POLICY STATEMENT

DELEGATION OF AUTHORITY

Date: March 2009
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1. INTRODUCTION

This Regional Policy sets the delegation of authority limits and all employees and Board members of Otago and Southland District Health Boards, including temporary employees and contractors to the DHBs, must comply with this policy.

The DHB is a body corporate owned by the Crown and established under section 19 of the New Zealand Public Health and Disability Act 2000 ("the NZPHD Act").

Under the NZPHD Act and the Crown Entities Act 2004 ("the CE Act") each District Health Board ("DHB") and the Board of each DHB have a number of functions, duties and powers. The NZPHD Act:

(a) expressly authorises the Board of each DHB to delegate any of the functions, duties or powers of the Board or of the DHB (clause 39(5) of Schedule 3);

(b) requires the Board of each DHB to make certain delegations to the DHB's chief executive (section 26(3)); and

(c) requires the Board of each DHB to formulate, keep under review and amend or replace (as it considers appropriate) a policy for the exercise of its powers of delegation (clause 39(1) of Schedule 3).

This policy has been formulated by the Board as its policy for the exercise of its powers of delegation under the Act and replaces all previous delegation policies of the Board.

Every exercise by the Board of a power of delegation must comply with this policy (clause 39 (3) of Schedule 3 of the NZPHD Act).

1A DEFINITIONS

In this policy –

Audit Committee means the Audit, Finance & Risk Management Committee or the Audit & Risk Committee, the terms being used interchangeably.

Board means the members of the DHB.

Conflict of interest has the meaning given to that expression in section 6 of the NZPHD Act.

The DHB or DHBs refers to either of the Otago or Southland District Health Board or both depending on context.

2. OVERVIEW

This policy should be read in conjunction with the code of conduct, sensitive expenditure, procurement & tendering and treasury policies and the State Sector Integrity Policy.
3. GOVERNANCE

3.1 Functions, duties and powers of the DHB and the Board

Under section 25 of the CE Act, the Board has the authority, in the DHB's name, to exercise powers and perform the functions of the DHB. The NZPHD Act and the CE Act set out the objectives, functions, duties and powers of the DHB and the Board, and restrictions on those functions, duties and powers. Those restrictions include, but are not limited to, the following:

- The DHB must pursue its objectives in accordance with its district strategic plan, its annual plan, its statement of intent, and any directions or requirements given to it by the Minister of Health under section 33 of the Act or sections 103 or 107 of the CE Act (section 22(2) of the NZPHD Act). The DHB's objectives are set out in section 22(1) of the NZPHD Act:
  
  (a) to improve, promote, and protect the health of people and communities:
  
  (b) to promote the integration of health services, especially primary and secondary health services:
  
  (c) to promote effective care or support for those in need of personal health services or disability support services:
  
  (d) to promote the inclusion and participation in society and independence of people with disabilities:
  
  (e) to reduce health disparities by improving health outcomes for Maori and other population groups:
  
  (f) to reduce, with a view to eliminating, health outcome disparities between various population groups within New Zealand by developing and implementing, in consultation with the groups concerned, services and programmes designed to raise their health outcomes to those of other New Zealanders:
  
  (g) to exhibit a sense of social responsibility by having regard to the interests of the people to whom it provides, or for whom it arranges the provision of, services:
  
  (h) to foster community participation in health improvement, and in planning for the provision of services and for significant changes to the provision of services:
  
  (i) to uphold the ethical and quality standards commonly expected of providers of services and of public sector organisations:
  
  (j) to exhibit a sense of environmental responsibility by having regard to the environmental implications of its operations:
  
  (k) to be a good employer [in accordance with section 118 of the Crown Entities Act 2004].

- Acts of the DHB may be invalid if they are contrary to, or outside the authority of, an Act or are done otherwise than for the purpose of performing the DHB's functions (section 19 of the CE Act). The DHB's functions are set out in section 23 of the Act and section 14 of the CE Act:

  (a) to ensure the provision of services for its resident population and for other people as specified in its Crown funding agreement:
  
  (b) to actively investigate, facilitate, sponsor, and develop co-operative and collaborative arrangements with persons in the health and disability sector or in any other sector to improve, promote, and protect the health of people, and to promote the inclusion and participation in society and independence of people with disabilities:
  
  (c) to issue relevant information to the resident population, persons in the health and disability sector, and persons in any other sector working to improve, promote, and protect the health of people for the purposes of paragraphs (a) and (b):
  
  (d) to establish and maintain processes to enable Maori to participate in, and contribute to, strategies for Maori health improvement:
  
  (e) to continue to foster the development of Maori capacity for participating in the health and disability sector and for providing for the needs of Maori:
(f) to provide relevant information to Maori for the purposes of paragraphs (d) and (e):
(g) to regularly investigate, assess, and monitor the health status of its resident population, any factors that the DHB believes may adversely affect the health status of that population, and the needs of that population for services:
(h) to promote the reduction of adverse social and environmental effects on the health of people and communities:
(i) to monitor the delivery and performance of services by it and by persons engaged by it to provide or arrange for the provision of services:
(j) to participate, where appropriate, in the training of [health practitioners] and other workers in the health and disability sector:
(k) to provide information to the Minister for the purposes of policy development, planning, and monitoring in relation to the performance of the DHB and to the health and disability support needs of New Zealanders:
(l) to provide, or arrange for the provision of, services on behalf of the Crown or any Crown entity within the meaning of the [Crown Entities Act 2004];
(m) to collaborate with pre-schools and schools within its geographical area on the fostering of health promotion and on disease prevention programmes:
(n) to perform any other functions it is for the time being given by or under any enactment, or authorised to perform by the Minister by written notice to the board of the DHB after consultation with it.

- The Board must ensure that the DHB acts in a manner consistent with the DHB's objectives, functions and current statement of intent (section 49 of the CE Act).
- The Board must ensure that the DHB performs its functions efficiently and effectively and in a manner consistent with the spirit of service to the public (section 50 of the CE Act).
- The Board must ensure that the DHB operates in a financially responsible manner, in a way that prudently manages the DHB's assets and liabilities and in a way that endeavours to ensure the DHB's long-term financial viability and that the DHB acts as a successful going concern (section 51 of the CE Act).
- The District Strategic Plan, including any significant amendments, requires the consent of the Minister of Health.
- The District Annual Plan must be agreed upon with the Minister of Health.
- The delegations policy requires the consent of the Minister of Health (clause 39(2) of Schedule 3 of the NZPHD Act).
- The Board is required to put in place the following Advisory Committees:
  - Hospital Advisory Committee
  - Community and Public Health Advisory Committee
  - Disability Support Advisory Committee (sections 34-36 of the Act)
- The terms and conditions of employment of the Chief Executive Officer (CEO), while determined by the Board, require the consent of the State Services Commissioner (clause 44 of Schedule 3 of the Act).
- The Board (and its members and committees of the Board) must not interfere in respect of matters relating to decisions on individual employees (for example, relating to the appointment, promotion, demotion, transfer, personal grievances, disciplining, or cessation of employment, of an employee). These are the independent responsibility of the CEO (clause 44(4) of Schedule 3 of the NZPHD Act).
- The DHB may not borrow, amend the terms of any borrowing, give a guarantee or indemnity or acquire shares except in accordance with sections 160 – 162 of the Crown Entities Act 2004 (sections 160–162 of the CE Act and section 45 of the NZPHD Act).
3.2 The Board's power to delegate

Clause 39 of Schedule 3 of the NZPHD Act authorises the Board of each DHB to delegate any of the functions, duties or powers of the Board or of the DHB to -

(a) a committee of the Board;
(b) a member of the Board;
(c) an employee of the DHB;
(d) a person or class of persons approved by the Minister for the purpose.

Every delegation of the Board of any of the functions, duties, or powers of the Board, or of the DHB, must be in writing (clause 39 (4) and (5) of Schedule 3).

A delegation of a function, duty, or power is revocable at will and does not prevent the Board or the Southland District Health Board from performing the function or duty, or exercising the power (clause 39 (6) of Schedule 3).

A delegation may be to any named person or to any member of a specified class of persons; and, if made to a specified class of persons is, unless it provides otherwise, to each member of the class for the time being, even though the membership of the class has changed since the delegation was made (clause 39 (7) of Schedule 3).

3.3 The Powers Reserved for the Board

The Board reserves all its functions, duties, or powers with the exception of any of those to be specifically delegated.

4. BOARD RESPONSIBILITIES

4.1 General

Delegations are to provide the correct balance between control and independence to encourage achievement of required outputs. They are to comply with proven practice and ensure that the organisation is not exposed to unacceptable risk.

