a-23 that follow provide further detail on some of the categories listed above.

15a Delegates Responsibilities Conflict of Interest

Where a person (other than a member of the Board, or of a committee of the Board, given that such matters are covered directly by requirements around management of interests specifically related to the Board or Board committee) is to perform a function or duty, or exercise a power delegated by the Board, that person must, before performing the function or duty, or exercising the power consider whether or not he or she has (or, as the case requires, will have) on that day any conflicts of interest with Waikato DHB. If he or she has, then he or she must give to the Board a statement completed in good faith that discloses those conflicts of interest, together with any other such conflicts of interest that the person reasonably believes are likely to arise in future in connection with that particular delegation. The Board will consider and make such decisions as appropriate for the management of those interests or potential interests (clause 39(8) of Schedule 3 of the Act).


16. Human Resources

For all Human Resources matters the principle of "Once Removed" shall be followed. This means that individuals who have delegated authorities shall not use these authorities in their own case or for their own benefit or for the benefit of a person with whom they have a close personal relationship with. For example, an employee shall not approve their own (or a family member's) expenses, salary, leave etc. An Authorised Delegate above the person to whom the decision relates shall always perform this function.

The Board Chair shall approve the CEO's budgeted expenses. When the Chair is unavailable

- 1) the Deputy Chair (in the first instance) or the
- 2) Chair of the Audit & Risk Management Committee shall be authorised to approve expenses.

17. Contracts

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For the purposes of this clause contracts are agreements entered into by the Waikato DHB. The delegations referred to in this clause relate to:

1. contracts entered into by the DHB with the Ministry of Health and other funders.
2. contracts entered into with private suppliers of clinical and other related services

**It should be noted that such contracts are not contracts in law because the same legal entity is involved in two guises. The term is used for simplicity.*

Each contract shall have a designated contract manager who shall be responsible for the process and all communications. Prior to authorising any agreement, there shall be evidence that the following factors have been considered:

- Financial viability (short and medium term),
- How the proposed contract fits in with the strategic direction of Waikato DHB,
- Risks in relation to the contract (demand driven risk, publicity, etc),
- Ability to perform the requirements of the contract in relation to both the clinical and reporting aspects involved,
- Inter-relationships/impacts on other services; and
- Precedents contained within the contract.

The categories in any notice of delegation relating to clinical service contracts may include:

- Revenue Agreements and Variations
- Price volume schedules
- Demand Driven Risk Contracts
- Inter-regional, New Ventures, joint ventures and Regional Contracts
- Spot Purchase Arrangements
- Agreements with Other Organisations
- Arrangements with Sub-Contractors
- Non-Publicly Funded Patients and Invoices Outside Existing Contracts
- Clinical Training and Access to Waikato DHB's Facilities


18. Capital and Major Expenditure

All capital expenditure items are projects that create fixed assets as defined by the Financial Reporting Standards. Generally Capital Expenditure will be used to purchase fixed assets, such assets being items having an economic useful life of over one year and costing more than \$2,000 per item (excluding GST).

Capital Expenditure items are grouped as:

- Up to \$2,000
- Over \$2,000 and up to \$19,999
- Over \$20,000 and up to \$499,999
- Over \$500,000 and up to \$1million

19. Finance

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The Chief Financial Officer (CFO) is responsible to the CEO for all financial matters of the Waikato DHB.

The categories in any notice of delegation relating to finance may include:

- Debtors
- Treasury
- Borrowing
- Hedging
- Banking
- Indemnities and Guarantees
- Financial Records
- Insurance
- BPO Same Site Transfers
- BPO Transfers between Sites
- BPO Contingency
- BPO Letters of Intent & Engagement

20. Property

The categories in any notice of delegation relating to property may include:

- Acquisition and Disposal of Land and Buildings
- Internal Landlord and Tenancy Matters
- External Landlord and Tenancy Matters

All proposals for the purchase, sale, lease or other disposition of real estate shall be approved by the Board and processed through the CFO to the CEO before any external commitments are made to other parties.


21. Legal: Execution of Documents

In general, the CEO should be advised of all legal action prior to it being initiated by the person with delegated authority.

Where any decision of the organisation is required to be formalised by the execution of an agreement as a deed, that document shall be executed by two witnessed signatures of two staff who directly report to the CEO and have appropriate authorised delegation.

“Deed” for the purposes of this clause shall include deeds, leases and licences (and renewals, assignments and terminations thereof), land transfer documents, sale and purchase agreements for real estate, residential tenancy agreements and other documents so designated by the Waikato DHB Solicitor.

Other written agreements including funding, service, supply or variations to them will have one witnessed signature. Employment contracts and purchase orders will be signed by delegated staff only.

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22. Purchasing Supplies and Contracting for Non clinical Services

These delegations relate to the acquisition of all classes of supplies and services.

These delegations shall enable staff at all delegated levels to acquire the equipment, supplies and services allowed for in the approved, annual budgets of their Responsibility Centres (RCs).

Catalogue items shall be obtained using internal requisitions that require the purchasing support and inventory teams in the Purchasing and Distribution Department to obtain and deliver the required items to the requested delivery point.

Requisitions and requests for non catalogue items shall be processed in accordance with the Procurement and Contracts Policy. This may result in Requests for Proposals (RFPs), Quotes (RFQs) or Tenders (RFTs) from potential suppliers.

For critical items and those goods or services that have been the subject of a tender, providers may be contracted to supply the goods or services using the Waikato DHB's standard contracting documents facilitated by the Legal Department.

Staff shall follow the instructions in the Waikato DHB Procurement and Contracts Policy when obtaining any requirements from sources outside the Waikato DHB.

