

Delegation of Authority

Policy Responsibilities and Authorisation

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Target Audience	Managers and staff
Committee Approved	Board
Date Approved	28 March 2018
Committee Endorsed	Audit & Corporate Risk Advisory Committee
Date Endorsed	28 February 2018
Committee Endorsed	Policy Committee
Date Endorsed	14 December 2017
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Policy Review History

Version	Updated by	Date Updated	Summary of Changes
05		July 2018	Add spend limits to align with those available under the proposed National Oracle Solution. Add units and maximum time limits to spend limits.
			Add that delegation levels held by staff are now maintained in the HRIS system.
			Clarify how budget accountability is managed, to align with Position Descriptions refresh.
			Update position titles for new management structures.
			Amend general delegation levels following consultation with managers. Remove Business Resource Review Group (BRRG) and replace with the Portfolio Governance Group (PGG) in the relevant areas of this policy.
			Add specific delegations for pharmaceutical spend via Pharmacy Services department
			Note that where a DHB contractual template is not used for entering into an agreement, that Legal should be consulted.
			Note that electronic delegation forms can be accepted with electronic signatures in Taleo to align with a new/planned electronic recruitment process.
			Policy exclusion added, regarding Min/max inventory level ordering from scanners, and external approval required.
			Clarify specific delegations held by the Chair of the Board.
			Add definitions to give clarity.

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1. Introduction

1.1 Purpose

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.

1.2 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 9 (Appendix A).
- Detailed standing delegations for Levels 1 to 8 and the notification to be given to staff on commencement (Appendix B).

1.3 Policy

- This policy and any subsequent variations or changes must be approved by the Board of Waikato DHB (the Board) and the Minister of Health.
- All decisions made by the Board or staff holding delegated authority must comply with this policy. Failure to comply may be considered as serious misconduct.
- 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 B).
- 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 (as per Waikato DHB Conflict of Interest Policy).
- Delegation of a function, duty or power is revocable and does not prevent the Board from performing its function or duty by exercising its power.
- Staff shall have their levels of delegation noted in their position descriptions and recorded in the Human Resource Information System (HRIS).

1.4 Exclusions

This policy excludes the systematic purchase of inventory items such as stock increase orders driven from scanners detecting ordering required, based on pre-determined min/max quantities that are managed centrally through system limits such as min/max ordering derived from stocktakes using scanning capability.

This policy excludes approval requirements imposed on Waikato DHB by external organisations, as Waikato DHB has no control over the approvals required with regards to

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limits and timing of the changes (i.e. they may change outside of this policy). This exclusion does not negate Waikato DHB's obligation to meet external approval requirements where imposed by organisations with the legislative right to develop such requirements. Spend may only be incurred where all internal and external approval requirements have been met.

2. Abbreviations

CEO	Chief Executive Officer
CFO	Chief Financial Officer
CIMS	Coordinated Incident Management System
DHB	District Health Board
ED	Executive Director
ED Corp. Serv.	Executive Director Corporate Services
FTE	Full time equivalent
HRIS	Human Resource Information System
IEA	Individual Employment Agreement
PGG	Portfolio Governance Group
P&I	Property & Infrastructure
P&P	People & Performance
RC	Responsibility Centre
SLA	Service Level Agreements
S&F	Strategy & Funding
The Act	New Zealand Public Health and Disability Act 2000
The Board	The Board of Waikato District Health Board

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3. Definitions

Clinical Service Contract	A clinical service contract is a contract for provision of clinic based specialised assessment and treatment services for patients.																		
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.																		
Delegated Authority	Refers to the delegation level that a person holds and the authority assigned to each delegation level as set out in this policy.																		
Documents	The generic term “documents” when referred to in a notice of delegation includes formal agreements, contracts, letters of intent, memorandum of understanding, and heads of agreement.																		
FTE	An FTE (full time equivalent) is the hours worked by one employee on a full-time basis. The concept is used to convert the hours worked by several part-time employees into the hours worked by full-time employees.																		
Funding contract	A revenue contract managed by the Strategy and Funding department.																		
Levels of Delegation	<p>The levels of delegation detailed in the notice of delegation shall be as follows:</p> <table border="1"> <thead> <tr> <th>Level</th> <th>Levels of Delegation *</th> </tr> </thead> <tbody> <tr> <td>1</td> <td>Waikato DHB Board</td> </tr> <tr> <td>2</td> <td>CEO</td> </tr> <tr> <td>3</td> <td>Staff Designated by the CEO</td> </tr> <tr> <td>4</td> <td>Staff Designated by Level 2 and 3 Delegates</td> </tr> <tr> <td>5</td> <td>Staff Designated by Level 2 to 4 Delegates</td> </tr> <tr> <td>6</td> <td>Staff Designated by Level 2 to 5 Delegates</td> </tr> <tr> <td>7</td> <td>Staff Designated by Level 2 to 6 Delegates</td> </tr> <tr> <td>8</td> <td>Staff Designated by Level 2 to 6 Delegates</td> </tr> </tbody> </table>	Level	Levels of Delegation *	1	Waikato DHB Board	2	CEO	3	Staff Designated by the CEO	4	Staff Designated by Level 2 and 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	8	Staff Designated by Level 2 to 6 Delegates
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7	Staff Designated by Level 2 to 6 Delegates																		
8	Staff Designated by Level 2 to 6 Delegates																		

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	9	Staff Designated by Level 2 to 6 Delegates
	<p><i>*The Levels shown from 3 down are not determined by reporting lines but by nomination by the persons who hold appropriate delegation levels. 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.</i></p> <p>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 their delegation.</p>	
Revenue contract	A revenue contract is a contract for the supply of goods or services from Waikato DHB to an external party (including Ministry of Health).	
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 delegated authority holders to lower level delegated authority holders. Standing delegations shall be created, changed and withdrawn only in writing. Standing delegations shall apply to specified persons within the different management levels of the organisation.	
Special leave	Includes discretionary sick leave, long service leave, employment relations education leave, union delegates leave, NZ sports and cultural representative leave.	
Staff	Anyone to whom this policy applies to, such as where they are placed in a position that holds a delegated authority.	
Sub-delegation	Sub-delegation is the ability to delegate (pass on) a standing authority, in whole or in part, to individuals holding 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.	
The Act	The Act refers to the New Zealand Public Health and Disability Act 2000.	
Variation	A variation is a document or addendum that varies or amends an existing agreement.	

4. 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;

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- 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 CEO or Senior Management are properly actioned;
- clarify the level of delegated authority that a position has;
- protect staff from being 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.

4.1 Guidance for Staff

All staff delegations are contained in Appendix B. For staff with delegated authority levels from 2 to 8, staff should be provided with a copy of the appropriate standing delegation level notification on commencement of their role (contained in Appendix B). The delegation authority notification in Appendix B should be reviewed, any sub-delegations written on the notification, the notification signed (or electronically approved) 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 and entered in the HRIS.

All staff need to read and understand this 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.

All staff must apply and abide by the most recent and live version of this policy. Staff must disregard any signed delegation of authority form from previous policy versions, and apply the policy limits for their level of delegation against the current policy.

Staff with zero delegation in the previous version of this policy (level 7) will continue to have zero delegation in accordance with this policy version (level 9), unless they (and a higher delegation level holder to approve) sign a delegation authority form for level 2 to 8.

5. Policy Processes

5.1 Review of Policy

This policy must be reviewed after each triennial DHB 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 in writing.

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

5.2 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.

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5.3 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 by the Board.

5.4 Coming into Force of Delegations

A delegation comes into force on the date set out in the instrument of delegation (approved delegation form).

5.5 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 or a higher delegated authority holder before its expiry date.

5.6 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.

5.7 Change to position description of delegate

As long as the relevant function, duty or power remains the responsibility of a position, a delegated authority 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.

5.8 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 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 must be referred to the Board.

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

- Revenue contract (including 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.

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- 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;

The Board must 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 Act.

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).

5.9 Limitation 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,
- Staff of 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.
- Staff not engaged through an employee contract, but are instead engaged through a 'contract for service' (contractor) relationship with Waikato DHB to operate within and represent Waikato DHB in business matters (i.e. be given a DHB email address and ID badge), may be given a delegated authority level. Such delegated level will relate to an appropriate level as per Appendix B.

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

- 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 (clause 40(1)(b) of Schedule 3 of the Act).