Any delegated function, duty or power performed or exercised by a delegate must be performed or exercised:

- in pursuit of the DHB's objectives, as set out in section 22(1) of the NZPHD Act, in accordance with the District Strategic Plan, District Annual Plan, Statement of Intent, and any directions or requirements given to it by the Minister of Health under section 33 of the Act or section 103 or section 107 of the CE Act (section 22(2) of the NZPHD Act);
- for the purpose of performing the DHB's functions as set out in section 23 of the Act and section 14 of the CE Act (section 19(1)(b) of the CE Act);
- in a way that is not contrary to or outside the authority of an Act (section 19(1)(a) of the CE Act);
- in a manner consistent with the DHB's objectives, functions and current statement of intent (section 49 of the CE Act);
- efficiently and effectively and in a manner consistent with the spirit of service to the public (section 50 of the CE Act);
- in a financially responsible manner, in a way that prudently manages the DHB's assets and liabilities and in a way that endeavours to ensure the DHB's long-term financial viability and that the DHB acts as a successful going concern (section 51 of the CE Act);
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- in line with statutory requirements (in particular the requirements of the NZPHD Act);
- with due regard for the need to obtain best value from the available health resources;
- in a manner which would withstand full public scrutiny of process and outcome.

4.2 Amendments and replacement to this policy

The Board must keep this policy under review and amend or replace the policy as it considers appropriate. An amendment or replacement does not come into force unless it has been approved by the Minister of Health (clause 39(1) and (2) of Schedule 3 of the NZPHD Act).

5. DELEGATE RESPONSIBILITIES

5.1 Conflict of Interest

Delegates must comply with clauses 39(8) and (9) and 40(2) and (3) of Schedule 3 of the NZPHD Act regarding conflicts of interest. The NZPHD Act defines a conflict of interest as follows:

conflict of interest, in relation to a person and a DHB, includes—
(a) the person's interest in a transaction (within the meaning of subsection (2)) of the DHB; and
(b) the person's interest that would, if the person were a member of the board of the DHB or a member of a committee of that board or a delegate of that board, be an interest in a transaction (within the meaning of subsection (2)) of the DHB; and
(c) to avoid any doubt, the employment or engagement of the person, or of the person's spouse or partner, as an employee or contractor of the DHB

Subsection 2 provides:

For the purposes of this Act, a person who is a member of a board of a DHB or a member of a committee of such board or a delegate of such board is interested in a transaction of a DHB if, and only if, the board member or member of the committee or the delegate—

(a) is a party to, or will deriv[e a financial benefit from, the transaction; or
(b) has a financial interest in another party to the transaction; or
(c) is a director, member, official, partner, or trustee of another party to, or person who will or may derive a financial benefit from, the transaction, not being a party that is—
   (i) the Crown; or
   (ii) a publicly-owned health and disability organisation; or
   (iii) a body that is wholly owned by 1 or more publicly-owned health and disability organisations; or
(d) is the parent, child, spouse or partner of another party to, or person who will or may derive a financial benefit from, the transaction; or
(e) is otherwise directly or indirectly interested in the transaction.

Under clause 39(8) and (9) of Schedule 3 of the NZPHD Act, a delegate who on a day is to perform a function or duty or exercise a power:

(a) must, before doing so, consider whether or not he or she has (or, as the case requires, will have) on that day any conflicts of interest with the DHB; and
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(b) if the delegate has (or will have) any such conflicts of interest, must give the Board a statement completed by him or her in good faith that discloses those conflicts of interest, together with any such conflicts of interest the delegate believes are likely to arise in the future. The delegate must inform the Board of any relevant change in their circumstances affecting a matter disclosed in that statement, as soon as practicable after the change occurs.

(c) if the delegate who has (or will have) no such conflicts of interest, must inform the Board of any relevant change in the delegate's circumstances affecting that fact, as soon as practicable after the change occurs.

Clause 40(2) and (3) of Schedule 3 of the NZPHD Act provides that a delegate who is interested in a transaction of the DHB may not perform a function or duty, or exercise a power, under the delegation if the function, duty, or power related to the transaction. The only exception is if the Board has given its prior written consent to the delegate performing the function or duty, or exercising the power, even though the function, duty, or power relates to the transaction.

Executive management are to report conflicts to the Board in the board papers and advisory committee papers and record these in an Officers and Employees Conflict of Interests Register maintained through the CEOs office. Annual declarations for Executive employees will be introduced and support conflict declarations.

Other staff members are to report conflicts in writing to a member of senior management. An Intranet based register has been created for this purpose.

5.2 Temporary Assignment

Whenever a manager of a DHB that has been delegated functions, duties or powers, and that has the power to assign all or part of his or her delegations takes leave or is going to be absent for a significant period, he or she should decide whether any of those functions, duties or powers ought to be temporarily assigned to another employee to ensure continuation of the service. For the purpose of this policy "assign" includes "sub-delegate". Delegations may be assigned in part.

Temporary assignments are made using the financial system’s AP approval workflow routing rules. This will notify the person being delegated to and specifies the length of time the assignment is to be enforced for. It is desirable to have this assignment approved by the manager of the person temporarily delegating their authority. Currently the system does not provide this functionality and hence this requirement has been abated until an automated systems approval workflow is enabled via messaging.

Permanent assignment using the forms in Appendix 2 (part B) still requires “one-up” approval.

5.3 Key Principles of all Delegations

Board approval is required for any action exceeding the limits delegated to the CEO.

All new ventures and changes of policy or practice, outside those signalled in the Board approved District Annual Plan that are likely to significantly affect outputs or change access to a service, require Board approval.

Notification to the Board when appropriate is required for any proposal or action that might attract significant adverse publicity, or can with reasonable foresight be predicted to result in legal action against the DHB.
The Board will not delegate to any person the authority to raise capital or to specifically borrow money or enter into lease agreements for a term of more than 5 years by any means whatsoever. The board will not delegate the power to sell, exchange, mortgage, or charge land. Ministerial consent is required for the Board to enter into such agreements as outlined in clause 43 of Schedule 3 of the NZPHD Act. Delegation may be given for appropriate risk management tools such as interest risk derivatives or forward exchange contracts within limits specified under this policy. In the case of interest rate derivatives, joint Ministers' approval must be obtained first as outlined in the CE Act. Where such instruments are entered into, appropriate reporting to the Board or the Audit Committee is expected.

A delegate may, unless the delegation concerned provides otherwise, perform the functions or duties, and exercise the powers, they have been delegated in the same manner, subject to the same restrictions, and with the same effect, as if they were the Board or the DHB (including in accordance with all relevant policies and procedures set by the Board from time to time) (clause 40(1)(a) of Schedule 3 of the NZPHD Act). All delegates must familiarise themselves with the relevant provisions of the NZPHD Act, CE Act, Operational Policy Framework and Crown Funding Agreement before performing delegated functions or duties, or exercising delegated powers.

5.4 General Principles of all Delegations
The following are general principles that apply to delegations and to any permitted assignments:

A delegate may not assign any functions, duties or powers they have been delegated, unless expressly permitted by the delegation concerned or with the written consent of the Board (clause 40(1)(b) of Schedule 3 of the NZPHD Act).

No employee shall approve timesheets, leave, expenditure, benefit, etc which relates to themselves or for the purpose of personal gain. In all such instances, the individual's manager must give approval. CEO expenses shall require the approval of the Chair of the Board. Chair expenses require the approval of the Chair of the Audit Committee.

At least two people must be involved in each transaction or as specified in the delegation schedules outlined in this policy. For example, the same person should not perform all of the following functions:
- Raise a manual purchase order
- Receive the goods
- Authorise the invoice for payment

5.5 Financial Delegations
In determining who needs to authorise a transaction, the GST (NZD) exclusive value of the transaction (being the value of the assets, rights or interests to be acquired or disposed, or likely to be acquired or disposed, (whether contingent or not) or the value of the obligations or liabilities (including contingent liabilities) to be incurred or likely to be incurred under or in relation to the transaction) needs to be considered.

Financial delegations will apply on a ‘per transaction’ basis.

In determining if an item is within budget or not, it is assessed against each level 4 (chart of accounts) account code line. Items may not be netted off across a range of account codes (except in the clinical supplies classification) or against a cost centre total expenditure line for example. It is recognised that when ordering supplies in a clinical
environment that this identification at the point of order may not be practical and retrospective approval or notification may be required.

Where a contract for goods or services is in place the delegated authority level applicable for transactions under that contract is limited to the maximum contract value. This applies where transactions are paid either singularly or by instalment so that the contract value cannot be exceeded. The person holding delegation is responsible for ensuring transactions authorised adhere to this maximum.