Supply and Service Categories

The categories in any notice of delegation relating to services may include:

- Approval of Commitments for Supplies and Services
- Signing of Documents for Supplies and Services
- Obtaining Supplies or Services
- Approval of Disposal of Supplies or Equipment

23. Research

Delegations relating to research shall apply to all Research Projects and Surveys.


24. Notice of Delegation

The form of any notification of delegation drafted pursuant to this Policy shall be as noted in Appendix C.

25. Delegation to Committees

Schedule 4 of the Act sets out the responsibilities of the statutory committees.

Committees may, pursuant to clause 38 of Schedule 3, be established in addition to the statutory committees.

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The Board may by notice to a committee of the Board delegate any functions, duties or powers of the Board to that Committee.

26. Statutory Delegations

The Board holds other regulatory functions, duties and powers under other statutes and specific functions, duties and powers under the New Zealand Public Health and Disability Act 2000 not falling within the previous categories mentioned above.


Such functions, duties and powers may be delegated in accordance with this policy.

The categories in any notice of delegation shall be stated with reference to the relevant statute or regulation and may include:


- Injury Prevention, Rehabilitation and Compensation Act 2001
- Health Act 1956
- Public Records Act 2005
- Charitable Trusts Act 1957
- Children, Young Persons and Their Families Act 1989
- Civil Defence Emergency Management Act 2002
- Contraception, Sterilisation and Abortion Act 1977
- Disabled Persons Community Welfare Act 1975
- Education Act 1989
- Electoral Act 1993
- Health and Disability Services (Safety) Act 2001
- Land Transport Act 1998
- Medicines Act 1981
- Mental Health Commission Act 1998
- Misuse of Drugs Act 1975
- Local Government (rating) Act 2002
- Subordinate Legislation (Confirmation and Validation) Act 1991
- Social Security Act 1964
- Tuberculosis Act 1948
- Accident Insurance (Insurer's Liability to Pay Cost of Treatment) Regulations 1999
- Cremation Regulations 1973
- Health (Burial) Regulations 1946
- Health Entitlement Card Regulations 1993
- Health (Infectious and Notifiable Diseases) Regulation 1996
- Health (Infirm and Neglected Persons) Regulations 1958
- Health (Needles and Syringes) Regulations 1998
- Health (Retention of Health Information) Regulations 1996
- Medicines Regulations 1984
- Venereal Diseases Regulations 1982
- Water Supplies Protection Regulations 1961
- NZ Public Health and Disability Act 2000
- Health Practitioners Competency Assurance Act 2003

27. Success Factors

All staff have a level of delegation noted in their position descriptions.

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Appropriate delegations are used for DHB activities
Relevant policies are referenced prior to decision making
All staff have completed a delegation notification as per Appendix C

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Appendix A

1. Definitions and levels of delegation

CEA	Collective Employment Agreement
CEO	Chief Executive Officer
CFO	Chief Financial Officer
CMA	Chief Medical Adviser
COO	Chief Operating Officer
BPO	Building Programme Office
ER Mgr	Employment Relations Manager
ERA	Employee Relations Act
GM	Group Managers (Usually direct reports to the COO)
GMHR	General Manager Human Resources
GMP & F	General Manager, Planning and Funding
HR	Human Resources
IEA	Individual Employment Agreement
PDBPO	Project Director, Building Programme Office
RC	Responsibility Centre
RMO	Resident Medical Officer
SMO	Senior Medical Officer
Standing delegations	Standing delegations of authority are those (permanent) delegations specified in this notice of delegation that have been delegated by the Board to the CEO, and further permanently delegated by the CEO. Standing delegations shall be created, changed and withdrawn only in writing. Standing delegations shall be to management levels (e.g. the specified class of persons appointed to Level 2) or to specified positions, e.g. the Chief Financial Officer ('CFO').
Sub-delegation	Sub-delegation is the ability to delegate (pass on) a standing authority, in whole or in part, to individual holders of other specified positions. Also, where permitted in accordance with the notification of delegation, a sub-delegation may be further sub-delegated. These sub-delegations may be permanent to an employee whilst holding the specified position or temporary for the duration of a specific event or period. Authority to sub-delegate is outlined in Clause 13.
Levels of	The levels of delegation detailed in the notice of delegation shall be as follows:

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Delegation

Level	Levels of Delegation *
1	Waikato DHB Board
2	CEO
3	CEO's Designated Direct Reports
4	Designated Direct Reports of Level 3 Delegates.
5	Staff Designated by Level 2 to 4 Delegates
6	Staff Designated by Level 2 to 5 Delegates
7	Staff Designated by Level 2 to 6 Delegates

** The Levels shown from 3 down are not determined by reporting lines but by nomination by the persons to whom they report. That is, a direct report to the CEO, such as the CEO's personal assistant, is not necessarily at Level 3 for the purposes of this policy.*

The Authorised Delegate when referred to in a notice of delegation is that person authorised (either by a standing delegation or sub-delegation) to exercise any delegation.

A commitment

A commitment when referred to in a notice of delegation is an obligation (usually with a financial aspect) that requires the Waikato DHB to do something or refrain from doing something. Depending on the monetary value of the commitment or the degree of risk to the Waikato DHB, the commitment shall be evidenced by varying levels of documentation ranging from a leave application form to individual employment contracts or from simple purchase orders to complex commercial contracts and deeds.

Documents


The generic term "documents" when referred to in a notice of delegation includes formal agreements, contracts, letters of intent, memoranda of understanding, and heads of agreement.

The Act

The Act refers to the New Zealand Public Health and Disability Act 2000.

A variation

A variation is a document or addendum that varies or amends an existing agreement.

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Appendix B – summary of standing delegations

Below is a high level summary of Waikato DHB's standing delegations. Please ensure you refer to the details of your delegated authority in Appendix D before exercising your delegation.