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

A person with delegated authority can make a decision, but this decision could have far-reaching implications (across other departments) with wider impacts. In these cases the decision-maker should consult with the managers of the other departments affected. I.e. the

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fact that a person has delegated authority to make a decision does not mean that the position holder should make such a decision without first seeking input from relevant experts/managers.

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 relevant policies, standard procedures, protocol and guidelines and departmental processes.

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

Examples are:

- an expense claim for a meal consumed by the authorising manager but paid for by another employee.
- an expense claim for a family member with whom you share a bank account that the reimbursement of funds will ultimately be paid into.

Managers are required to understand and be accountable for the content of their capital and operating budgets, monitoring and managing spend, including personnel and other costs, and complying with financial rules.

Waikato DHB has developed a range of contract templates. Where a contract template has been developed by a third party (other than the Ministry of Health), it is expected that the Waikato DHB Legal department will be given the opportunity to review the contract or agreement prior to signing.

Executive Directors may choose to impose further restrictions on managers in order for the organisation to respond to external requirements or constraints. For example, capping expense claims, invoking controls on staff recruitment or overtime payments, or minimising travel spend.

5.10 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 Board on such terms and conditions, as the Board thinks fit.

5.11 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 their 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

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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 (i.e. a CIMS event) the incident controller is deemed to have the necessary delegations to enable cross service emergency responses.

5.12 Temporary sub-delegations

All temporary sub-delegations shall be in writing, specifying the time period, any limits, any special conditions or restrictions. Copies shall be retained by the person authorising the sub-delegation and by the person receiving the sub-delegation. Any person acting on a sub-delegation must be able to provide written evidence of the sub-delegation being provided to them. Sub-delegations initiated directly by employees in systems that maintain a clear audit trail of the sub-delegations systematically given may be used in lieu of writing (e.g. Oracle vacation rules).

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.

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, and the manager of the next level higher than the officer with the standing delegation may action further sub-delegations necessary to maintain operations.

Temporary position sub-delegations should not remain permanent. If a position requires a permanent change then a change in the permanent delegation level attached to that position should be requested from the relevant P&P consultant.

5.13 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 A and B.

5.14 Contradictions of Delegations of Authority policy

If there is any contradictions in relation to the approval limits set, which is also specified within other Waikato DHB policies, the limits set within the current Delegations of Authority policy will override other contradictions and take preference. This excludes any extra limits imposed by Executive Directors as described in clause 5.9.

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Where this policy makes reference to an employee's position, but the position is renamed or disestablished (e.g. as the result of a restructure), an equivalent position created will be deemed to hold the delegation level from that point forward. Where an equivalent position is not clear following a restructure, the equivalent position will be determined by the CEO.

5.15 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 their manager 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).

5.16 Chair of the Board

The Chair of the Board has no specific delegations beyond those pertaining to the Board generally. As such any expenditure proposed solely at the initiative of the Chair should ordinarily be placed before the Board for approval. In extraordinary circumstances which are likely only to apply where the Chair is dealing with highly confidential and significant issues relating to the performance or behaviour of the Chief Executive, the Chair may after taking advice from the Chair of the Audit and Corporate Risk Management Committee directly commission independent external advice or support of up to \$10,000.00 per supplier so long as this expenditure is ratified by the full Board at its next meeting.

6. Notice of Delegation

Notices of delegation shall be in the form of Delegation levels and shall cover the following areas of accountability:

- Staff;
- Contracts;
- Capital expenditure;
- Finance;
- Property;
- Legal;
- Supplies and services;
- Research;
- Communication matters;

6.1 Staff

For all people 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

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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 expenses. When the Chair is unavailable approval can be made by the Deputy Chair (in the first instance) or the Chair of the Audit & Risk Management Committee (in the second instance).

Formal secondments must be actioned through the formal recruitment process, including signing a fixed term employment agreement relating to the seconded role to recognise temporary change in role responsibilities and reporting lines during the period of secondment.

6.2 Procurement of Goods and Services

Staff shall follow the instructions in the Waikato DHB Procurement and Contracts Policy when entering into contracts with parties outside of Waikato DHB.

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. A revenue contract is a contract for the supply of goods or services from Waikato DHB to an external party (including Ministry of Health).
2. Expenditure contracts entered into with private suppliers of clinical and other related services.

Staff will take a principled approach in the procurement of goods and services, which means:

- observing the responsibilities of spending public money;
- having a detailed understanding of what is to be purchased, the value and risk of the procurement and how important the procurement is to achieving Waikato DHB's overall goals and business strategy;
- procurement decisions will be based upon the "best value" for the money being spent over the total expected life of the goods or services. Best value may involve the consideration of a range of criteria, not only price;
- considering national and regional health procurement initiatives and 'All-of-Government' contract arrangements;
- using Waikato DHB's standard procurement processes and systems;
- dealing with suppliers in a fair and consistent manner.

6.3 Capital Expenditure

The Capital Expenditure Policy contains full details of the capital expenditure definition, capital expenditure planning process and capital expenditure approval process. The approval process supports the delegation amounts listed in this policy. Capital expenditure includes the purchase of assets with an economic useful life of over one year and costing more than \$2,000 (excluding GST), and specific assets less than \$2,000 (excluding GST) when collectively purchased as a pool.

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The Portfolio Governance Group (PGG) is a mechanism for approval of large new capital expenditure and new positions on behalf of the CEO and Chief of Staff, but the CEO and Chief of Staff are not obligated to use this mechanism in exercising their delegation. Capital Expenditure is defined in the Capital Expenditure Policy.

External capital approvals required by Waikato DHB, but not controlled by Waikato DHB must be adhered to, before capital expenditure is incurred. These are not listed in this policy, as they can be changed outside of this policy by the entity controlling the requirement. Examples of entities with further requirements include:

- Regional capital board
- National Health IT Board
- Ministry of Health

Where a Project Manager is assigned to deliver the project expenditure (capital or operating expenditure) associated with the approval given in accordance with this policy (e.g. at a PGG meeting), the Project Manager may exercise the purchase of supplies or services on behalf of the initial authoriser of a project.

6.4 Finance

The CFO is responsible to the CEO for all financial matters of Waikato DHB. Delegations for specific Treasury management aspects are further defined in the Treasury Management policy.

6.5 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.

6.6 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 is either the CEO or who directly report to the CEO and have appropriate authorised delegation. The exception to this, is where the other party to the agreement as a deed is the Ministry of Health, in which case the document shall be executed by one witnessed signature of one manager who has the delegation authority.

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“Deed” for the purposes of this clause shall include deeds, (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.

6.7 Purchasing Supplies and Contracting for Services

These delegations relate to the external 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 the Responsibility Centres (RCs) that they have the delegated authority to incur expenditure for.

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.

Staff shall follow the instructions in the Waikato DHB Procurement and Contracts Policy when obtaining any requirements from sources outside the Waikato DHB. Requisitions and requests for non-catalogue items shall be processed in accordance with the Procurement and Contracts Policy. This may further require Expressions of Interest (EOIs), Requests for Proposals (RFPs), Quotes (RFQs) or Tenders (RFTs) from potential suppliers in order to complete the requisition.

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.

Operating costs can only be approved for departments within the hierarchy that the staff member is accountable for, or has delegation from the responsibility centre owner to incur costs for.

Specialist approvals will exist for certain categories of spend or product items. In these cases, a Manager approval will need a further specialist approval being accepted by the Board. The purpose of the specialist approvals is to ensure good management of the relevant categories or products by involving people who have high expertise and knowledge of the DHB’s current and required spend for these areas (e.g. legal fees, insurance). These will be applied as necessary in response to meet varying business requirements.

Exceptions to approvals are provided where necessary, to ensure the smooth operations of inventory and distribution capability. Exceptions apply where suitable process and system controls are in place to ensure the ordering of inventory remains within appropriate operational parameters (such as stock increase orders driven from scanners detecting ordering required based on pre-determined min/max quantities to be held). Exceptions to the standard approval processes for inventory will be managed by the Supply Chain team.