5.6 Avoidance
Any attempt to bring something within delegated authority which would otherwise not be, or any action or inaction which has this effect, is considered to be a failure to comply with delegated authority and may result in disciplinary action. This will include splitting items requiring approval into smaller components and so avoiding the need to obtain approval from a person with higher authorisation limits.

5.7 The DHB's Policy Manual
Other policies in the DHB’s Policy Manual relating to a particular area of delegation may explain further how the proposed delegations outlined in this policy may be authorised and applied. In exercising a delegated function, duty or power, delegates must comply with relevant provisions in the DHB’s Policy Manual which include but are not limited to:
- DHB Code of Conduct Policy
- Procurement and Tendering Policy
- Sensitive Expenditure Policy
- Treasury Policy

Delegates must also consider and reference where appropriate the following guidelines:
- State Sector Standards of Integrity & Conducts
- Controller & Auditor General Controlling Sensitive Expenditure guidelines

5.8 Monitoring and Enforcement
Delegators must inform the Finance Department in writing of any new delegations they make or any additions, changes or deletions to existing delegations they have made. Refer to Appendix 2 of this policy.

Electronic workflow is enabled via the Oracle Financial System and Payroll systems and a master list is held in finance of those personnel holding delegated authority for each cost centre area. These electronic workflows therefore monitor ordering authority on purchase orders, invoice approvals and payroll / timesheet approvals. Changes to staff holding delegated authority must be notified to finance to enable these electronic hierarchy systems to be updated.

6. DELEGATIONS TO BOARD COMMITTEES

6.1 Board Committees and their Roles
The Act requires the establishment of a Community and Public Health Advisory Committee, a Disability Support Advisory Committee and Hospital Advisory Committee (sections 34-36 of the NZPHD Act). The NZPHD Act gives the Board the power to establish or dissolve 1 or more other committees of the Board for a particular purpose or purposes (clause 38 of Schedule 3 of the NZPHD Act). The Board has established an Audit Committee, a Manawhenua Governance Committee, and an Appointments and Remuneration Advisory Sub Committee.
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The Board may delegate to a committee of the Board any of the functions, duties or powers of the Board (clause 39(4) of Schedule 3 to the NZPHD Act).

6.1.1 Community and Public Health Advisory Committee (CPHAC)
The functions of CPHAC are to give the Board advice on the needs, and any factors that the committee believes may adversely affect the health status, of the DHB’s resident population and priorities for use of the health funding provided. The aim of the CPHAC’s advice must be to ensure that all service interventions the DHB has provided or funded or could provide or fund for that population and all policies the DHB has adopted or could adopt for that population maximise the overall health gain for the population the committee serves. The CPHAC’s advice may not be inconsistent with the New Zealand health strategy (clause 2 of Schedule 4 of the NZPHD Act).

The purpose of CPHAC is to make recommendations to the Board on the basis of needs analysis, funding constraints, the government strategies (including New Zealand Health Strategy, New Zealand Disability Strategy, New Zealand Primary Health Care Strategy, New Zealand Mental Health Strategy, Maori Health Strategy). The CPHAC will oversee and monitor the DHB Funder financial and operational performance, specifically this advisory committee will ensure that recommendations on allocation of funds are based on health and disability needs to advance the health and independence of people in the community. Responsibility remains with the Board.

6.1.2 Disability Support Advisory Committee (DSAC)
The functions of the DSAC are to give the Board advice on the disability support needs of the DHB’s resident population and priorities for use of the disability support funding provided. The aim of the DSAC’s advice must be to ensure that the kinds of disability support services the DHB has provided or funded or could provide or fund for those people and all policies the DHB has adopted or could adopt for those people promote the inclusion and participation in society, and maximise the independence of the people with disabilities within the DHB’s resident population. The DSAC’s advice may not be inconsistent with the New Zealand disability strategy (clause 3 of Schedule 4 of the NZPHD Act).

The purpose of DSAC is to make recommendations to the Board on the basis of needs analysis, funding constraints, the government strategies. Specifically this advisory committee will ensure that recommendations on allocation of funds are based on health and disability needs to advance the health and independence of people in the community. Responsibility remains with the Board.

6.1.3 Hospital Advisory Committee (HAC)
The functions of the HAC are to monitor the financial and operational performance of the hospitals (and related services) of the DHB, to assess strategic issues relating to the provision of hospital services by or through the DHB and give the Board advice and recommendations on that monitoring and that assessment (clause 4 of Schedule 4 of the NZPHD Act).

The purpose of HAC is to oversee and monitor the DHB Provider Arm financial and operational performance, will assess strategic issues relating to the provision of hospital services, and provide advice and recommendations to the Board on that monitoring and that assessment. Responsibility remains with the Board.
6.1.4 Audit Committee
The Audit Committee has been established for the purpose of providing advice and recommendations to assist the Board in the proper auditing of its financial affairs. By approving this policy the Board has delegated to the Audit Committee the function of providing advice and recommendations to the Board to assist it in the proper auditing of its financial affairs including administration and oversight of the internal audit function, liaison with external auditor, the annual accounts, financial scrutiny, insurance contracts, debt funding and risk management.

6.1.5 Maori Health Advisory Committee
This Committee has been established for the purpose of reducing health inequalities and improving health outcomes for Māori in accordance with government’s health strategies and policies, and in particular section 4 of the NZPHD Act ‘Treaty of Waitangi’.

6.1.6 Appointments and Remuneration Advisory Committee
The Appointments and Remuneration Advisory Sub Committee has been established for the purpose of providing advice and recommendations to assist the Board in making decisions on all employment issues relating to the CEO and on general remuneration issues. By approving this policy the Board has delegated to the Appointments and Remuneration Advisory Committee the functions of providing advice and recommendations to assist the Board in making decisions on all employment issues relating to the CEO and on general remuneration issues. The committee is convened as required on request of the Chair of the board and may form part of a sub committee of the Board or Audit Committee.

6.1.7 Southern Alliance Regional Escalation Group
This group is not a statutory or Board sub committee but one that is predominately focused at a management level to progress regional initiatives. Its membership includes the Southland and Southland CEOs and Chairs and is intended to resolve priorities or conflicts should they arise and cannot not managed at CEO level. The group has been formed recognising the strategic priority given by the Board to a regional services approach.

6.1.8 Short Term or Specific Issue Committees
The Board may, from time to time, establish short term or specific issue committees and delegate functions, duties and powers in relation to a specific issue to a defined sub-committee, any decision of which requires ratification by the Board.

6.2 Authorities of the Board and its Committees

6.2.1 Appointment of Members
The Chair and membership of the advisory committees is determined by the Board. Membership will be for a term up to three years, and appointment will be by the Board.

Each advisory committee operates by its Terms of Reference that have been approved by the Board. The Terms of Reference include the membership composition of each advisory committee.

Provisions applying to CPHAC, DSAC, and HAC are attached as Appendix 5. Provisions applying to other committees of the Board are attached as Appendix 6.
6.2.2 Levels of Authority
Each committee is accountable to the Chair of the Board. By approving this policy the Board has delegated to each committee the power to make recommendations to the Board on matters of service provision, service funding and service changes, and the power to advise the Board on issues and recommend actions.

There is no continuing delegation by the Board to the committees, for the committees to make decisions on behalf of the DHB except for the power to appoint members to Board established Consultative Sub-committees (see below). From time to time the Board may delegate responsibility for specific issues to a committee.

The Chairs of each committee may request management to provide information, assistance and prepare reports to their committee, to enable their committee to fulfil its particular purpose or purposes.

6.3 Consultative Subcommittees

6.3.1 Appointment of Members
The consultative subcommittees assist the DHB by maintaining an overview of the services and issues in the District, by providing advice to the Board on the provision and funding of services, and by assisting in the integration of services in the District.

The Chairs of advisory committee may request consultative subcommittees to provide information, assistance and prepare reports to the committee, to enable their members to fulfil their purpose. The Chair of each consultative subcommittee is appointed by the Board. Membership of each consultative subcommittee is recommended by the respective Chair of the consultative subcommittee, for approval by the Board.

Each consultative subcommittee operates by its Terms of Reference that have been approved by relevant advisory committee. The Terms of Reference include purpose, scope and term along with membership composition and budget of each consultative subcommittee.

The Board retains the authority to establish and dissolve Board consultative subcommittees (clause 38(1) of Schedule 3 of the NZPHD Act) and to regulate each committee's procedure (clause 38(4) of Schedule 3 of the NZPHD Act).