Level 7 have no delegations. Level 1 delegations are at Governance level and are expressed in Appendix C.

with HR input \$ with Finance input ^ with input from Legal + with input from Procurement
Input means that you must consult and consider advice/direction from the relevant department

		Level 1	Level 2	Level 3	Level 4	Level 5	Level 6	Level 7
Human Resources	Approve a new role		Yes	Yes	Yes – if budgeted	Yes – if budgeted	No	
	Approve replacement of an existing role		Yes	Yes	Yes	Yes	Yes	
	Approve a secondment		Yes	Yes	Yes	Yes	No	
	Approve a temp/locum vacancy		Yes	Yes	Yes	Yes	No	
	Approve outsourced personnel		Yes	Yes	Yes	Yes	No	
	Approve leave		Yes	Yes	Yes	Yes	Yes	
	Approve special paid leave and SMO CME		Yes	Yes	Yes	No	No	
	Make and sign an offer of employment		Yes	Yes	Yes	Yes	Yes	
	Vary the Individual Employment Agreement template		Yes	Yes – GMHR only	No	No	No	
	May issue first and second warnings		Yes	Yes	Yes	Yes	Yes	
	May dismiss an employee		Yes	Yes#	Yes#	Yes#	Yes#	

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		Level 1	Level 2	Level 3	Level 4	Level 5	Level 6	Level 7
	May suspend an employee		Yes#	Yes#	Yes#	Yes#	Yes#	
	Approve a redundancy		Yes#	Yes#	No	No	No	
	Approve a gratuity/lump sum payment		Yes#	Yes#	No	No	No	
	Approve expenses/allowances outside the applicable employment agreement		Yes#	Yes#	No	No	No	
	Approve a timesheet /hours of work		Yes	Yes	Yes	Yes	Yes	
	Approve a variation to hours of work or contracted FTE		Yes	Yes	Yes	Yes	Yes	
	May approve an increase in salary outside auto increments		Yes#	Yes#	No	No	No	
	May approve tertiary education fees		Yes	Yes	Yes	No	No	
Contracts	May negotiate a clinical service contract		Yes – up to \$10m	Yes	Yes	Yes, with GM approval.	No	
	May approve/sign a clinical service contract		Yes – up to \$10m	Yes	Yes	Yes, with GM approval.	No	
	May terminate a clinical service contract		Yes – up to \$10m	Yes	Yes	Yes with GM approval.	No	

Title:

Delegations of Authority

Type:


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Version:

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Authorising initials:

		Level 1	Level 2	Level 3	Level 4	Level 5	Level 6	Level 7
	May negotiate a new revenue and funding contract		Yes	Yes GMP & F/COO only	Yes – P & F Mgrs and GM only	Yes, P & F Portfolio Mgrs only. Provider arm with GM approval.	No	
	May approve/sign/extend a revenue and funding contract		Yes – up to \$10m	Yes – GM P & F/COO up to \$5m	Yes – Snr Funding and Snr Portfolio mgr up to \$1M and GMs up to \$200,000	No	No	
	May terminate a revenue and funding contract		Yes – up to \$10m	Yes – GM P & F/COO up to \$5m	Yes – Snr Funding and Snr Portfolio mgr up to \$1M and GMs up to \$200,000	No	No	
	Approve establishment of new inter-district service		Yes – services with costs up to \$10m pa	Yes, GMP & F/COO if within annual plan	No	No	No	
Capital Expenditure	May approve capital up to \$2,000		Yes	Yes	Yes	Yes	Yes – only where approved budget exists	
		Level 1	Level 2	Level 3	Level 4	Level 5	Level 6	Level 7

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	May approve capital over \$2,000 and up to \$19,999		Yes+	Yes+	Yes+	No	No	
	May approve capital over \$20,000 and under \$500,000		Yes+	Yes+ – CFO and COO only. CIO up to \$200k	No	No	No	
	May approve capital over \$500,000 and under \$1million		Yes \$+	No	No	No	No	
Finance	May approve expenditure in line with budget		Yes	Yes	Yes	Yes	Yes	
	Approve internal transfer of funds from one budget line to another		Yes	Yes	Yes	No	No	
	Raise credit notes		Yes	Yes	Yes	No	No	
	Initiate debt recovery		Yes	Yes	Yes	No	No	
	Alter provisions for doubtful debts		Yes	Yes – CFO only	No	No	No	
	Write off bad debts		Yes	Yes – CFO up to \$100,000	Yes - up to \$2,000 by invoice	No	No	
	Approve new banking arrangements		Yes	CFO only	No	No	No	
	Rollover existing borrowing or investing arrangements		Yes	CFO only	Treasurer role only (per Treasury Policy)	No	No	
		Level 1	Level 2	Level 3	Level 4	Level 5	Level 6	Level 7

Title:

Delegations of Authority

Type:


Policy

Version:


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Authorising initials:


	Borrow or invest within existing arrangements		Yes	Yes – CFO only	Yes – Finance only	Treasury Dealer roles only (per Treasury Policy)	No	
	Enter into a Guarantee or Indemnity		Yes	CFO only	No	No	No	
	Destroy financial records		No	CFO only	No	No	No	
	Acquire securities, shares or other interests		Yes, with Ministerial approval	CFO only, with Ministerial approval	No	No	No	
	Arrange new/agree variations/renewals of existing insurance policies		Yes [^]	Yes [^]	Yes [^]	No	No	
	Agree to insurance settlements		Yes [^]	Yes [^]	Yes – Legal Advisor only	No	No	
	Submit a claim for insurance		Yes	Yes	Yes	Yes	Yes	
	Enter into a Finance Lease		For assets up to lesser of \$10m or 20% of DHBs gross total assets	CFO only - For assets up to lesser of \$10m or 20% of DHBs gross total assets	No	No	No	
	Approve transfer of funds between BPO sites (same or separate sites)		Yes - \$1m	Yes – CFO only up to \$500,000	No	No	No	
		Level 1	Level 2	Level 3	Level 4	Level 5	Level 6	Level 7