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Due to the nature of pharmaceuticals purchased through the Pharmacy Services Department, specific approval limits are listed by Position Title in this policy. This ensures delegation rights for direct ordering of Pharmaceuticals by suitably qualified staff. In this case, manual approval mechanisms and approval limits specific to pharmacy staff and pharmacy systems (e.g. ePharmacy) shall be relied on. Waikato DHB Pharmacy staff are defined as Pharmacy Administrators, Pharmacists, Pharmacy Technicians, Pharmacy Assistants, the Pharmacy Dispensary Team Leader, and the Pharmacy Manager. Non-standard or new products must be approved by either the Pharmacy Dispensary Team Leader or the Pharmacy Manager.

Note where a Project Manager is assigned to deliver the project expenditure (which may contain capital and/or operating expenditure) associated with the approval given in accordance with this policy (e.g. at a PGG meeting), the Project Manager may exercise the purchase of supplies or services on behalf of the initial authoriser of a project.

6.8 Research

Delegations relating to research shall apply to all research projects undertaken by Waikato DHB, or that Waikato DHB participates in.

6.9 Communication

Communication delegations predominantly relate to ensuring appropriate delegations for activities that could have an effect on the public relations and reputation of Waikato DHB.

7. 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

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- 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 2015
- 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 2016
- 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
- New Zealand Public Health and Disability Act 2000
- Health Practitioners Competency Assurance Act 2003

8. Success Factors

- All staff have a level of delegation noted in their position descriptions
- Delegation levels are accurately recorded in the HRIS
- Appropriate delegations are used for DHB activities
- Relevant policies are referenced prior to decision making
- All staff with a delegated authority above level 9 have completed a delegation notification as per Appendix B

9. Legislative Requirements

9.1 Legislation

Waikato DHB must comply with the following legislation (this list is not exclusive):

- New Zealand Public Health and Disability Act 2000
- Health and Safety at Work Act 2015
- Human Rights Act 1993
- Privacy Act 1993
- Employment Relations Act 2000
- Treaty of Waitangi Act 1975

9.2 External Standards

- Ministry of Health Operational Policy Framework
- Public Benefit Entity International Public Sector Accounting Standards (PBE IPSAS)

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10. Associated Documents

10.1 Associated Waikato DHB Documents

- Waikato DHB Financial Accounting Policy (1813)
- Waikato DHB Capital Expenditure Policy (0034)
- Waikato DHB Treasury Management Policy (0042)
- Waikato DHB Project Management Policy (1044)
- Waikato DHB Procurement and Contracts Policy (0170)
- Waikato DHB Conflict of Interest Policy (0006)
- Waikato DHB Research Policy (0142)
- Waikato DHB Managing Behaviour and Performance Policy (5250)
- Waikato DHB Media and Communications Policy (1816)
- Waikato DHB Non-Employee Engagement Policy (1042)
- Waikato DHB Incident Management Policy (0104)
- Waikato DHB Recruitment and Selection Policy (0021)
- Waikato DHB Code of Conduct (5674)
- Waikato DHB Leave Policy (0009)

10.2 References

- Schedule of National Financial Delegation Authority Levels

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Appendix A Summary of Standing Delegations

Below is a high level summary of Waikato DHB's standing delegations.

Level 1 delegation is at Governance level and is expressed in Appendix B.

Level 9 has no delegations (except for specific Pharmacy Services department staff).

with P&P input \$ with Finance input ^ with Legal input + with Procurement input (except for S&F)

🏠 with Property and Infrastructure (P&I) input 🗣️ with Public and Org. affairs input

Input means that you must consult and consider advice/direction from the relevant department.

Staff		Level 2	Level 3	Level 4	Level 5	Level 6
	Approve a new role (additional FTE) – within existing Personnel Cost Budget	Yes	Yes	Yes	No	No
	Approve a Personnel budget increase for a new role (additional FTE and cost)	Yes – via PGG (customarily)	Yes – Chief of Staff only. Via PGG (customarily)	No	No	No
	Approve a budgeted new role	Yes	Yes	Yes	Yes	No
	Approve replacement of an existing role	Yes	Yes	Yes	Yes	Yes
	Approve a temp/non-employee vacancy	Yes	Yes	Yes	Yes	No
	Approve outsourced personnel	Yes	Yes	Yes	Yes	No
	Approve leave	Yes	Yes	Yes	Yes	Yes
	Approve special leave	Yes	Yes	Yes	Yes (only discretionary sick leave up to 5 days p.a. per employee)	No
	Make and sign an offer of employment/secondment for an Individual Employment Agreement (IEA)	Yes	Yes	Yes	No	No
	Make and sign an offer of employment/secondment (excl. IEA)	Yes	Yes	Yes	Yes	Yes
	Vary the Individual Employment Agreement template	Yes#	Yes# – ED Corp. Serv. only	No	No	No
	Issue first and final warnings	Yes	Yes	Yes	Yes	Yes

Delegation of Authority

		Level 2	Level 3	Level 4	Level 5	Level 6
Staff (cont.)	Suspend an employee	Yes#	Yes#	Yes#	Yes#	Yes#
	Dismiss 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
	Approve an increase in salary outside auto increments	Yes#	Yes#	No	No	No
	Approve tertiary education fees	Yes	Yes	Yes	No	No
	Approve a Collective Employment Agreement	Yes	No	No	No	No
	Approve an employee settlement	Yes	No	No	No	No
Clinical Service Contracts	Negotiate a clinical service contract	Yes	Yes	Yes	Yes	No
	Approve/sign a clinical service contract	Yes – up to \$10m p.a. (max. 5 years)	Yes – up to \$1m p.a. (max 5 years)	Yes – up to \$500k p.a. (max 5 years)	No	No
	Terminate a clinical service contract	Yes	Yes	Yes	Yes	No
Revenue Contracts	Negotiate a new revenue and funding contract	Yes – up to \$10m p.a. (max. 5 years)	Yes – up to \$5m p.a. (max. 5 years)	Yes – up to \$1m p.a. (max. 3 years)	Yes, S&F Portfolio Managers only up to \$100k p.a. (max. 3 years)	No
	Approve/sign/ extend a revenue and funding contract	Yes – up to \$10m p.a. (max. 5 years)	Yes – up to \$5m p.a. (max. 5 years)	Yes – up to \$1m p.a. (max. 3 years)	Yes, S&F Portfolio Managers only up to \$100k p.a.	No

Delegation of Authority

		Level 2	Level 3	Level 4	Level 5	Level 6
Revenue Contracts (cont.)	Terminate a revenue and funding contract	Yes – up to \$10m p.a. (max. 5 years)	Yes – up to \$5m p.a. (max. 5 years)	Yes – up to \$1m p.a. (max. 3 years)	No	No
Inter District Flows (IDFs)	Approve establishment of new inter-district service (budgeted)	Yes – up to \$10m p.a. (max. 5 years)	Yes – ED S&F up to \$10m p.a. (max. 5 years)	No	No	No
	Approve establishment of new inter-district service (non-budgeted)	Yes – up to \$10m p.a. (max. 5 years)	No	No	No	No
Service Level Agreement (SLA)	Approve Waikato DHB Internal Service Level Agreement (SLA)	Yes	Yes – up to \$10m p.a.	Yes – up to \$5m p.a.	No	No
Capital Expenditure	Approve capital under \$50,000	Yes+	Yes+\$	Yes+\$	No	No
	Approve replacement of existing capital over \$50,000 and under \$100,000	Yes+\$	Yes+\$	Yes+\$	No	No
	Approve replacement of existing capital over \$100,000 and under \$500,000	Yes+\$	Yes+\$	No	No	No
	Approve new capital over \$50,000 and under \$100,000	Yes+\$ – via PGG (customarily)	Yes +\$ – Chief of Staff only. Via PGG (customarily)	No	No	No
	Approve new capital over \$100,000 and under \$500,000	Yes+\$ – via PGG (customarily)	Yes +\$ – Chief of Staff only. Via PGG (customarily)	No	No	No
	Approve capital over \$500,000 and under \$1m (excl. information systems software)	Yes+\$ – via PGG (customarily)	Yes +\$ – Chief of Staff only. Via PGG (customarily)	No	No	No