6.3.2 Levels of Authority
Each consultative subcommittee is accountable to the Board through the committee it is responsible to. By approving this policy the Board has delegated to each consultative subcommittee the power to make recommendations to that advisory committee on matters of service provision, service funding and service changes and the power to advise the committees on issues and recommend actions.
7. DELEGATIONS TO THE CEO

7.1 Delegation to CEO of Power to Make Decision on Management Matters

Section 26(3) of the Act requires the Board to delegate to the DHB's CEO the power to make decisions on management matters relating to the DHB, and any such delegation may be made on such terms and conditions as the Board thinks fit.

In accordance with section 26(3) of the NZPHD Act and by approving this policy the Board has delegated to the CEO the power to make decisions on management matters relating to the DHB. That delegation includes, without limitation, the power to make decisions on the following management matters of the DHB:

(a) human resources
(b) revenue and funding contracts up to the financial limitation delegated
(c) capital expenditure up to the financial limitation delegated
(d) expenditure for major maintenance up to the financial limitation delegated
(e) financial delegations up to the financial limitation delegated
(f) property matters subject to any conditions in respect of approval
(g) legal matters subject to any conditions specified
(h) administration matters subject to any conditions and relevant policies
(i) supplies and services subject to any conditions and up to the financial limitation delegated
(j) research matters subject to any conditions in respect of approval.

7.2 Delegation of other functions, powers and duties to the CEO

In addition to the above by approving this policy the Board has delegated to the CEO:

(a) the functions, duties and powers outlined in section 8 of this policy;

(b) its functions, powers and duties under the following Acts as detailed in Appendix 6 "Delegations under other Enactments" of this policy:

- Charitable Trusts Act 1957
- Children, Young Persons and their Families Act 1989
- Civil Defence Emergency Management Act 2002
- Contraception, Sterilisation, and Abortion Act 1977
- Crown Entities Act 2004
- Health Act 1956
- Health and Disability Services (Safety) Act 2001
- Health Practitioners Competence Assurance Act 2003
Title: DELEGATION OF AUTHORITY

- Health Sector (Transfers) Act 1993
- Injury Prevention Rehabilitation Compensation Act 2001
- Mental Health Commission Act 1998
- Social Security Act 1964

This policy specifically excludes:

- Mental Health (Compulsory Assessment and Treatment) Act 1992 which covers the role of the Director Area Mental Health Services
- Powers convened to the Medical Officer of Health under the Health Act 1956

7.3 CEO may sub delegate functions, duties and powers

Subject to the Commerce Act 1986 and section 24 of the NZPHD Act, the role of the DHB Funder Arm is to enter into co-operative agreements and arrangements to assist the DHB meet its strategic and annual plans, to enhance health and disability outcomes for people, and to enhance efficiencies in the health sector.

The CEO may, by notice in writing, sub delegate functions, duties and powers to the Regional General Manager Planning & Funding (RGMP&F) and other Executive members to ensure that the functions of the DHB Funder Arm can be performed.

Such a delegation may permit the relevant Executive members to assign certain functions, duties and powers to other specified levels of management within the organisational structure, including temporary delegations.

The CEO may also, by notice in writing, delegate functions, duties and powers to the DHB's Chief Operating Officer (COO), and other Executive members to ensure that the functions of the DHB Provider Arm can be performed.

Such a delegation to the above roles may permit the delegate to sub delegate certain functions, duties and powers to other specified levels of management within the organisational structure, including temporary delegations.

7.4 Terms and conditions of delegations

Delegations made to the CEO are made on the following terms and conditions:

(a) The Board consents, in accordance with clause 40(1)(b) of Schedule 3 of the NZPHD Act, to the CEO assigning:
   (i) any non financial powers, duties or functions set out in the DHB Delegation Policy Document and
   (ii) the financial powers, duties or functions in accordance with Appendix 1.

(b) Delegations made do not include:

1. delegation of any function, duty or power of the Board or of the DHB which the Board currently retains or exercises; and
2. any delegation to a committee of the Board any of the functions, duties or powers, of the Board or of the DHB pursuant.
and otherwise on the terms and conditions set out in this Policy.

- Those delegations are aimed at facilitating the timely management of the DHB, while minimising risk to the Board. Delegates when exercising those functions, duties and powers, must comply with the policy and its schedules.

7.5 CEO to maintain delegations register

The CEO will maintain a register of delegation authorities in accordance with this policy. The delegations register will show what delegations are in force, and where they are not open-ended, the dates at which attention should be given to renewal. The register will also record the statutory power that has been delegated, the office held by the delegate, any conditions on the delegation, and whether consent is given to sub-delegation.

8. DELEGATIONS TO PERSONS OUTSIDE DHB/BOARD

If the Board desires to delegate any functions, duties, or powers to persons who are neither members of the Board nor employees of the DHB, the prior approval of the Minister of Health is required.

9. POWERS, FUNCTIONS AND DUTIES RESERVED FOR MINISTER

The NZPHD Act, the Public Finance Act 1989 and government policy require approval by the Minister of the following transactions:

- Sale of land and buildings
- Finance leases and operating leases exceeding $0.5 million or 10 per cent of total assets
- Borrowing or financing transactions
- Co-operative arrangements
- Purchasing and holding of shares or securities
- Creating or settling trusts.

10. RELATED MATTERS

10.1 Governance

By approving this policy, the Board has made the delegations in relation to governance matters to the persons listed in Appendix 1, while the CEO is authorised to sub-delegate his or her powers, functions and duties in relation to operational matters as outlined in section 7 above.
10.2 Process for Delegating Responsibilities

This clause applies where employees holding delegations wish to sub-delegate any delegated authority they have. For delegating powers, duties or functions of the DHB or the Board, the Delegator will:

1. define the powers, duties or functions to be delegated specifically outlining the limits of the powers, duties or functions being delegated

2. determine to whom it is proposed the powers, duties or functions are to be delegated (“the potential delegate”), particularly ensuring that the person is not ‘interested’ in the transaction

3. define the criteria to be used in assessing whether to delegate the power

4. assess the competence of the potential delegate to perform the powers, duties or functions being delegated

5. determine and then approve the fitness of the potential delegate for delegation

6. formally delegate in writing the powers, duties or functions as defined

7. consider the question of sub-delegation of that power and any conditions attached to that sub-delegation.

10.3 Policy Review

This policy shall be reviewed annually. The DHB’s Audit Committee shall review and make recommendations to the Board. Any policy amendments require the further approval of the Minister of Health.

APPENDICES

1. Delegations to the DHB Funder Arm & the DHB Provider Arm
2. Assignment of Delegated Authority Form
3. Approved Delegated Authority Schedule 3 or Specimen Signatures Form
4. Provisions Applying to CPHAC, DSAC and HAC
5. Provisions Applying to Other Board Committees
6. Delegations under Other Enactments
## Appendix 1 – Delegation Schedule

<table>
<thead>
<tr>
<th>Level 1</th>
<th>Chief Executive Officer</th>
</tr>
</thead>
<tbody>
<tr>
<td>Level 2</td>
<td>Chief Operating Officers</td>
</tr>
<tr>
<td></td>
<td>Regional Chief Financial Officer (RCFO)</td>
</tr>
<tr>
<td></td>
<td>Regional General Manager Planning and Funding (RGMP&amp;F)</td>
</tr>
<tr>
<td>Level 3</td>
<td>Other Regional Executive or Local Executive members</td>
</tr>
<tr>
<td></td>
<td>Group Managers / Patient Service Managers</td>
</tr>
<tr>
<td></td>
<td>Other Senior Management Team Members / Regional Business Analysts (RBA)</td>
</tr>
<tr>
<td></td>
<td>Regional Finance Manager (RFM)</td>
</tr>
<tr>
<td></td>
<td>Regional Group Manager – Supply Chain</td>
</tr>
<tr>
<td>Level 4</td>
<td>Service Managers, Service Improvement Managers, Associate Director Nursing, Nurse Directors, Senior Planning &amp; Funding Contract Managers (SCM), Building &amp; Property Manager, Medical Officers Unit Team Leader, Procurement Manager</td>
</tr>
<tr>
<td>Level 5</td>
<td>Cost Centre Budget Holders, Financial Accountants (FA)</td>
</tr>
</tbody>
</table>