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	Approve BPO contingency		Yes – 5% of specific project budget	Yes – 2% of specific project budget	No	No	No	
	Approve BPO letters of intent and engagement		Yes - to \$1m	Yes – to \$250,000	No	No	No	
Property								
	Approve maintenance costs in own RC's		Yes	Yes	Yes	Yes^	No	
	Approve disposal of land including leases over 5 years		No	No	No	No	No	
	Approve lease of land from other parties		Yes	Yes^ – CFO & COO	Yes \$ – P&I mgr only	No	No	
	Approve purchase of land		Yes	No	No	No	No	
	Approve tenancy agreements (for and from DHB)		Yes \$	Yes \$	Yes – P&I mgr only	No	No	
	Approve lease of Waikato DHB land to other parties for periods up to 5 years		Yes \$	No	No	No	No	
Legal								
	May initiate legal proceedings		Yes^# \$	Yes^# \$	Yes ^# \$ – ER Manager, Internal Auditor and Legal Advisor only	No	No	
		Level 1	Level 2	Level 3	Level 4	Level 5	Level 6	Level 7

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	May sign other legally binding documents on behalf of Waikato DHB that are not otherwise specified in this document		Yes^	Yes^	Yes^	No	No	
	May approve joint ventures		Yes^	Yes^	No	No	No	
	Sign documentation for the Registrar of Companies		Yes^	Yes _ Director of Board Governance	No	No	No	
Supplies and Services	May negotiate supplies and services		Yes+	Yes+	Yes+	Yes+	No	
	May approve/sign a contract for supplies and services		Yes+	Yes+	Yes+	Yes+	No	
	May terminate a contract for supplies and services		Yes+	Yes+	Yes+	Yes+	No	
Research	May approve research proposal/funding		Yes	Yes	Yes	No	No	
Administration	Respond to an Official Information Act request		Yes^	Yes^	Yes^	Yes^	No	
	Respond to Ombudsman Request		Yes^	Yes^	Yes^	No	No	
		Level 1	Level 2	Level 3	Level 4	Level 5	Level 6	Level 7

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	Respond to Health and Disability Commissioner requests		Yes^	Yes^	Yes^	No	No	
	Respond to complaints/compliments		Yes	Yes	Yes	Yes	Yes	
	Initiate an CIMS emergency team		Yes	Yes	Yes	Yes	No	
	Seek and approve sponsorship		Yes	No	No	No	No	
	Release information to media		Yes	Yes – via Director of Media and Comms	Yes – via Director of Media and Comms	Yes – via Director of Media and Comms	No	
	Be a media spokesperson		Yes	Yes	Yes	Yes	No	
	Approve gifts		Yes	Yes	Yes	Yes	Yes	
	Approve patient travel and accommodation		Yes	Yes	Yes	Yes	Yes	

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Appendix C – Standing delegations – Level 1 and Delegation Levels 2 to 6

Below are the standing delegations for Level 1 and Delegations levels 2 to 6. These standing delegations outline your delegation levels in detail. For delegation levels 2-6 staff should be provided with a copy of the appropriate standing delegation level notification on commencement (as per Appendix C). A staff member's delegation level will be outlined on their position description. The notification should be reviewed and any changes noted, then signed with a copy held by the staff member and manager. The original delegation notification should be held on the employee's file.

Level 1- Waikato DHB Board

The Board shall make all decisions in respect of major expenditure as follows:


- revenue and funding contracts above the financial limitation delegated to the CEO;
- capital expenditure above the financial limitation delegated to the CEO;
- expenditure for major maintenance above the financial limitation delegated to the CEO;
- financial delegations above the financial limitation delegated to the CEO;
- property matters above the financial limitation delegated to the CEO.

The Board shall make all decisions on the following:

- all new ventures and changes of policy or practice that are likely to significantly affect outputs or change access to a service.
- any proposal that might attract significant adverse publicity or can with reasonable foresight be predicted to result in legal action of material consequence being taken against Waikato DHB;
- any matter that requires Ministerial approval including those described in section 24 of the Act (co-operative agreements and arrangements) and section 28 (shares in bodies corporate or interests in associations) and the giving of a notice under section 88 (notice of terms and conditions upon which services will be funded).

The Board shall not delegate, and shall not be deemed to have delegated to the CEO:

- any function, duty or power of the Board which the Board has specifically indicated it wishes to exercise itself; or
- any function, duty or power delegated to a committee of the Board pursuant to clause 39(4) of Schedule 3 of the Act (Committee delegations).

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Delegation Level 2 – Chief Executive

with HR input \$ with Finance input ^ with input from Legal + with input from Procurement
Input means that you must consult and consider advice/direction from the relevant department

Human Resources	Approve a new role	Yes
	Approve replacement of an existing role	Yes
	Approve a secondment	Yes
	Approve a temp/locum vacancy	Yes
	Approve outsourced personnel	Yes
	Approve leave	Yes
	Approve special paid leave and SMO CME	Yes
	Make and sign an offer of employment	Yes
	Vary individual employment agreement template	Yes#
	May issue first and second warnings	Yes
	May dismiss an employee	Yes
	May suspend an employee	Yes#
	Approve a redundancy	Yes#
	Approve a gratuity/lump sum payment	Yes#
	Approve expenses outside the applicable employment agreement	Yes#
	Approve a timesheet/hours of work	Yes
	Approve a variation to hours of work or contracted FTE	Yes
May approve an increase in salary: In the range Outside the range For an IEA	Yes Yes# Yes	
May approve tertiary education fees	Yes	
<u>Special Delegation:</u> May sign a collective agreement May approve settlements	Yes Yes	
Contracts	May negotiate a clinical service contract	Up to \$10million
	May approve/sign a clinical service contract	Up to \$10million
	May terminate a clinical service contract	Up to \$10million
	May negotiate a revenue and funding contract	Yes
	May approve/sign/extend a revenue and funding contract	Yes – up to \$10million,
	May terminate a revenue and funding contract	Yes – up to \$10million,
	Approve establishment of new inter-district service	Yes – Services with costs up to \$10m
Capital Expenditure	May approve capital up to \$2,000	Yes
	May approve capital over \$2,000 and up to \$19,999	Yes+
	May approve capital over \$20,000 and up to \$499,999	Yes+
	May approve capital over \$500,000 and under \$1million	Yes \$+