Delegation of Authority

		Level 2	Level 3	Level 4	Level 5	Level 6
Finance	Approve internal transfer of funds from one budget line to another	Yes	Yes	Yes	No	No
	Approve credit notes for revenue invoices	Yes	Yes	Yes – Finance only	Yes – Finance Manager Payments only	No
	Initiate debt recovery	Yes	Yes	Yes	No	No
	Alter default system provisions for doubtful debts	Yes	Yes – ED Corp. Serv. Only	Yes – Finance only	No	No
	Write off bad debts (amounts by invoice)	Yes	Yes – ED Corp. Serv. only up to \$100k	Yes – Finance only up to \$2k. CFO only up to \$100k.	No	No
	Approve new banking arrangements	Yes	Yes – ED Corp. Serv. only	Yes – CFO or Treasurer only	No	No
	Rollover existing borrowing or investing arrangements	Yes	Yes – ED Corp. Serv. only	Yes – CFO or Treasurer only	No	No
	Borrow or invest within existing arrangements	Yes	Yes – ED Corp. Serv. only	Yes – CFO or Treasurer only	Yes - Treasury Dealers only	No
	Enter into a Guarantee or Indemnity	Yes [^]	Yes [^] – ED Corp. Serv. only	Yes [^] - CFO only	No	No
	Destroy financial records	No	Yes – ED Corp. Serv. only	Yes - Finance only	No	No
	Acquire securities, shares or other interests	Yes - with Ministerial approval	Yes – ED Corp. Serv. only with Ministerial approval	Yes - CFO only with Ministerial approval	No	No
	Arrange new or vary national insurance policies	Yes ^{\$}	Yes ^{\$}	Yes ^{\$}	No	No

Delegation of Authority

		Level 2	Level 3	Level 4	Level 5	Level 6
Finance (cont.)	Agree to insurance settlements (excl. motor vehicles)	Yes [^]	Yes [^]	Yes [^] – Legal Advisor only	No	No
	Submit a claim for insurance	Yes	Yes	Yes	Yes	Yes
	Enter into a Finance Lease	Yes \$	Yes – ED Corp. Serv. only	Yes – CFO only	No	No
Property	Approve Building Project contingency	Yes – up to 5% of specific project budget	Yes – up to 2% of specific project budget	No	No	No
	Approve Building Project letters of intent and engagement	Yes – up to \$1m	Yes – up to \$250,000	No	No	No
	Approve maintenance costs in own RCs	Yes	Yes	Yes	Yes	No
	Approve disposal of property including leases over 5 years	No	No	No	No	No
	Approve lease of property from other parties	Yes [^] 🏠	Yes [^] 🏠	Yes [^] 🏠 - P&I only	No	No
	Approve purchase of land	Yes [^] 🏠	No	No	No	No
	Approve tenancy agreements (for and from DHB)	Yes \$ 🏠	Yes \$, 🏠	Yes \$ 🏠 - P&I only	No	No
	Approve lease of Waikato DHB property to other parties for periods up to 5 years	Yes [^] 🏠	No	No	No	No

Delegation of Authority

		Level 2	Level 3	Level 4	Level 5	Level 6
Legal	Initiate legal proceedings	Yes^#	Yes^# (refer s. 6.6 of Delegation s policy)	Yes ^# – Director P&P and Legal only (refer s. 6.6 of Delegation s policy)	No	No
	Sign other legally binding documents on behalf of Waikato DHB that are not otherwise specified in this document	Yes^	Yes^	Yes^	No	No
	Approve purchase of joint ventures	Yes^	Yes^	No	No	No
	Sign documentation for the Registrar of Companies	Yes^	Yes^ – Chief of Staff only	No	No	No
Supplies and Services	Negotiate supplies and services (on behalf of approving manager)	Yes+	Yes+	Yes+	Yes+	Yes+
	Approve/sign a contract for supplies and services	Yes+ - up to \$10m total value (max. 8 years)	Yes+ - up to \$5m total value (max. 8 years)	Yes+ - up to \$1m total value (max. 8 years)	Yes+ - up to \$100k total value (max. 8 years)	No
	Terminate a contract for supplies and services	Yes+	Yes+	Yes+	Yes+	No
	Approve operational expenditure (excluding pharmaceutical products via Pharmacy Services Dept.)	Yes – up to \$5m per Purchase Order	Yes – up to \$3m per Purchase Order	Yes – up to \$500k per Purchase Order	Yes – up to \$100k per Purchase Order	Yes – up to \$25k per Purchase Order
	Approve pharmaceutical products via Pharmacy Services Dept.	No	ED Community & Clinical Support only	Pharmacy Manager only – Up to \$100k per order	No	Dispensary Team Leader only - Up to \$50k per order
Research	Approve a research proposal or funding	Yes	Yes	Yes	No	No

Delegation of Authority

		Level 2	Level 3	Level 4	Level 5	Level 6
Communication	Respond to an Official Information Act request	Yes^	Yes^	Yes^	Yes^	No
	Respond to Ombudsman Request	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 inwards sponsorship	Yes - up to \$100k p.a.	Yes - up to \$40k p.a. – ED Public & Org. Affairs only	Yes - up to \$2k p.a.	No	No
	Approve sponsorship spend	Yes - up to \$100k p.a. only	Yes - up to \$100k p.a. – ED Public & Org. Affairs only	Yes - up to \$2k p.a.	No	No
	Release information to media	Yes	Yes 	Yes 	Yes 	No
	Be a media spokesperson	Yes	Yes	No	No	No
	Approve outwards gifts	Yes	Yes	Yes	Yes	Yes

Delegation of Authority

Additional delegation levels

There are additional levels for the sole purpose of managing approval of the purchase of minor supplies and services. These are:

Level 7 has Nil delegation except:

Level 7		
Supplies and Services	May approve operational expenditure (excluding pharmaceutical products via Pharmacy Services dept.)	Yes – up to \$10k per Purchase Order

Level 8 has Nil delegation except:

Level 8		
Supplies and Services	May approve operational expenditure (excluding pharmaceutical products via Pharmacy Services dept.)	Yes – up to \$2k per Purchase Order

Level 9 has Nil delegation except:

Level 9		
Supplies and Services	Approve pharmaceutical products within the Pharmacy Services Department	<u>Only:</u> Pharmacy Technicians – up to \$10k per order Pharmacy Assistants – up to \$10k per order Pharmacy Administrator – up to \$5k per order Pharmacists – up to \$2k per order

Delegation of Authority

Appendix B Standing Delegations – Level 1 and Delegation Levels 2 to 8

Below are the standing delegations for Level 1 and Delegations levels 2 to 8. These standing delegations outline your delegation levels in detail. For delegation levels 2-8 staff should be provided with a copy of the appropriate standing delegation level notification on commencement (as per Appendix B). 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 (arrangements relating to payments).

A Board member 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 (Delegations).

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Delegation Level 2 – Chief Executive

with P&P input \$ with Finance input ^ with Legal input + with Procurement input

🏠 with Property and Infrastructure (P&I) input 🏢 with Public and Org. affairs input

Input means that you must consult and consider advice/direction from the relevant department.

Staff	Approve a new role (additional FTE) – within existing Personnel cost budget	Yes
	Approve a Personnel budget increase for a new role (additional FTE and cost)	Yes – via PGG (customarily)
	Approve a budgeted new role	Yes
	Approve replacement of an existing role	Yes
	Approve a temp/non-employee vacancy	Yes
	Approve outsourced personnel	Yes
	Approve leave	Yes
	Approve special leave	Yes
	Make and sign an offer of employment/secondment for an Individual Employment Agreement (IEA)	Yes
	Make and sign an offer of employment/secondment (excl. IEA)	Yes
	Vary Individual Employment Agreement template	Yes#
	Issue first and final warnings	Yes
	Suspend an employee	Yes#
	Dismiss an employee	Yes
	Approve a redundancy	Yes#
	Approve a gratuity/lump sum payment	Yes#
	Approve expenses/allowances outside the applicable employment agreement	Yes#
	Approve a timesheet/hours of work	Yes
	Approve a variation to hours of work or contracted FTE	Yes
	Approve an increase in salary outside auto increments	Yes#
	Approve tertiary education fees	Yes
Approve a Collective Employment Agreement	Yes	
Approve an employee settlement	Yes	
Clinical Service Contracts	Negotiate a clinical service contract	Yes
	Approve/sign a clinical service contract	Yes – up to \$10m p.a. (max. 5 years)
	Terminate a clinical service contract	Yes
Revenue Contracts	Negotiate a new revenue and funding contract	Yes – up to \$10m p.a. (max. 5 years)
	Approve/sign/extend a revenue and funding contract	Yes – up to \$10m p.a. (max. 5 years)
	Terminate a revenue and funding contract	Yes – up to \$10m p.a. (max. 5 years)