**All amounts are GST exclusive in New Zealand dollars.**

<table>
<thead>
<tr>
<th>Delegation Of Authority</th>
<th>Ability To Sub-Board</th>
<th>Level 1</th>
<th>Level 2</th>
<th>Level 3</th>
<th>Level 4</th>
<th>Level 5</th>
<th>Policy Statement And Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.01 Annual Business Plan</td>
<td></td>
<td></td>
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<td></td>
<td></td>
</tr>
<tr>
<td>Approve DAP / SOI / DSP</td>
<td>No</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>/history/</td>
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<tr>
<td>Approve activities outside plan</td>
<td>No</td>
<td>✓</td>
<td></td>
<td></td>
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<td></td>
<td></td>
</tr>
<tr>
<td>&gt;$250,000</td>
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<td></td>
</tr>
<tr>
<td>&lt;$100,000</td>
<td>No</td>
<td>✓</td>
<td>✓</td>
<td></td>
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<td></td>
</tr>
<tr>
<td>&lt;$20,000</td>
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<tr>
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<tr>
<td>&lt;$5,000</td>
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<td>✓</td>
<td>✓</td>
<td>✓</td>
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</tr>
</tbody>
</table>

Author: Regional Chief Financial Officer
Approved by: Chief Executive Officer
### Delegation Of Authority

<table>
<thead>
<tr>
<th>Delegation Of Authority</th>
<th>Ability To Sub. Board</th>
<th>Level 1</th>
<th>Level 2</th>
<th>Level 3</th>
<th>Level 4</th>
<th>Level 5</th>
<th>Policy Statement And Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.02 Capital Expenditure (including leasing of assets)</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>&gt;$250,000</td>
<td>No</td>
<td>✓</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>Capital Approval Group to review and prioritise capital expenditure within the DAP limits set. Clinical Boards must be involved in the prioritisation process.</td>
</tr>
<tr>
<td>&lt;$250,000</td>
<td>No</td>
<td>✓</td>
<td></td>
<td></td>
<td></td>
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<td></td>
</tr>
<tr>
<td>&lt;$100,000</td>
<td>No</td>
<td>✓</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>National guidelines have been issued for DHBs, these include items greater than $500k ($300k for IT) going to the regional capital groups for approval.</td>
</tr>
<tr>
<td>&lt;$20,000</td>
<td>No</td>
<td>✓</td>
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</tbody>
</table>

#### 1.03 Capital Asset Disposal

<table>
<thead>
<tr>
<th>Book or Sale Value</th>
<th>Level 1</th>
<th>Level 2</th>
<th>Level 3</th>
<th>Level 4</th>
<th>Level 5</th>
<th>Policy Statement And Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td>&gt;$250,000</td>
<td>No</td>
<td>✓</td>
<td></td>
<td></td>
<td></td>
<td>Procedures on how to initiate capital disposals are set out in the Capex Policy Manual. Does not include land or buildings, which require Ministers approval.</td>
</tr>
<tr>
<td>&lt;$250,000</td>
<td>No</td>
<td>✓</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>&lt;$50,000</td>
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<td>✓</td>
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<tr>
<td>&lt;$10,000</td>
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<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>&lt;$1,000</td>
<td>No</td>
<td>✓</td>
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</table>

#### 1.04 Public Relations

<table>
<thead>
<tr>
<th>Public Relations</th>
<th>Level 1</th>
<th>Level 2</th>
<th>Level 3</th>
<th>Level 4</th>
<th>Level 5</th>
<th>Policy Statement And Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td>Set and change PR policy</td>
<td>No</td>
<td>✓</td>
<td></td>
<td></td>
<td></td>
<td>The CEO must clear all significant releases. Commentary must be in line with media policy. The CEO will notify the Chair of any event that is likely to give rise to adverse publicity</td>
</tr>
<tr>
<td>Comment to media on policy issues and governance</td>
<td>No</td>
<td>✓</td>
<td></td>
<td></td>
<td></td>
<td>Other levels may be authorised to comment in line with media policies and as authorised by Level 3 and higher delegates.</td>
</tr>
<tr>
<td>Comment to media on operational issues</td>
<td>Yes</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
### Delegation Of Authority

<table>
<thead>
<tr>
<th>Delegation Of Authority</th>
<th>Ability To Sub Board</th>
<th>Level 1</th>
<th>Level 2</th>
<th>Level 3</th>
<th>Level 4</th>
<th>Level 5</th>
</tr>
</thead>
<tbody>
<tr>
<td>Approve Consultation expenditure or community relations expenses</td>
<td>No</td>
<td>✓</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>&gt; $100,000</td>
<td>No</td>
<td>✓</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>&lt; $100,000</td>
<td>No</td>
<td></td>
<td>✓</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>&lt; $20,000</td>
<td>No</td>
<td></td>
<td></td>
<td>✓</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

#### 1.05 Operating Expenditure (Not gifting or sponsorship – refer sensitive expenditure policy for limits)

<table>
<thead>
<tr>
<th>Expenditure within approved budget</th>
<th>CFO</th>
<th>RFM</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>PAYE / GST / FBT / Capital Charge &amp; Interest payments</td>
<td>Yes</td>
<td></td>
<td></td>
</tr>
<tr>
<td>&gt;$250,000</td>
<td>Yes</td>
<td>✓</td>
<td></td>
</tr>
<tr>
<td>&lt;$250,000</td>
<td>Yes</td>
<td>✓</td>
<td></td>
</tr>
<tr>
<td>&lt;$200,000</td>
<td>Yes</td>
<td>✓</td>
<td></td>
</tr>
<tr>
<td>&lt;$100,000</td>
<td>Yes</td>
<td>✓</td>
<td></td>
</tr>
<tr>
<td>&lt;$50,000</td>
<td>Yes</td>
<td>✓</td>
<td>✓</td>
</tr>
</tbody>
</table>

Any such expenditure for consultation will have been approved by Board and be in line with consultation as defined in the Operating Policy Framework.

Expenditure not budgeted, refer to limits in section 1.1. Expenditure (per transaction) that is within the approved plan is authorised by the respective budget holders with the exceptions noted in the following sections 1.6 to 1.14. All expenditure is expected to be generated via purchasing systems with valid order numbers or requisitioned via Oracle IP. These limits also refer to approved items on the regional catalogue. Lesser limits and restrictions may apply for non-catalogue items.

Purchasing Officers can place orders on behalf of budget holders when they are replenishing an agreed holding area and have level 4 delegation in this regard.

Salary payments are managed via payroll and are processed in line with collective and individual agreements. Payroll signoff for the schedules is deemed to be authorisation in terms of the subsequent payment run processing by finance.

Regional expenditure is coded by approvers in line with this delegation policy. There are monthly funds transfers between the DHBs that transfer...
Title: DELEGATION OF AUTHORITY

<table>
<thead>
<tr>
<th>Delegation Of Authority</th>
<th>Ability To Sub Board</th>
<th>Level 1</th>
<th>Level 2</th>
<th>Level 3</th>
<th>Level 4</th>
<th>Level 5</th>
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</thead>
<tbody>
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</table>

Policy Statement And Comments

the total of these transactions, however it is the transaction level amounts that are the deemed authority for this transfer that is also reviewed by the RCFO or RFM.

Where the Regional Executive have delegation, it is limited to the amounts specified in this policy, not doubled because there are two DHBs involved in a transaction.

Where credit notes are to be issued for amounts previously charging, then a higher level of delegation authority is required from the person who generated the charge. This is based on the “one-up” principle.

1.06 Human Resources

<p>| | | | | | | |</p>
<table>
<thead>
<tr>
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<th></th>
<th></th>
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<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>L3 staff &amp; above - dismissal / disciplinary</td>
<td>No</td>
<td>✓</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>In line with HR policies</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>L4 staff &amp; below – dismissal / disciplinary</td>
<td>No</td>
<td>✓</td>
<td>✓</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>In line with HR policies</td>
<td></td>
<td></td>
<td></td>
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<td></td>
<td></td>
</tr>
<tr>
<td>Signing of MECA documentation</td>
<td>Yes</td>
<td>✓</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>New, replacement and temporary appointments unplanned</td>
<td>No</td>
<td>✓</td>
<td>✓</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
| All salary progressions / appointments have a policy of requiring 1 level up counter approval. 