Title:

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Type:

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Authorising initials:

	<u>Special Delegation:</u> May reallocate capital expenditure	Yes
Finance	May approve expenditure in line with budget	Yes
	Approve internal transfer of funds from one budget line to another	Yes
	Raise credit notes	Yes
	Initiate debt recovery	Yes
	Alter provisions for doubtful debts	Yes
	Write off bad debts	Yes
	Approve new banking arrangements	Yes
	Rollover existing borrowing or investing arrangements	Yes
	Borrow or invest within existing arrangements	Yes
	Enter into a Guarantee or Indemnity	Yes
	Destroy financial records	No
	Acquire securities, shares or other interests	Yes, with Ministerial approval
	Arrange new/agree variations/renewals of existing insurance policies	Yes [^]
	Agree to insurance settlements	Yes
	Submit a claim for insurance	Yes
	Enter into a Finance Lease	For assets up to lesser of \$10m or 20% of DHBs gross total assets
	Approve transfer of funds between BPO sites	Yes – up to \$1 million
	Approve BPO contingency	Yes – 5% of specific project budget
	Approve BPO letters of intent and engagement	Yes – up to \$1 million
Property	Approve maintenance costs in own RC's	Yes
	Approve disposal of land including leases over 5 years	No
	Approve lease of land from other parties	Yes
	Approve purchase of land	Yes
	Approve tenancy agreements (for and from DHB)	Yes\$
	Approve lease of Waikato DHB land to other parties for periods up to 5 years	Yes\$
Legal	May initiate legal proceedings	Yes [^] #\$
	May sign other legally binding documents on behalf of Waikato DHB that are not otherwise specified in this document	Yes [^]
	May approve joint ventures	Yes [^]
	Sign documentation for the Registrar of Companies	Yes [^]



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Supplies and Services	May negotiate supplies and services	Yes+
	May approve/sign a contract for supplies and services	Yes+
	May terminate a contract for supplies and services	Yes+
Research	May approve research proposal/funding	Yes
Administration	Respond to an Official Information Act request	Yes^
	Respond to Ombudsman Request	Yes^
	Respond to Health and Disability Commissioner requests	Yes^
	Respond to complaints/compliments	Yes
	Initiate an CIMS emergency team	Yes
	Seek and approve sponsorship	Yes
	Release information to media	Yes – via Director of Media and Comms
	Be a media spokesperson	Yes
	Approve gifts	Yes
	Approve patient travel and accommodation	Yes
	<u>Special Delegation</u> May approval changes to the standing delegations (clause 14)	Yes

**Approved by
Chair of the
Waikato DHB
Board**

Signature

Date _____

**Accepted by
Chief Executive**


Signature

Date _____

The above delegations are effective from the date of this policy until either the delegation is withdrawn by the standing delegation holder or the recipient is no longer employed in the position.

Delegation level 2 may subdelegate all of the above standing delegations by recording this in writing.

When exercising delegations, the employee will ensure they have familiarised themselves with the Delegations of Authority Policy, understands they will be held accountable for their actions under the policy and as needed, will reference other appropriate related accountability processes/policy, committee approvals, and other relevant agreements.

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Delegation Level 3 – CEO's Designated Direct Reports

with HR input \$ with Finance input ^ with input from Legal + with input from Procurement
Input means that you must consult and consider advice/direction from the relevant department

Human Resources	Approve a new role	Yes
	Approve replacement of an existing role	Yes
	Approve a secondment	Yes
	Approve a temp/locum vacancy	Yes
	Approve outsourced personnel	Yes
	Approve leave	Yes
	Approve special paid leave and SMO CME	Yes
	Make and sign an offer of employment	Yes
	Vary individual employment agreement template	GMHR only
	May issue first and second warnings	Yes
	May dismiss an employee	Yes#
	May suspend an employee	Yes#
	Approve a redundancy	Yes#
	Approve a gratuity/lump sum payment	Yes#
	Approve expenses outside the applicable employment agreement	GMHR only
	Approve a timesheet/hours of work	Yes
	Approve a variation to hours of work or contracted FTE	Yes
	May approve an increase in salary:	
In the range	Yes	
Outside the range	Yes#	
For an IEA	Yes#	
May approve tertiary education fees	Yes	
Contracts	May negotiate a clinical service contract	Between \$1million and \$500,000
	May approve/sign a clinical service contract	Between \$1million and \$500,000
	May terminate a clinical service contract	Between \$1million and \$500,000
	May negotiate a revenue and funding contract	GM P & F and COO
	May approve/sign/extend a revenue and funding contract	Yes – GM P & F/COO up to \$5m
	May terminate a revenue and funding contract	Yes – GM P & F /COO up to \$5m
	Approve establishment of new inter-district service	Yes, GMP&F/COO if within annual plan
Capital Expenditure	May approve capital up to \$2,000	Yes
	May approve capital over \$2,000 and up to \$19,000	Yes+
	May approve capital over \$20,000 and up to \$499,999	Yes+ – CFO and COO only. CIO to \$200k
	May approve capital over \$500,000 and under \$1million	No