Delegation of Authority

Inter District Flows (IDF)	Approve establishment of new inter-district service (budgeted)	Yes – up to \$10m p.a. (max. 5 years)
	Approve establishment of new inter-district service (non-budgeted)	Yes – up to \$10m p.a. (max. 5 years)
Service Level Agreement (SLA)	Approve Waikato DHB internal Service Level Agreement (SLA)	Yes
Capital Expenditure	Approve capital under \$50,000	Yes+
	Approve replacement of existing capital over \$50,000 and under \$100,000	Yes+\$
	Approve replacement of existing capital over \$100,000 and under \$500,000	Yes+\$
	Approve new capital over \$50,000 and under \$100,000	Yes+\$ – via PGG (customarily)
	Approve new capital over \$100,000 and under \$500,000	Yes+\$ – via PGG (customarily)
	Approve capital over \$500,000 and under \$1m (excl. information systems software)	Yes+\$ – via PGG (customarily)
Finance	Approve internal transfer of funds from one budget line to another	Yes
	Approve credit notes for revenue invoices	Yes
	Initiate debt recovery	Yes
	Alter default system provisions for doubtful debts	Yes
	Write off bad debts (amounts by invoice)	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 or vary national insurance policies	Yes\$
	Agree to insurance settlements (excl. motor vehicles)	Yes [^]
	Submit a claim for insurance	Yes
Enter into a Finance Lease	Yes\$	
Property	Approve Building Project contingency	Yes – up to 5% of specific project budget
	Approve Building Project letters of intent and engagement	Yes – up to \$1 million
	Approve maintenance costs in own RCs	Yes
	Approve disposal of property including leases over 5 years	No
	Approve lease of property from other parties	Yes [^] 🏠
	Approve purchase of land	Yes [^] 🏠
	Approve tenancy agreements (for and from	Yes\$🏠

Delegation of Authority

	DHB)	
	Approve lease of Waikato DHB property to other parties for periods up to 5 years	Yes [^] 
Legal	Initiate legal proceedings	Yes [^] #
	Sign other legally binding documents on behalf of Waikato DHB that are not otherwise specified in this document	Yes [^]
	Approve purchase of joint ventures	Yes [^]
	Sign documentation for the Registrar of Companies	Yes [^]
Supplies and Services	Negotiate supplies and services (on behalf of approving manager)	Yes+
	Approve/sign a contract for supplies and services	Yes+ - up to \$10m total value (max. 8 years)
	Terminate a contract for supplies and services	Yes+
	Approve operational expenditure (excluding pharmaceutical products via Pharmacy Service Dept.)	Yes – up to \$5m per Purchase Order
	Approve pharmaceutical products via Pharmacy Service Dept.	No
Research	Approve a research proposal or funding	Yes
Communication	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 inwards sponsorship	Yes - up to \$100k p.a.
	Approve sponsorship spend	Yes - up to \$100k p.a. only
	Release information to media	Yes
	Be a media spokesperson	Yes
	Approve outwards gifts	Yes
Approve patient travel and accommodation	Yes	

Delegation of Authority

Delegation agreement:

Approval Name (Board Chair)	Signature	Date
--------------------------------	-----------	------

Accepted by [Name] (Level 2 CEO)	Signature	Date
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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 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.

Delegation of Authority

Delegation Level 3 – Designated by CEO

with P&P input \$ with Finance input ^ with Legal input + with Procurement input

🏠 with Property and Infrastructure (P&I) input 🏢 with Public and Org. affairs input

Input means that you must consult and consider advice/direction from the relevant department.

Staff	Approve a new role (additional FTE) – within existing Personnel cost budget	Yes
	Approve a Personnel budget increase for a new role (additional FTE and cost)	Yes – Chief of Staff only. Via PGG (customarily)
	Approve a budgeted new role	Yes
	Approve replacement of an existing role	Yes
	Approve a temp/non-employee vacancy	Yes
	Approve outsourced personnel	Yes
	Approve leave	Yes
	Approve special leave	Yes
	Make and sign an offer of employment/ secondment for an Individual Employment Agreement (IEA)	Yes
	Make and sign an offer of employment/ secondment (excl. IEA)	Yes
	Vary Individual Employment Agreement template	Yes# - ED Corp. Serv. only
	Issue first and final warnings	Yes
	Suspend an employee	Yes#
	Dismiss an employee	Yes#
	Approve a redundancy	Yes#
	Approve a gratuity/lump sum payment	Yes#
	Approve expenses/allowances outside the applicable employment agreement	Yes#
	Approve a timesheet/hours of work	Yes
	Approve a variation to hours of work or contracted FTE	Yes
	Approve an increase in salary outside auto increments	Yes#
	Approve tertiary education fees	Yes
Approve a Collective Employment Agreement	No	
Approve an employee settlement	No	
Clinical Service Contract	Negotiate a clinical service contract	Yes
	Approve/sign a clinical service contract	Yes – up to \$1m p.a. (max 5 years)
	Terminate a clinical service contract	Yes
Revenue Contracts	Negotiate a new revenue and funding contract	Yes – up to \$5m p.a. (max. 5 years)
	Approve/sign/extend a revenue and funding contract	Yes – up to \$5m p.a. (max. 5 years)
	Terminate a revenue and funding contract	Yes – up to \$5m p.a. (max. 5 years)

Doc ID: 2175 Version: 05 Issue Date: 01 JUL 2018 Review: 01 JUL 2021

Facilitator Title: Director Finance Operations Department: Finance

IF THIS DOCUMENT IS PRINTED, IT IS VALID ONLY FOR THE DAY OF PRINTING Page 34 of 56

Delegation of Authority

Inter District Flows (IDFs)	Approve establishment of new inter-district service (budgeted)	Yes – ED S&F up to \$10m p.a. (max. 5 years)
	Approve establishment of new inter-district service (non-budgeted)	No
Service Level Agreement (SLA)	Approve Waikato DHB internal Service Level Agreement (SLA)	Yes – up to \$10m p.a.
Capital Expenditure	Approve capital under \$50,000	Yes+\$
	Approve replacement of existing capital over \$50,000 and under \$100,000	Yes+\$
	Approve replacement of existing capital over \$100,000 and under \$500,000	Yes+\$
	Approve new capital over \$50,000 and under \$100,000	Yes +\$ – Chief of Staff only. Via PGG (customarily)
	Approve new capital over \$100,000 and under \$500,000	Yes +\$ – Chief of Staff only. Via PGG (customarily)
	Approve capital over \$500,000 and under \$1m (excl. information systems software)	Yes +\$ – Chief of Staff only. Via PGG (customarily)
Finance	Approve internal transfer of funds from one budget line to another	Yes
	Approve credit notes for revenue invoices notes	Yes
	Initiate debt recovery	Yes
	Alter default system provisions for doubtful debts	Yes – ED Corp. Serv. Only
	Write off bad debts (amounts by invoice)	Yes – ED Corp. Serv. only up to \$100k
	Approve new banking arrangements	Yes – ED Corp. Serv. Only
	Rollover existing borrowing or investing arrangements	Yes – ED Corp. Serv. Only
	Borrow or invest within existing arrangements	Yes – ED Corp. Serv. Only
	Enter into a Guarantee or Indemnity	Yes [^] – ED Corp. Serv. Only
	Destroy financial records	Yes – ED Corp. Serv. Only
	Acquire securities, shares or other interests	Yes – ED Corp. Serv. only with ministerial approval
	Arrange new or vary national insurance policies	Yes\$
	Agree to insurance settlements (excl. motor vehicles)	Yes [^]
	Submit a claim for insurance	Yes
Enter into a Finance Lease	Yes	
Property	Approve Building Project contingency	Yes – up to 2% of specific project budget