This means that while a L2 delegate can approve progression for direct staff member, it also requires L1 endorsement as the L2 delegate reports to the CEO.

| New, replacement and temporary appointments budgeted >$250,000 | No | ✓ |         |         |         |         |
| New, replacement and temporary appointments budgeted <$250,000 | Yes | ✓ |         |         |         |         |
### Delegation Of Authority

<table>
<thead>
<tr>
<th>Ability To Sub. Board</th>
<th>Level 1</th>
<th>Level 2</th>
<th>Level 3</th>
<th>Level 4</th>
<th>Level 5</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>New, replacement and temporary appointments budgeted &lt;$200,000</strong></td>
<td>Yes</td>
<td></td>
<td>✓</td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>New, replacement and temporary appointments budgeted &lt;$100,000</strong></td>
<td>No</td>
<td></td>
<td>✓</td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>New, replacement and temporary appointments budgeted &lt;$70,000</strong></td>
<td>No</td>
<td>✓</td>
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<td>✓</td>
<td>✓</td>
</tr>
<tr>
<td><strong>Salary progression outside of contractual arrangements or budget parameters</strong></td>
<td>No</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
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<tr>
<td><strong>Relocation expenses &gt; HR Policy</strong></td>
<td>No</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
</tr>
<tr>
<td><strong>Relocation expenses &lt; HR Policy</strong></td>
<td>No</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
</tr>
<tr>
<td><strong>Recruitment costs &gt;$10,000</strong></td>
<td>No</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
</tr>
<tr>
<td><strong>Recruitment costs &lt;$10,000 and per HR policy</strong></td>
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<td>✓</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
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<tr>
<td><strong>SMO / RMO locum expenditure</strong></td>
<td>Yes</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
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</tbody>
</table>

#### 1.07 Write-Offs (Bad Debt and Stock)

<table>
<thead>
<tr>
<th>Amount</th>
<th>Approval</th>
<th>Notes</th>
</tr>
</thead>
<tbody>
<tr>
<td>&gt;$50,000</td>
<td>No ✓</td>
<td>Board refers to the Audit Committee</td>
</tr>
<tr>
<td>&lt;$50,000</td>
<td>No ✓</td>
<td></td>
</tr>
<tr>
<td>&lt;$20,000</td>
<td>No</td>
<td>CFO</td>
</tr>
<tr>
<td>&lt;$2,000</td>
<td>No</td>
<td>RFM</td>
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</table>
### Delegation Of Authority

<table>
<thead>
<tr>
<th>Delegation Of Authority</th>
<th>Ability To Sub. Board</th>
<th>Level 1</th>
<th>Level 2</th>
<th>Level 3</th>
<th>Level 4</th>
<th>Level 5</th>
<th>Policy Statement And Comments</th>
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<tr>
<td>&gt;$500</td>
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<td></td>
<td></td>
<td></td>
<td>FA</td>
</tr>
</tbody>
</table>

#### 1.08 Receiving Gifts, Entertainment & Donations

| Non-financial gifts >$500 | No | ✓ |         |         |         | Any 3rd party (non DHB) that pays for or provides items including conferences, education etc falls within this section of the delegation policy. |
| Non-financial gifts <$500 | No | ✓ | ✓       |         |         | All transactions must be entered into the electronic register that is available on the Intranet. A hierarchy will create automated workflow for approvals. |
| Non-financial gifts <$200 | No | ✓ | ✓       | ✓       | ✓       | Any gift >$200 will be referred to the relevant Group Manager with gifts >$500 referred to the CEO who will determine if a conflict of interest exists. If so, the gift will be declined or donated towards a worthwhile cause as nominated by the GM or CEO. |

Financial Gratuities | No |         |         |         |         | On no account should staff (personally) accept tips or money from patients, visitors or business clients of the DHB. People or organisations that wish to give financial gratuities or non financial assets to the organisation & not individuals are able in line with donation policies or to the various DHB trust funds. Staff should refer to Finance should such gifts arise. |

#### 1.09 Ex-Gratia payments

| >$50,000 | No | ✓ |         |         |         | The Audit Committee receive notifications of all ex-gratia payments and make recommendations to the Board for payments >$50,000 |
| <$50,000 | No | ✓ |         |         |         | |
| <$10,000 | No | ✓ |         |         |         | |
| <$5,000  | No | ✓ |         |         | ✓       | |
## DELEGATION OF AUTHORITY

<table>
<thead>
<tr>
<th>Delegation Of Authority</th>
<th>Ability To Sub. Board</th>
<th>Level 1</th>
<th>Level 2</th>
<th>Level 3</th>
<th>Level 4</th>
<th>Level 5</th>
<th>Policy Statement And Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.10 Staff Travel / Expenses and Entertainment</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>&gt;$20,000</td>
<td>No</td>
<td>✔</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>All staff expenses/reimbursements must not be authorised by:-</td>
</tr>
<tr>
<td>&lt;$20,000</td>
<td>No</td>
<td>✔</td>
<td>✔</td>
<td></td>
<td></td>
<td></td>
<td>- themselves or</td>
</tr>
<tr>
<td>&lt;$10,000</td>
<td>No</td>
<td>✔</td>
<td>✔</td>
<td>✔</td>
<td></td>
<td>✔</td>
<td>- their peers or</td>
</tr>
<tr>
<td>&lt;$1,000</td>
<td>No</td>
<td>✔</td>
<td>✔</td>
<td>✔</td>
<td>✔</td>
<td>✔</td>
<td>- their subordinates</td>
</tr>
<tr>
<td>&lt;$500</td>
<td>No</td>
<td>✔</td>
<td>✔</td>
<td>✔</td>
<td>✔</td>
<td>✔</td>
<td>All staff expenses/reimbursements must be authorised by the supervisor the staff reports to.</td>
</tr>
<tr>
<td>Entertainment and approved functions within above limits</td>
<td>No</td>
<td>✔</td>
<td>✔</td>
<td>✔</td>
<td>✔</td>
<td>✔</td>
<td>Also, please refer to the Sensitive Expenditure Policy for guidance on this type of expenditure.</td>
</tr>
<tr>
<td>Working lunches (on premises)</td>
<td>No</td>
<td>✔</td>
<td>✔</td>
<td>✔</td>
<td>✔</td>
<td>✔</td>
<td></td>
</tr>
<tr>
<td>Vehicle use application</td>
<td>No</td>
<td>✔</td>
<td>✔</td>
<td>✔</td>
<td>✔</td>
<td>✔</td>
<td></td>
</tr>
</tbody>
</table>

### 1.11 Use of Consultants

<table>
<thead>
<tr>
<th>Use of Consultants</th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>&gt;$50,000</td>
<td>No</td>
<td>✔</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>Note that these limits are less than in section 1.01 for activities outside of plan.</td>
</tr>
<tr>
<td>&lt;$50,000</td>
<td>No</td>
<td>✔</td>
<td>✔</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>&lt;$15,000</td>
<td>No</td>
<td>✔</td>
<td>✔</td>
<td>✔</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>&lt;$10,000</td>
<td>No</td>
<td>✔</td>
<td>✔</td>
<td>✔</td>
<td>✔</td>
<td>✔</td>
<td>Level 4 is only Building &amp; Property Manager</td>
</tr>
</tbody>
</table>

### 1.12 DHB Provider Arm Contracts for Revenue or Supply of Goods and Services (Not RGM P&F)

<table>
<thead>
<tr>
<th>DHB Provider Arm Contracts for Revenue or Supply of Goods and Services (Not RGM P&amp;F)</th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Contracts with a term &gt; three years regardless of value</td>
<td>No</td>
<td>✔</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>Contracts to follow Contract Approval Workflow / Policy agreed at the DHB.</td>
</tr>
<tr>
<td>&lt;$1,000,000 (Annualised value)</td>
<td>Yes</td>
<td>✔</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>Transactions within the contract then fall within approvals in section 1.05 or 1.01.</td>
</tr>
<tr>
<td>&lt;$500,000 (Annualised)</td>
<td>Yes</td>
<td>✔</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>New Contracts must be budgeted or limits in Section 1.1 otherwise apply.</td>
</tr>
<tr>
<td>&lt;$100,000 (Annualised)</td>
<td>Yes</td>
<td>✔</td>
<td>✔</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
### Title: DELEGATION OF AUTHORITY

#### Delegation Of Authority

<table>
<thead>
<tr>
<th>Ability To Sub-Board</th>
<th>Level 1</th>
<th>Level 2</th>
<th>Level 3</th>
<th>Level 4</th>
<th>Level 5</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>✓</td>
<td>✓</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

#### Policy Statement And Comments

1.13 **Trust and Bequest Funds**

Approved use of Trust Funds in accordance with stated purpose of the Trust & nominated signatory to funds

<table>
<thead>
<tr>
<th>Amount</th>
<th>Level 1</th>
<th>Level 2</th>
<th>Level 3</th>
<th>Level 4</th>
<th>Level 5</th>
</tr>
</thead>
<tbody>
<tr>
<td>&gt;$50,000</td>
<td>No</td>
<td>✓</td>
<td>✓</td>
<td></td>
<td></td>
</tr>
<tr>
<td>&lt;$50,000</td>
<td>No</td>
<td>✓</td>
<td>✓</td>
<td></td>
<td></td>
</tr>
<tr>
<td>&lt;$5,000</td>
<td>No</td>
<td>✓</td>
<td>✓</td>
<td></td>
<td></td>
</tr>
<tr>
<td>&lt;$2,000</td>
<td>No</td>
<td>✓</td>
<td>✓</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Requires two approvals, one of which must be the RCFO

Requires two Level 3 approvals, one being relevant Senior Manager

Requires one approval.