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Delegations of Authority

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04

Authorising initials:

Finance	May approve expenditure in line with budget	Yes
	Approve internal transfer of funds from one budget line to another	Yes
	Raise credit notes	Yes
	Initiate debt recovery	Yes
	Alter provisions for doubtful debts	Yes – CFO only
	Write off bad debts	Yes - CFO up to \$100,000
	Approve new banking arrangements	CFO only
	Rollover existing borrowing or investing arrangements	CFO only
	Borrow or invest within existing arrangements	Yes – CFO only
	Enter into a Guarantee or Indemnity	CFO only
	Destroy financial records	CFO Only
	Acquire securities, shares or other interests	CFO only, with Ministerial approval
	Arrange new/agree variations/renewals of existing insurance policies	Yes^
	Agree to insurance settlements	Yes
	Submit a claim for insurance	Yes
	Enter into a Finance Lease	CFO only - for assets up to lesser of \$10m or 20% of DHBs gross total assets
	Approve transfer of funds between BPO sites	Yes – CFO only up to \$500,000
	Approve BPO contingency	Yes – 2% of specific project budget
Approve BPO letters of intent and engagement	Yes – up to \$250,000	
Property	Approve maintenance costs in own RC's	Yes
	Approve disposal of land including leases over 5 years	No
	Approve lease of land from other parties	Yes^ – CFO & COO
	Approve purchase of land	No
	Approve tenancy agreements (for and from DHB)	Yes\$
	Approve lease of Waikato DHB land to other parties for periods up to 5 years	No
Legal	May initiate legal proceedings	Yes^#&\$
	May sign other legally binding documents on behalf of Waikato DHB that are not otherwise specified in this document	Yes^
	May approve joint ventures	Yes^
	Sign documentation for the Registrar of Companies	Yes _ Director of Board Governance only
Supplies and Services	May negotiate supplies and services	Between \$1million and \$500,000+

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	May approve/sign a contract for supplies and services	Between \$1million and \$500,000+
	May terminate a contract for supplies and services	Between \$1million and \$500,000+
Research	May approve research proposal/funding	Yes
Administration	Respond to an Official Information Act request	Yes^
	Respond to Ombudsman Request	Yes^
	Respond to Health and Disability Commissioner requests	Yes^
	Respond to complaints/compliments	Yes
	Initiate an CIMS emergency team	Yes
	Seek and approve sponsorship	No
	Release information to media	Yes – via Director of Media and Comms
	Be a media spokesperson	Yes
	Approve gifts	Yes
	Approve patient travel and accommodation	Yes

Approved by Signature _____ Date _____
Chief Executive


Accepted by

 Signature _____ Date _____

The above delegations are effective from the date of this policy until either the delegation is withdrawn by the standing delegation holder or the recipient is no longer employed in the position shown below.

Delegation level 3 may sub-delegate all of the above standing delegations by recording this in writing.

When exercising delegations, the employee will ensure they have familiarised themselves with the Delegations of Authority Policy, understands they will be held accountable for their actions under the policy and as needed, will reference other appropriate related accountability processes/policy, committee approvals, and other relevant agreements.

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Delegation Level 4 – Designated Direct Reports of Level 3 Delegates

with HR input \$ with Finance input ^ with input from Legal + with input from Procurement
Input means that you must consult and consider advice/direction from the relevant department

Human Resources	Approve a new role	Yes – if budgeted
	Approve replacement of an existing role	Yes
	Approve a secondment	Yes
	Approve a temp/locum vacancy	Yes
	Approve outsourced personnel	Yes
	Approve leave	Yes
	Approve special paid leave and SMO CME	Yes
	Make and sign an offer of employment	Yes
	Vary individual employment agreement template	No
	May issue first and second warnings	Yes
	May dismiss an employee	Yes#
	May suspend an employee	Yes#
	Approve a redundancy	No
	Approve a gratuity/lump sum payment	No
	Approve expenses outside the applicable employment agreement	No
	Approve a timesheet/hours of work	Yes
	Approve a variation to hours of work or contracted FTE	Yes
	May approve an increase in salary: In the range Outside the range For an IEA	Yes No No
May approve tertiary education fees	Yes	
Contracts	May negotiate a clinical service contract	Up to \$500,000
	May approve/sign a clinical service contract	Up to \$500,000
	May terminate a clinical service contract	Up to \$500,000
	May negotiate a revenue and funding contract	Yes P & F Mgrs and GM only
	May approve/sign/extend a revenue and funding contract	Yes – Snr Funding and Snr Portfolio mgr up to \$1M and GMs up to \$200,000
	May terminate a revenue and funding contract	Yes – Snr Funding and Snr Portfolio mgr up to \$1M and GMs up to \$200,000
	Approve establishment of new inter-district service	No
Capital Expenditure	May approve capital up to \$2,000	Yes
	May approve capital over \$2,000 and up to \$19,999	Yes+

Title:

Delegations of Authority

Type:


Policy

Version:

04

Authorising initials:

	May approve capital over \$20,000 and up to \$499,999	No
	May approve capital over \$500,000 and under \$1million	No
Finance	May approve expenditure in line with budget	Yes
	Approve internal transfer of funds from one budget line to another	Yes
	Raise credit notes	Yes
	Initiate debt recovery	Yes
	Alter provisions for doubtful debts	No
	Write off bad debts	Yes - up to \$2,000 by invoice
	Approve new banking arrangements	No
	Rollover existing borrowing or investing arrangements	Treasurer role only (per Treasury Policy)
	Borrow or invest within existing arrangements	Yes – Finance only
	Enter into a Guarantee or Indemnity	No
	Destroy financial records	No
	Acquire securities, shares or other interests	No
	Arrange new/agree variations/renewals of existing insurance policies	Yes^
	Agree to insurance settlements	Yes – Legal Advisor only
	Submit a claim for insurance	Yes
	Enter into a Finance Lease	No
	Approve transfer of funds between BPO sites	No
	Approve BPO contingency	No
	Approve BPO letters of intent and engagement	No
Property	Approve maintenance costs in own RC's	Yes
	Approve disposal of land including leases over 5 years	No
	Approve lease of land from other parties	Yes \$ – P& I mgr only
	Approve purchase of land	No
	Approve tenancy agreements (for and from DHB)	Yes \$ – P& I mgr only
	Approve lease of Waikato DHB land to other parties for periods up to 5 years	No
Legal	May initiate legal proceedings	Yes ^#\$ ER Manager, Internal Auditor and Legal Advisor only
	May sign other legally binding documents on behalf of Waikato DHB that are not otherwise specified in this document	No
	May approve joint ventures	No
	Sign documentation for the Registrar of Companies	No
Supplies and	May negotiate supplies and services	Up to \$500,000+

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Services	May approve/sign a contract for supplies and services	Up to \$500,000+
	May terminate a contract for supplies and services	Up to \$500,000+
Research	May approve research proposal/funding	Yes
Administration	Respond to an Official Information Act request	Yes^
	Respond to Ombudsman Request	Yes^
	Respond to Health and Disability Commissioner requests	Yes^
	Respond to complaints/compliments	Yes
	Initiate an CIMS emergency team	Yes
	Seek and approve sponsorship	No
	Release information to media	Yes – via Director of Media and Comms
	Be a media spokesperson	Yes
	Approve gifts	Yes
	Approve patient travel and accommodation	Yes


Approved by
Level 3
manager Signature _____ Date _____

Accepted by
_____ Signature _____ Date _____

The above delegations are effective from the date of this policy until either the delegation is withdrawn by the standing delegation holder or the recipient is no longer employed in the position shown below.

Delegation level 4 may sub-delegate all of the above standing delegations by recording this in writing.

When exercising delegations, the employee will ensure they have familiarised themselves with the Delegations of Authority Policy, understands they will be held accountable for their actions under the policy and as needed, will reference other appropriate related accountability processes/policy, committee approvals, and other relevant agreements.

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Delegation Level 5 – Staff Designated by Level 2 to 4 Delegates

with HR input \$ with Finance input ^ with input from Legal + with input from Procurement
Input means that you must consult and consider advice/direction from the relevant department

Human Resources	Approve a new role	Yes – if budgeted
	Approve replacement of an existing role	Yes
	Approve a secondment	Yes
	Approve a temp/locum vacancy	Yes
	Approve outsourced personnel	Yes
	Approve leave	Yes
	Approve special paid leave and SMO CME	No
	Make and sign an offer of employment	Yes
	Vary individual employment agreement template	No
	May issue first and second warnings	Yes
	May dismiss an employee	Yes#
	May suspend an employee	Yes#
	Approve a redundancy	No
	Approve a gratuity/lump sum payment	No
	Approve expenses outside the applicable employment agreement	No
	Approve a timesheet/hours of work	Yes
	Approve a variation to hours of work or contracted FTE	Yes
	May approve an increase in salary: In the range Outside the range For an IEA	Yes No No
May approve tertiary education fees	No	
Contracts	May negotiate a clinical service contract	Yes, P& F Portfolio Mgrs only. Provider arm only with GM approval. Up to \$500,000
	May approve/sign a clinical service contract	Yes, P& F Portfolio Mgrs only. Provider arm only with GM approval. Up to \$500,000
	May terminate a clinical service contract	Yes, P& F Portfolio Mgrs only. Provider arm only with GM approval. Up to \$500,000
	May negotiate a revenue and funding contract	Yes, P& F Portfolio Mgrs only. Provider arm with GM approval.
	May approve/sign/extend a revenue and funding contract	No
	May terminate a revenue and funding contract Approve establishment of new inter-district service	No No

Title:

Delegations of Authority

Type:

Policy

Version:

04

Authorising initials:

Capital Expenditure	May approve capital up to \$2,000	Yes
	May approve capital over \$2,000 and up to \$19,999	No
	May approve capital over \$20,000 and up to \$499,999	No
	May approve capital over \$500,000 and under \$1million	No
Finance	May approve expenditure in line with budget	Yes
	Approve internal transfer of funds from one budget line to another	No
	Raise credit notes	No
	Initiate debt recovery	No
	Alter provisions for doubtful debts	No
	Write off bad debts	No
	Approve new banking arrangements	No
	Rollover existing borrowing or investing arrangements	No
	Borrow or invest within existing arrangements	Treasury Dealer roles Only (per Treasury Policy)
	Enter into a Guarantee or Indemnity	No
	Destroy financial records	No
	Acquire securities, shares or other interests	No
	Arrange new/agree variations/renewals of existing insurance policies	No
	Agree to insurance settlements	No
	Submit a claim for insurance	Yes
	Enter into a Finance Lease	No
	Approve transfer of funds between BPO sites	No
	Approve BPO contingency	No
Approve BPO letters of intent and engagement	No	
Property	Approve maintenance costs in own RC's	Yes^
	Approve disposal of land including leases over 5 years	No
	Approve lease of land from other parties	No
	Approve purchase of land	No
	Approve tenancy agreements (for and from DHB)	No
	Approve lease of Waikato DHB land to other parties for periods up to 5 years	No
Legal	May initiate legal proceedings	No
	May sign other legally binding documents on behalf of Waikato DHB that are not otherwise specified in this document	No
	May approve joint ventures	No
	Sign documentation for the Registrar of Companies	No



Document reference:
2175

Effective date:
1 Oct 2014

Expiry date:
1 Feb 2018

Page:
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Title:

Delegations of Authority

Type:
Policy

Version:
04

Authorising initials:

Supplies and Services	May negotiate supplies and services	Yes, P& F Portfolio Mgrs only. Other services with GM approval. Up to \$500,000+
	May approve/sign a contract for supplies and services	Yes, P& F Portfolio Mgrs only. Other services with GM approval. Up to \$500,000+
	May terminate a contract for supplies and services	Yes, P& F Portfolio Mgrs only. Other services with GM approval. Up to \$500,000+
Research	May approve research proposal/funding	No
Administration	Respond to an Official Information Act request	Yes [^]
	Respond to Ombudsman Request	No
	Respond to Health and Disability Commissioner requests	No
	Respond to complaints/compliments	Yes
	Initiate an CIMS emergency team	Yes
	Seek and approve sponsorship	No
	Release information to media	Yes – via Director of Media and Comms
	Be a media spokesperson	Yes
	Approve gifts	Yes
Approve patient travel and accommodation	Yes	

**Approved by
Level 4
manager**

Signature _____ Date _____


Accepted by


Signature _____ Date _____

The above delegations are effective from the date of this policy until either the delegation is withdrawn by the standing delegation holder or the recipient is no longer employed in the position shown below.

Delegation level 5 may sub-delegate all of the above standing delegations by recording this in writing.

When exercising delegations, the employee will ensure they have familiarised themselves with the Delegations of Authority Policy, understands they will be held accountable for their actions under the policy and as needed, will reference other appropriate related accountability processes/policy, committee approvals, and other relevant agreements.

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Delegation Level 6 – Staff Designated by Level 2 to 5 Delegates

with HR input \$ with Finance input ^ with input from Legal + with input from Procurement
Input means that you must consult and consider advice/direction from the relevant department

Human Resources	Approve a new role	No
	Approve replacement of an existing role	Yes
	Approve a secondment	No
	Approve a temp/locum vacancy	No
	Approve outsourced personnel	No
	Approve leave	Yes
	Approve special paid leave and SMO CME	No
	Make and sign an offer of employment	Yes
	Vary individual employment agreement template	No
	May issue first and second warnings	Yes
	May dismiss an employee	Yes#
	May suspend an employee	Yes#
	Approve a redundancy	No
	Approve a gratuity/lump sum payment	No
	Approve expenses outside the applicable employment agreement	No
	Approve a timesheet/hours of work	Yes
	Approve a variation to hours of work or contracted FTE	Yes
	May approve an increase in salary:	
In the range	Yes	
Outside the range	No	
For an IEA	No	
May approve tertiary education fees	No	
Contracts	May negotiate a clinical service contract	No
	May approve/sign a clinical service contract	No
	May terminate a clinical service contract	No
	May negotiate a revenue and funding contract	No
	May approve/sign/extend a revenue and funding contract	No
	May terminate a revenue and funding contract	No
	Approve inter-district funding	No
Capital Expenditure	May approve capital up to \$2,000	Yes – only where approved budget exists
	May approve capital over \$2,000 and up to \$19,999	No
	May approve capital over \$20,000 and up to \$499,999	No
	May approve capital over \$500,000 and under \$1million	No
Finance	May approve expenditure in line with budget	Yes
	Approve internal transfer of funds from one	No

Title:


Delegations of Authority

 Type:
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 Version:
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Authorising initials:

	budget line to another	
	Raise credit notes	No
	Initiate debt recovery	No
	Alter provisions for doubtful debts	No
	Write off bad debts	No
	Approve new banking arrangements	No
	Rollover existing borrowing or investing arrangements	No
	Borrow or invest within existing arrangements	No
	Enter into a Guarantee or Indemnity	No
	Destroy financial records	No
	Acquire securities, shares or other interests	No
	Arrange new/agree variations/renewals of existing insurance policies	No
	Agree to insurance settlements	No
	Submit a claim for insurance	Yes
	Enter into a Finance Lease	No
	Approve transfer of funds between BPO sites	No
	Approve BPO contingency	No
	Approve BPO letters of intent and engagement	No
Property	Approve maintenance costs in own RC's	No
	Approve disposal of land including leases over 5 years	No
	Approve lease of land from other parties	No
	Approve purchase of land	No
	Approve tenancy agreements (for and from DHB)	No
	Approve lease of Waikato DHB land to other parties for periods up to 5 years	No
Legal	May initiate legal proceedings	No
	May sign other legally binding documents on behalf of Waikato DHB that are not otherwise specified in this document	No
	May approve joint ventures	No
	Sign documentation for the Registrar of Companies	No
Supplies and Services	May negotiate supplies and services	No
	May approve/sign a contract for supplies and services	No
	May terminate a contract for supplies and services	No
Research	May approve research proposal/funding	No
Administration	Respond to an Official Information Act request	No
	Respond to Ombudsman Request	No

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	Title: Delegations of Authority		Type: Policy	Version: 04

Respond to Health and Disability Commissioner requests	No
Respond to complaints/compliments	Yes
Initiate an CIMS emergency team	No
Seek and approve sponsorship	No
Release information to media	No
Be a media spokesperson	No
Approve gifts	Yes
Approve patient travel and accommodation	Yes

**Approved by
Level 5
manager**

Signature _____ Date _____

Accepted by

Signature _____ Date _____

The above delegations are effective from the date of this policy until either the delegation is withdrawn by the standing delegation holder or the recipient is no longer employed in the position shown below.

Delegation level 6 may sub-delegate all of the above standing delegations by recording this in writing.

When exercising delegations, the employee will ensure they have familiarised themselves with the Delegations of Authority Policy, understands they will be held accountable for their actions under the policy and as needed, will reference other appropriate related accountability processes/policy, committee approvals, and other relevant agreements.