Delegation of Authority

	Approve Building Project letters of intent and engagement	Yes – up to \$250,000
	Approve maintenance costs in own RCs	Yes
	Approve disposal of property including leases over 5 years	No
	Approve lease of property from other parties	Yes [^] 
	Approve purchase of land	No
	Approve tenancy agreements (for and from DHB)	Yes ^{\$} 
	Approve lease of Waikato DHB property to other parties for periods up to 5 years	No
Legal	Initiate legal proceedings	Yes [^] # (refer s. 6.6 of Delegations policy)
	Sign other legally binding documents on behalf of Waikato DHB that are not otherwise specified in this document	Yes [^]
	Approve purchase of joint ventures	Yes [^]
	Sign documentation for the Registrar of Companies	Yes [^] - Chief of Staff only
Supplies and Services	Negotiate supplies and services (on behalf of approving manager)	Yes+
	Approve/sign a contract for supplies and services	Yes+ - up to \$5m total value (max. 8 years)
	Terminate a contract for supplies and services	Yes+
	Approve operational expenditure (excluding pharmaceutical products via Pharmacy Services Dept.)	Yes – up to \$3 million per Purchase Order
	Approve pharmaceutical products via Pharmacy Services Dept.	Yes – ED Community & Clinical Support only
Research	Approve a research proposal or funding	Yes
Communication	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 inwards sponsorship	Yes - up to \$40k p.a. – ED Public & Org. Affairs only
	Approve sponsorship spend	Yes - up to \$100k p.a. – ED Public & Org. Affairs only
	Release information to media	Yes 
	Be a media spokesperson	Yes
	Approve outwards gifts	Yes
	Approve patient travel and accommodation	Yes

Delegation of Authority

Delegation agreement:

Approval Name (CEO – Level 2)	Signature	Date
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Accepted by [Name] (Level 3 Manager)	Signature	Date
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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.

Delegation of Authority

Delegation Level 4 – as designated by Level 3 Managers

with P&P input \$ with Finance input ^ with Legal input + with Procurement input

🏠 with Property and Infrastructure (P&I) input 🏢 with Public and Org. affairs input

Input means that you must consult and consider advice/direction from the relevant department.

Staff	Approve a new role (additional FTE) – within existing Personnel cost budget	Yes
	Approve a Personnel budget increase for a new role (additional FTE and cost)	No
	Approve a budgeted new role	Yes
	Approve replacement of an existing role	Yes
	Approve a temp/non-employee vacancy	Yes
	Approve outsourced personnel	Yes
	Approve leave	Yes
	Approve special leave	Yes
	Make and sign an offer of employment/secondment for an Individual Employment Agreement (IEA)	Yes
	Make and sign an offer of employment/secondment (excl. IEA)	Yes
	Vary Individual Employment Agreement template	No
	Issue first and second warnings	Yes
	Suspend an employee	Yes#
	Dismiss an employee	Yes#
	Approve a redundancy	No
	Approve a gratuity/lump sum payment	No
	Approve expenses/allowances outside the applicable employment agreement	No
	Approve a timesheet/hours of work	Yes
	Approve a variation to hours of work or contracted FTE	Yes
	Approve an increase in salary outside auto increments	No
	Approve tertiary education fees	Yes
	Approve a Collective Employment Agreement	No
Approve an employee settlement	No	
Clinical Service Contracts	Negotiate a clinical service contract	Yes
	Approve/sign a clinical service contract	Yes
	Terminate a clinical service contract	Yes
Revenue Contracts	Negotiate a new revenue and funding contract	Yes – up to \$1m p.a. (max. 3 years)
	Approve/sign/extend a revenue and funding contract	Yes – up to \$1m p.a. (max. 3 years)
	Terminate a revenue and funding contract	Yes – up to \$1m p.a. (max. 3 years)
Inter District Flows	Approve establishment of new inter-district	

Delegation of Authority

(IDF)	service (budgeted)	
	Approve establishment of new inter-district service (non-budgeted)	
Service Level Agreement	Approve Waikato DHB internal Service Level Agreement (SLA)	Yes – up to \$5m p.a.
Capital Expenditure	Approve capital under \$50,000	Yes+\$
	Approve replacement of existing capital over \$50,000 and under \$100,000	Yes+\$
	Approve replacement of existing capital over \$100,000 and under \$500,000	No
	Approve new capital over \$50,000 and under \$100,000	No
	Approve new capital over \$100,000 and under \$500,000	No
	Approve capital over \$500,000 and under \$1m (excl. information systems software)	No
Finance	Approve internal transfer of funds from one budget line to another	Yes
	Approve credit notes for revenue invoices	Yes – Finance only
	Initiate debt recovery	Yes
	Alter default system provisions for doubtful debts	Yes – Finance only
	Write off bad debts	Yes – Finance only up to \$2k. CFO only up to \$100k.
	Approve new banking arrangements	CFO or Treasurer only
	Rollover existing borrowing or investing arrangements	Yes – CFO or Treasurer only
	Borrow or invest within existing arrangements	Yes – CFO Or Treasurer only
	Enter into a Guarantee or Indemnity	Yes^ - CFO only
	Destroy financial records	Yes – Finance only
	Acquire securities, shares or other interests	Yes – CFO only with Ministerial approval
	Arrange new or vary national insurance policies	Yes\$
	Agree to insurance settlements (excl. motor vehicles)	Yes^ – Legal Advisor only
	Submit a claim for insurance	Yes
Enter into a Finance Lease	Yes	
Property	Approve Building Project contingency	No
	Approve Building Project letters of intent and engagement	No
	Approve maintenance costs in own RCs	Yes
	Approve disposal of property including leases over 5 years	No
	Approve lease of property from other parties	Yes^ 🏠 - P&I only
	Approve purchase of land	No
	Approve tenancy agreements (for and from DHB)	Yes \$ 🏠 - P&I only

Delegation of Authority

	Approve lease of Waikato DHB property to other parties for periods up to 5 years	No
Legal	Initiate legal proceedings	Yes ^# - Director P&P, and Legal only (refer s. 6.6 of Delegations policy)
	Sign other legally binding documents on behalf of Waikato DHB that are not otherwise specified in this document	Yes^
	Approve purchase of joint ventures	No
	Sign documentation for the Registrar of Companies	No
Supplies and Services	Negotiate supplies and services (on behalf of approving manager)	Yes+
	Approve/sign a contract for supplies and services	Yes+
	Terminate a contract for supplies and services	Yes+
	Approve operational expenditure (excluding pharmaceutical products via Pharmacy Services Dept.)	Yes – up to \$500,000 per Purchase Order
	Approve pharmaceutical products via Pharmacy Services Dept.	Yes – Pharmacy Manager only, up to \$100k per order
Research	Approve a research proposal or funding	Yes
Communication	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 inwards sponsorship	Yes - up to \$2k p.a.
	Approve sponsorship spend	Yes – up to \$2k p.a.
	Release information to media	Yes 
	Be a media spokesperson	No
	Approve outwards gifts	Yes
	Approve patient travel and accommodation	Yes

Delegation of Authority

Delegation agreement:

Approval Name (Level 2 or 3 Manager)	Signature	Date
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Accepted by [Name] (Level 4 Manager)	Signature	Date
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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.

Delegation of Authority

Delegation Level 5 – as designated by Level 2 to 4 Managers

with P&P input \$ with Finance input ^ with Legal input + with Procurement input

🏠 with Property and Infrastructure (P&I) input 🏢 with Public and Org. affairs input

Input means that you must consult and consider advice/direction from the relevant department.

Staff	Approve a new role (additional FTE) – within existing Personnel cost budget	No
	Approve a Personnel budget increase for a new role (additional FTE and cost)	No
	Approve a budgeted new role	Yes
	Approve replacement of an existing role	Yes
	Approve a temp/non-employee vacancy	Yes
	Approve outsourced personnel	Yes
	Approve leave	Yes
	Approve special leave	Yes – (only discretionary sick leave up to 5 days p.a. per employee)
	Make and sign an offer of employment/secondment for an Individual Employment Agreement (IEA)	No
	Make and sign an offer of employment/secondment (excl. IEA)	Yes
	Vary Individual Employment Agreement template	No
	Issue first and final warnings	Yes
	Suspend an employee	Yes#
	Dismiss an employee	Yes#
	Approve a redundancy	No
	Approve a gratuity/lump sum payment	No
	Approve expenses/allowances outside the applicable employment agreement	No
	Approve a timesheet/hours of work	Yes
	Approve a variation to hours of work or contracted FTE	Yes
	Approve an increase in salary outside auto increments	No
Approve tertiary education fees	No	
Approve a Collective Employment Agreement	No	
Approve an employee settlement	No	
Clinical Service Contracts	Negotiate a clinical service contract	Yes
	Approve/sign a clinical service contract	Yes
	Terminate a clinical service contract	Yes
Revenue Contracts	Negotiate a new revenue and funding contract	Yes, S&F Portfolio Managers only – up to \$100k p.a. (max. 3 years)