1.14 **DHB Funder Arm Funding and Purchasing (Only CEO or RGM P&F)**

<table>
<thead>
<tr>
<th>Approval Process</th>
<th>Level 1</th>
<th>Level 2</th>
<th>Level 3</th>
<th>Level 4</th>
<th>Level 5</th>
</tr>
</thead>
<tbody>
<tr>
<td>Prioritisation Approval process</td>
<td>No</td>
<td>✓</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Contracts with a term &gt; three years regardless of value</td>
<td>No</td>
<td>✓</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Contracts &lt;$1,000,000 (Annualised)</td>
<td>Yes</td>
<td>✓</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Contracts &lt;$500,000 (Annualised)</td>
<td>Yes</td>
<td>✓</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Contracts &lt;$100,000 (Annualised)</td>
<td>No</td>
<td>✓</td>
<td>SCM</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Contracts to follow Contract Approval Workflow / Policy agreed at the DHB.

Transactions within the contract then fall within approvals in section 1.05 or 1.01.

New Contracts must be budgeted or limits in Section 1.1 otherwise apply.

1.15 **Treasury and Finance**

<table>
<thead>
<tr>
<th>Investment, Forex, Debt and Trading Policies</th>
<th>Level 1</th>
<th>Level 2</th>
<th>Level 3</th>
<th>Level 4</th>
<th>Level 5</th>
</tr>
</thead>
<tbody>
<tr>
<td>No</td>
<td>✓</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

The Treasury Policy sets out guidelines and requirements.
**Title:** DELEGATION OF AUTHORITY

<table>
<thead>
<tr>
<th>Delegation Of Authority</th>
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<th>Level 1</th>
<th>Level 2</th>
<th>Level 3</th>
<th>Level 4</th>
<th>Level 5</th>
<th>Policy Statement And Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td>Approve (CHFA, bank/other) debt</td>
<td>No ✓</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Approve addition of debt</td>
<td>No ✓</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Approve repayment of debt</td>
<td>No ✓</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Approve change of debt terms</td>
<td>No ✓</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Approve rollover of debt</td>
<td>No ✓ ✓ CFO</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Approve Finance Leases</td>
<td>No CFO RFM</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Approve Foreign Exchange Cover</td>
<td>No CFO RFM</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Approve Interest Rate Hedging</td>
<td>No ✓</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Approve main banking relationship</td>
<td>No ✓</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Approve all permanent bank facilities and overdraft arrangements</td>
<td>No ✓</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Approve drawdown of debt within arranged facilities</td>
<td>No ✓ CFO</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Approve cheque signatories</td>
<td>Yes ✓</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>Approval is by Audit Committee.</td>
</tr>
<tr>
<td>Approve other bank accounts</td>
<td>No ✓</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Approve short-term investments per Treasury policy</td>
<td>Yes ✓ CFO</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
### Delegation Of Authority

<table>
<thead>
<tr>
<th>Ability To Sub. Board</th>
<th>Level 1</th>
<th>Level 2</th>
<th>Level 3</th>
<th>Level 4</th>
<th>Level 5</th>
</tr>
</thead>
<tbody>
<tr>
<td>Statutory (Delegation)</td>
<td>No</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Governance Arm</td>
<td>No</td>
<td>✔</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Funder Arm</td>
<td>No</td>
<td>✔</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Provider Arm Clinical</td>
<td>Yes</td>
<td>✔</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Provider Arm Non-Clinical</td>
<td>Yes</td>
<td>✔</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Finance (Governance, Funder and Provider)</td>
<td>No</td>
<td>✔</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Information Technology</td>
<td>No</td>
<td>✔</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Human Resources</td>
<td>No</td>
<td>✔</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

#### Policy Statement And Comments

1.16 Operational Policy and Procedures

Statutory policies to go to the Audit and Risk Committee for approval before CEO authorisation.

Examples are:
- Public Finance Act 1989
- Employment Relations Act 2000
- Health and Safety in Employment Act 1992
- Resource Management Act 1993
- Privacy Act 1993
- Health Practitioners Competence Assurance Act 2003
- Official Information Act 1982

RGM P&F Only
- COO only
- RCFO only
- RCIO only
- RGM Human Resources only
PART A - TEMPORARY ASSIGNMENT OF DELEGATED AUTHORITY

Temporary assignments are made using the financial system’s AP approval workflow routing rules per the instructions below. The assignee will need to have access to Oracle Financials (see Appendix 2 part C)

1. You need to **log on to oracle Financials**.

2. Next you need to navigate through the following oracle menus
   - Select from the menu **AP Approval**
   - Select from the menu **Work List**

3. Next you need to click the option of **Routing Rules**, it is located on the bottom left side of the screen

4. Next you need to click the option of **Create Rule**, it is located on the right side of your screen. **Please note that you can have one person approving purchase orders (requisitions) and another person approving invoices.**

   Next you need to select the relevant option you require from the drop down list

   You may have several options the following are relevant to Delegating Authorities

   a. **Requisitions**, will only delegate the Requisition for approve onto the delegate

   b. **SA AP Invoice**, will only delegate Invoices for approve onto the delegate

   or

   c. **All**, will do both purchase orders and invoice approvals

   d. After you have selected your type press **Next**

5. **Rule Response - you need to enter the following fields**
Title: DELEGATION OF AUTHORITY

6. How to review, edit and delete your rules
   a. Complete steps 1, 2 and 3 – this will show you the list of current rules in place
   b. If you need to edit a rule you can just click on the Update option on that rule and complete step 5
   c. If you need to delete a rule you just click on the Delete option on that rule and that will remove that rule.
PART B - PERMANENT ASSIGNMENT OF PART DELEGATED AUTHORITY

Why
For assignment of delegated authority to enable new / existing personnel to authorise requisitions or invoices over and above existing delegated responsibility.

Considerations
1. That the person you are delegating to is appropriate under the delegations policy, and familiar with the delegations policy.
2. What type of authority and amount you wish to delegate.
3. That the person who you are delegating to has the correct oracle access. If they don’t have the correct access please ensure that this is requested using the form in Appendix 2 Part C (allow two working days).

What needs done?
As part of delegating your authority you need to:
1. Complete all sections of the form below
2. List all cost centres this delegation is to apply too
3. You need to decide the type and what $ value you intend to delegate (note this value can be different for catalogue requisitions, non catalogue requisitions, and Invoice approvals).
4. This form must be authorised by the delegating manager and also the appropriate manager’s supervisor for the cost centres which the authority applies.
ASSIGNMENT OF DELEGATED AUTHORITY

OTAGO DHB □ SOUTHLAND DHB □ REGIONAL □

I ………………………………………………………. Position …………………………………………………

Employee Number: ………………………………..

Delegates Name …………………………………. Position…………………………………………………………

Employee Number …………………………………..

This delegation is effective from           /           /

Cost Centre/s (please state all applicable Cost Centres including those currently held)

……………………………………………………………………………………………………………………………………………

……………………………………………………………………………………………………………………………………………

……………………………………………………………………………………………………………………………………………

Sub-delegation is: (Tick where appropriate)

☐ Purchasing: Catalogue Orders $……………………

☐ Non catalogue Orders $ ……………………………

☐ Invoice Approval $ …………………………………

Other / Special Conditions (if any, i.e. partial sub-delegation on specific duties).

……………………………………………………………………………………………………………………………………………

……………………………………………………………………………………………………………………………………………

……………………………………………………………………………………………………………………………………………

Signed by Delegator

Approved and signed by Delegator’s Supervisor

Print Name

Print Name

Date:_________________  Date:_________________

Send to: Hierarchy Administrator, Finance Department, Dunedin Hospital

Email to: Hierarchy Administrator
PART C – REQUEST / ACCESS TO FINANCIAL SYSTEM

Why
For new and existing personnel requiring access to oracle financials.