Delegation of Authority

	Approve/sign/extend a revenue and funding contract	Yes, S&F Portfolio Managers only – up to \$100k p.a. (max. 3 years)
	Terminate a revenue and funding contract	No
Inter District Flows (IDF)	Approve establishment of new inter-district service (budgeted)	No
	Approve establishment of new inter-district service (non-budgeted)	No
Service Level Agreement (SLA)	Approve Waikato DHB internal Service Level Agreement (SLA)	No
Capital Expenditure	Approve capital under \$50,000	No
	Approve replacement of existing capital over \$50,000 and under \$100,000	No
	Approve replacement of existing capital over \$100,000 and under \$500,000	No
	Approve new capital over \$50,000 and under \$100,000	No
	Approve new capital over \$100,000 and under \$500,000	No
	Approve capital over \$500,000 and under \$1m (excl. information systems software)	No
Finance	Approve internal transfer of funds from one budget line to another	No
	Approve credit notes for revenue invoices	No
	Initiate debt recovery	No
	Alter default system provisions for doubtful debts	No
	Write off bad debts (amounts by invoice)	No
	Approve new banking arrangements	No
	Rollover existing borrowing or investing arrangements	No
	Borrow or invest within existing arrangements	Yes – Treasury dealers only
	Enter into a Guarantee or Indemnity	No
	Destroy financial records	No
	Acquire securities, shares or other interests	No
	Arrange new or vary national insurance policies	No
	Agree to insurance settlements (excl. motor vehicles)	No
	Submit a claim for insurance	Yes
Enter into a Finance Lease	No	
Property	Approve Building Project contingency	No
	Approve Building Project letters of intent and engagement	No
	Approve maintenance costs in own RCs	Yes
	Approve disposal of property including leases over 5 years	No
	Approve lease of property from other parties	No

Delegation of Authority

	Approve purchase of land	No
	Approve tenancy agreements (for and from DHB)	No
	Approve lease of Waikato DHB property to other parties for periods up to 5 years	No
Legal	Initiate legal proceedings	No
	Sign other legally binding documents on behalf of Waikato DHB that are not otherwise specified in this document	No
	Approve purchase of joint ventures	No
	Sign documentation for the Registrar of Companies	No
Supplies and Services	Negotiate supplies and services (on behalf of approving manager)	Yes+
	Approve/sign a contract for supplies and services	Yes+ – up to \$100k per Purchase Order
	Terminate a contract for supplies and services	Yes+
	Approve operational expenditure (excluding pharmaceutical products via Pharmacy Services Dept.)	Yes – up to \$100,000 per Purchase Order
	Approve pharmaceutical products via Pharmacy Services Dept.	No
Research	Approve a research proposal or funding	No
Communication	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 inwards sponsorship	No
	Approve sponsorship spend	No
	Release information to media	Yes 
	Be a media spokesperson	No
	Approve outwards gifts	Yes
	Approve patient travel and accommodation	Yes

Delegation of Authority

Delegation agreement:

Approval Name (Level 2 to 4 Manager)	Signature	Date
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Accepted by [Name] (Level 5 Manager)	Signature	Date
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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.

Delegation of Authority

Delegation Level 6 – as designated by Level 2 to 5 Managers

with P&P input \$ with Finance input ^ with Legal input + with Procurement input

🏠 with Property and Infrastructure (P&I) input 🏢 with Public and Org. affairs input

Input means that you must consult and consider advice/direction from the relevant department.

Staff	Approve a new role (additional FTE) – within existing Personnel cost budget	No
	Approve a Personnel budget increase for a new role (additional FTE and cost)	No
	Approve a budgeted new role	No
	Approve replacement of an existing role	Yes
	Approve a temp/non-employee vacancy	No
	Approve outsourced personnel	No
	Approve leave	Yes
	Approve special leave	No
	Make and sign an offer of employment/secondment for an Individual Employment Agreement (IEA)	No
	Make and sign an offer of employment/secondment (excl. IEA)	Yes
	Vary Individual Employment Agreement template	No
	Issue first and final warnings	Yes
	Suspend an employee	Yes#
	Dismiss an employee	Yes#
	Approve a redundancy	No
	Approve a gratuity/lump sum payment	No
	Approve expenses/allowances outside the applicable employment agreement	No
	Approve a timesheet/hours of work	Yes
	Approve a variation to hours of work or contracted FTE	Yes
	Approve an increase in salary outside auto increments	No
	Approve tertiary education fees	No
	Approve a Collective Employment Agreement	No
Approve an employee settlement	No	
Clinical Service Contracts	Negotiate a clinical service contract	No
	Approve/sign a clinical service contract	No
	Terminate a clinical service contract	No
Revenue Contracts	Negotiate a revenue and funding contract	No
	Approve/sign/extend a revenue and funding contract	No
	Terminate a revenue and funding contract	No

Delegation of Authority

Inter District Flows	Approve establishment of new inter-district service (budgeted)	No
	Approve establishment of new inter-district service (non-budgeted)	No
Service Level Agreement (SLA)	Approve Waikato DHB internal Service Level Agreement (SLA)	No
Capital Expenditure	Approve capital under \$50,000	No
	Approve replacement of existing capital over \$50,000 and under \$100,000	No
	Approve replacement of existing capital over \$100,000 and under \$500,000	No
	Approve new capital over \$50,000 and under \$100,000	No
	Approve new capital over \$100,000 and under \$500,000	No
	Approve capital over \$500,000 and under \$1m (excl. information systems software)	No
Finance	Approve internal transfer of funds from one budget line to another	No
	Approve credit notes for revenue invoices	No
	Initiate debt recovery	No
	Alter default system 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 or vary national insurance policies	No
	Agree to insurance settlements (excl. motor vehicles)	No
	Submit a claim for insurance	Yes
Enter into a Finance Lease	No	
Property	Approve Building Project contingency	No
	Approve Building Project letters of intent and engagement	No
	Approve maintenance costs in own RCs	No
	Approve disposal of property including leases over 5 years	No
	Approve lease of property from other parties	No
	Approve purchase of land	No
	Approve tenancy agreements (for and from DHB)	No
	Approve lease of Waikato DHB property to other parties for periods up to 5 years	No

Delegation of Authority

Legal	Initiate legal proceedings	No
	Sign other legally binding documents on behalf of Waikato DHB that are not otherwise specified in this document	No
	Approve purchase of joint ventures	No
	Sign documentation for the Registrar of Companies	No
Supplies and Services	Negotiate supplies and services (on behalf of approving manager)	No
	Approve/sign a contract for supplies and services	No
	Terminate a contract for supplies and services	No
	Approve operational expenditure (excluding pharmaceutical products via Pharmacy Services Dept.)	Yes – up to \$25,000 per Purchase Order
	Approve pharmaceutical products via Pharmacy Services Dept.	Yes – Dispensary Team Leader only – Up to \$50k per order
Research	Approve a research proposal or funding	No
Communication	Respond to an Official Information Act request	No
	Respond to Ombudsman Request	No
	Respond to Health and Disability Commissioner requests	No
	Respond to complaints/compliments	Yes
	Initiate an CIMS emergency team	No
	Seek and approve inwards sponsorship	No
	Approve sponsorship spend	No
	Release information to media	No
	Be a media spokesperson	No
	Approve outwards gifts	Yes
	Approve patient travel and accommodation	Yes

Delegation of Authority

Delegation agreement:

Approval Name (Level 2 to 5 Manager)	Signature	Date
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Accepted by [Name] (Level 6 Manager)	Signature	Date
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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.

Delegation of Authority

Delegation Level 7 – as designated by Level 2 to 6 Managers

with P&P input \$ with Finance input ^ with Legal input + with Procurement input

🏠 with Property and Infrastructure (P&I) input 🏢 with Public and Org. affairs input

Input means that you must consult and consider advice/direction from the relevant department.

Staff	Approve a new role (additional FTE) – within existing Personnel cost budget	No
	Approve a Personnel budget increase for a new role (additional FTE and cost)	No
	Approve a budgeted new role	No
	Approve replacement of an existing role	No
	Approve a temp/non-employee vacancy	No
	Approve outsourced personnel	No
	Approve leave	No
	Approve special leave	No
	Make and sign an offer of employment/secondment for an Individual Employment Agreement (IEA)	No
	Make and sign an offer of employment/secondment (excl. IEA)	No
	Vary Individual Employment Agreement template	No
	Issue first and final warnings	No
	Suspend an employee	No
	Dismiss an employee	No
	Approve a redundancy	No
	Approve a gratuity/lump sum payment	No
	Approve expenses/allowances outside the applicable employment agreement	No
	Approve a timesheet/hours of work	No
	Approve a variation to hours of work or contracted FTE	No
	Approve an increase in salary outside auto increments	No
	Approve tertiary education fees	No
	Approve a Collective Employment Agreement	No
	Approve an employee settlement	No
Clinical Service Contract	Negotiate a clinical service contract	No
	Approve/sign a clinical service contract	No
	Terminate a clinical service contract	No
Revenue Contracts	Negotiate a revenue and funding contract	No
	Approve/sign/extend a revenue and funding contract	No
	Terminate a revenue and funding contract	No

Delegation of Authority

Inter District Flows(IDF)	Approve establishment of new inter-district service (budgeted)	No
	Approve establishment of new inter-district service (non-budgeted)	No
Service Level Agreement (SLA)	Approve Waikato DHB internal Service Level Agreement (SLA)	No
Capital Expenditure	Approve capital under \$50,000	No
	Approve replacement of existing capital over \$50,000 and under \$100,000	No
	Approve replacement of existing capital over \$100,000 and under \$500,000	No
	Approve new capital over \$50,000 and under \$100,000	No
	Approve new capital over \$100,000 and under \$500,000	No
	Approve capital over \$500,000 and under \$1m (excl. information systems software)	No
Finance	Approve internal transfer of funds from one budget line to another	No
	Approve credit notes for revenue invoices	No
	Initiate debt recovery	No
	Alter default system provisions for doubtful debts	No
	Write off bad debts (by invoice amount)	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 or vary national insurance policies	No
	Agree to insurance settlements (excl. motor vehicles)	No
	Submit a claim for insurance	No
Enter into a Finance Lease	No	
Property	Approve Building Project contingency	No
	Approve Building Project letters of intent and engagement	No
	Approve maintenance costs in own RCs	No
	Approve disposal of property including leases over 5 years	No
	Approve lease of property from other parties	No
	Approve purchase of land	No
	Approve tenancy agreements (for and from DHB)	No
	Approve lease of Waikato DHB property to other parties for periods up to 5 years	No

Delegation of Authority

Legal	Initiate legal proceedings	No
	Sign other legally binding documents on behalf of Waikato DHB that are not otherwise specified in this document	No
	Approve purchase of joint ventures	No
	Sign documentation for the Registrar of Companies	No
Supplies and Services	Negotiate supplies and services (on behalf of approving manager)	No
	Approve/sign a contract for supplies and services	No
	Terminate a contract for supplies and services	No
	Approve operational expenditure (excluding pharmaceutical products via Pharmacy Services Dept.)	Yes – up to \$10,000 per Purchase Order
	Approve pharmaceutical products via Pharmacy Services Dept.	No
Research	Approve a research proposal or funding	No
Communication	Respond to an Official Information Act request	No
	Respond to Ombudsman Request	No
	Respond to Health and Disability Commissioner requests	No
	Respond to complaints/compliments	No
	Initiate an CIMS emergency team	No
	Seek and approve inwards sponsorship	No
	Approve sponsorship spend	No
	Release information to media	No
	Be a media spokesperson	No
	Approve outwards gifts	No
	Approve patient travel and accommodation	No

Delegation of Authority

Delegation agreement:

Approval Name (Level 2 to 6 Manager)	Signature	Date
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Accepted by [Name] (Level 7)	Signature	Date
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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.

Delegation of Authority

Delegation Level 8 – as designated by Level 2 to 6 Managers

with P&P input \$ with Finance input ^ with Legal input + with Procurement input

🏠 with Property and Infrastructure (P&I) input 🏢 with Public and Org. affairs input

Input means that you must consult and consider advice/direction from the relevant department.

Staff	Approve a new role (additional FTE) – within existing Personnel cost budget	No
	Approve a Personnel budget increase for a new role (additional FTE and cost)	No
	Approve a budgeted new role	No
	Approve replacement of an existing role	No
	Approve a temp/non-employee vacancy	No
	Approve outsourced personnel	No
	Approve leave	No
	Approve special leave	No
	Make and sign an offer of employment/ secondment for an Individual Employment Agreement (IEA)	No
	Make and sign an offer of employment/ secondment (excl. IEA)	No
	Vary Individual Employment Agreement template	No
	Issue first and final warnings	No
	Suspend an employee	No
	Dismiss an employee	No
	Approve a redundancy	No
	Approve a gratuity/lump sum payment	No
	Approve expenses/allowances outside the applicable employment agreement	No
	Approve a timesheet/hours of work	No
	Approve a variation to hours of work or contracted FTE	No
	Approve an increase in salary outside auto increments	No
Approve tertiary education fees	No	
Approve a Collective Employment Agreement	No	
Approve an employee settlement	No	
Clinical Service Contracts	Negotiate a clinical service contract	No
	Approve/sign a clinical service contract	No
	Terminate a clinical service contract	No
Revenue Contracts	Negotiate a revenue and funding contract	No
	Approve/sign/extend a revenue and funding contract	No
	Terminate a revenue and funding contract	No
Inter District Flows (IDFs)	Approve establishment of new inter-district service (budgeted)	No
	Approve establishment of new inter-district service (non-budgeted)	No
Service Level Agreements (SLAs)	Approve Waikato DHB internal Service Level Agreement (SLA)	No

Delegation of Authority

Capital Expenditure	Approve capital under \$50,000	No
	Approve replacement of existing capital over \$50,000 and under \$100,000	No
	Approve replacement of existing capital over \$100,000 and under \$500,000	No
	Approve new capital over \$50,000 and under \$100,000	No
	Approve new capital over \$100,000 and under \$500,000	No
	Approve capital over \$500,000 and under \$1m (excl. information systems software)	No
Finance	Approve internal transfer of funds from one budget line to another	No
	Approve credit notes for revenue invoices	No
	Initiate debt recovery	No
	Alter default system provisions for doubtful debts	No
	Write off bad debts (by invoice amount)	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 or vary insurance policies	No
	Agree to insurance settlements	No
	Submit a claim for insurance	No
Enter into a Finance Lease	No	
Property	Approve Building Project contingency	No
	Approve Building Project letters of intent and engagement	No
	Approve maintenance costs in own RCs	No
	Approve disposal of property including leases over 5 years	No
	Approve lease of property from other parties	No
	Approve purchase of land	No
	Approve tenancy agreements (for and from DHB)	No
	Approve lease of Waikato DHB property to other parties for periods up to 5 years	No
Legal	Initiate legal proceedings	No
	Sign other legally binding documents on behalf of Waikato DHB that are not otherwise specified in this document	No
	Approve purchase of joint ventures	No
	Sign documentation for the Registrar of Companies	No

Delegation of Authority

Supplies and Services	Negotiate supplies and services (on behalf of approving manager)	No
	Approve/sign a contract for supplies and services	No
	Terminate a contract for supplies and services	No
	Approve operational expenditure (excluding pharmaceutical products via Pharmacy Services Dept.)	Yes – up to \$2,000 per Purchase Order
	Approve pharmaceutical products via Pharmacy Services Dept.	No
Research	Approve a research proposal or funding	No
Communication	Respond to an Official Information Act request	No
	Respond to Ombudsman Request	No
	Respond to Health and Disability Commissioner requests	No
	Respond to complaints/compliments	No
	Initiate an CIMS emergency team	No
	Seek and approve inwards sponsorship	No
	Approve sponsorship spend	No
	Release information to media	No
	Be a media spokesperson	No
	Approve outwards gifts	No
Approve patient travel and accommodation	No	

Delegation agreement:

Approval Name _____ Signature _____ Date _____
(Level 2 to 6 Manager)

Accepted by [Name] _____ Signature _____ Date _____
(Level 8)

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.

Doc ID:	2175	Version:	05	Issue Date:	01 JUL 2018	Review	01 JUL 2021
Facilitator Title:	Director Finance Operations			Department:	Finance		
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