Considerations
As part of this access you need to consider:
1. The person you are giving access to is appropriate under the Delegations policy
2. Do you have the appropriate authority to delegate this position
3. Is the person able to complete their tasks under the current delegation level
4. Does this affect an existing delegation
5. Access is not immediate (Allow two working days)

What needs done?
As part of allowing access to Oracle you need to:-
1. Confirm person is appropriate under Delegation Policy
2. The form below must be authorised by the authorised Manager (level 1-5) for the cost centres being allocated.
3. Select the appropriate level with your position - Any additional Delegation you will need to complete a Assignment of delegated Authority form
4. Complete all sections of the form and return to:
   Hierarchy Administrator,
   Finance Department,
   Dunedin Hospital
   Email: Hierarchy Administrator
5. Access will be given once Oracle Training is completed
Oracle Financials Access Request / Set up

Requirements for Gaining Oracle access
- This form must be authorised by a suitable manager for the cost centres listed below and returned to Hierarchies Administrator
- All Staff must attend a training session before being given their access to the Oracle system
- You will be contacted to make a suitable time for training in Oracle financials and Internet Procurement
- Sub Delegation other than below must have a sub delegation form completed

OTAGO DHB ☐ SOUTHLAND DHB ☐ REGIONAL ☐

---

Is this a New User  Yes / No  Employee Number …………………
Surname ………………………………………………………………………
First Name ………………………………………………………………………
Hospital Email …………………………………………………………………
Phone Extension …………………………… Network User Id ………………
Job Position /Title ………………………………………………………………………

---

Change to an existing Oracle user  Yes / No
Employee Name …………………………..Employee number………………

---

Does this Delegation replace an existing Staff member Yes / No
Employee Name …………………………..Employee number …………………

Please Specify all cost centres ……………………………………………………………
……………………………………………………………………………………………..

___________________________________________        Date ___________
Signed by Manager

___________________________________________
Print Name
Appendix 3 – Provisions Applying To CPHAC, DSAC and HAC

Extract from New Zealand Public Health and Disability Act 2000/Schedule 4. Provisions applying to community and public health advisory committees, disability support advisory committees, and hospital advisory committees:

6 Members

(1) Members of the committee—
   (a) must each be appointed by the board by notice in writing to the member for a term, not exceeding 3 years, stated in the notice together with the date on which the member comes into office;
   (b) are eligible for reappointment.

(2) A person who is a member of a board of a publicly-owned health and disability organisation may not be appointed as a member of a committee that regularly advises, or is likely regularly to advise, on matters relating to transactions of a kind in which the person is interested.

(3) Before the board of a DHB appoints a person who is not a member of that board to a committee, the person must give the board a statement completed by the person in good faith that—
   (a) discloses any conflicts of interest that the person has with the DHB as at the date on which the statement is completed, or states that the person has no such conflicts of interest as at that date; and
   (b) discloses any such conflicts of interest that the person believes are likely to arise in future, or states that the person does not believe that any such conflicts are likely to arise in future.

7 Terms or conditions of office, and remuneration

Members of the committee—
   (a) have the terms or conditions of office, consistent with this Act, that the board determines; and
   (b) are remunerated [in accordance with section 47 of the Crown Entities Act 2004 and are entitled to be reimbursed for expenses in accordance with section 48 of that Act as if the members of the committee were members of the DHB].

8 Resignation

A member of the committee may resign from that office by notice in writing to the committee and board stating the date on which the resignation takes effect.

9 Vacation of office

(1) A member of the committee ceases to hold that office if—
   (a) the period of his or her appointment expires; or
   (b) he or she dies; or
   (c) the DHB to which the board relates is disestablished by an Order in Council made under section 19(2).

(2) For the purposes of subclause (1)(c), a DHB is not disestablished just because it—
   (a) is renamed; or
   (b) is involved in a reorganisation of districts (as described in clause 18 of Schedule 2); or
   (c) has its district altered (as described in clause 19 of Schedule 2).

(3) Subclause (1) overrides any deed or agreement.
Title: DELEGATION OF AUTHORITY

10 Removal from office

(1) A member of the committee may be removed from that office by the board by notice in writing to the member and committee stating the board's reasons for the removal and the date on which the removal takes effect.

(2) A board may exercise the power under subclause (1) only if it has first consulted the member, and committee, about the removal.

(3) Subclauses (1) and (2) override any deed or agreement.

11 Chairperson and deputy chairperson

(1) A board—
   (a) must appoint a member of the committee as chairperson of the committee; and
   (b) may appoint another member of the committee as deputy chairperson of the committee.

(2) The appointment must be by notice in writing to the member and committee that—
   (a) may be the same notice as the notice under clause 6(1)(a) appointing the member; and
   (b) must state the period (starting at or after the time the member comes into that office, and ending at or before the time he or she must cease to be a member) for which the member is appointed chairperson or deputy chairperson and the date on which he or she comes into that office.

(3) A member appointed chairperson or deputy chairperson and whose appointment as such has expired—
   (a) continues in that office until his or her successor is appointed; and
   (b) is eligible for reappointment to that office so long as he or she continues to be a member of the committee.

12 Resignation

A chairperson or deputy chairperson of the committee—
   (a) may resign from that office by notice in writing to the committee and board stating the date on which the resignation takes effect; but
   (b) if he or she does so, continues to be a member of the committee unless he or she also resigns from that office, under clause 8.

13 Vacation of office

(1) A chairperson or deputy chairperson of the committee ceases to hold that office if he or she ceases to be a member of the committee.

(2) A deputy chairperson of the committee ceases to hold that office if he or she is appointed chairperson of the committee.

(3) Subclauses (1) and (2) override any deed or agreement.

14 Removal from office

(1) A chairperson or deputy chairperson of the committee may be removed from that office by the board by notice in writing to the chairperson or, as the case requires, deputy chairperson, and committee stating the board's reasons for the removal and the date on which the removal takes effect.

(2) A board may exercise the power under subclause (1) only if it has first consulted the chairperson or, as the case requires, deputy chairperson, and committee, about the removal.

(3) Subclauses (1) and (2) override any deed or agreement.

(4) A chairperson or deputy chairperson removed from that office continues to be a member of the committee unless also removed from that office, under clause 10(1).
15  Board to notify Minister of appointments, etc

(1) The board must give the Minister notice of any appointment, resignation, vacation of office, or removal from office, of any chairperson, deputy chairperson, or member of a committee, under any of clauses 6, or 8 to 14.

(2) The notice must be in writing and given as soon as practicable, and no later than 10 working days, after the board becomes aware of the appointment, resignation, vacation of office, or removal from office.
Appendix 4 – Provisions Applying To Other Board Committees

Extract from New Zealand Public Health and Disability Act 2000/Schedule 3. Provisions applying to DHBs and their boards:

38 Committees

(1) A board of a DHB may—
   (a) establish 1 or more committees of the board for a particular purpose or purposes:
   (b) appoint, as members of a committee of the board, or as the chairperson or deputy chairperson of any such committee, either members of the board, or other persons, or both:
   (c) dismiss any member, or chairperson, or deputy chairperson, of a committee of the board:
   (d) dissolve any committee of the board.

(2) In making appointments to a committee of a board, the board must endeavour, where appropriate, to ensure representation of Maori on the committee.

(3) If a board of a DHB dismisses any member, or chairperson, or deputy chairperson, of a committee of the board, under subclause (1)(c), the board must, on or as soon as reasonably practicable after the dismissal, give that person a written statement of the board's reasons for the dismissal.

(6) Before a board of a DHB appoints a person who is not a member of the board to a committee of the board, the person must give the board a statement completed by the person in good faith that—
   (a) discloses any conflicts of interest that the person has with the DHB as at the date on which the statement is completed, or states that the person has no such conflicts of interest as at that date; and
   (b) discloses any such conflicts of interest that the person believes are likely to arise in future, or states that the person does not believe that any such conflicts are likely to arise in future.
Appendix 5 – Delegations Under Other Enactments

The Board delegates its functions, powers and duties under the following Acts to the CEO, on the terms and conditions set out in Section 6 above.

1  Charitable Trusts Act 1957

Pursuant to section 26 and clause 39 of Schedule 3 of the Act, the Board delegates to the CEO any function or duty required to be performed, or any power that may be exercised, by the DHB under the Charitable Trusts Act 1957 (including the power set out in the following table) and anything reasonably incidental to the performance of such functions and duties or to the exercise of such powers:

<table>
<thead>
<tr>
<th>Section</th>
<th>Description of Power</th>
</tr>
</thead>
<tbody>
<tr>
<td>51</td>
<td>Power to carry out the purposes of, or administer any property, income or money in relation to, a charitable trust scheme approved under Part III or IV of the Charitable Trusts Act 1957.</td>
</tr>
</tbody>
</table>

2  Children, Young Persons, and their Families Act 1989

Pursuant to section 26 and clause 39 of Schedule 3 of the Act, the Board delegates to the CEO any function or duty required to be performed, or any power that may be exercised, by the DHB under the Children, Young Persons, and their Families Act 1989 (including the power set out in the following table) and anything reasonably incidental to the performance of such functions and duties and to the exercise of such powers:

<table>
<thead>
<tr>
<th>Section</th>
<th>Description of Power</th>
</tr>
</thead>
<tbody>
<tr>
<td>141</td>
<td>Power (where delegated by the Director-General of Health pursuant to s141(7)) to authorise any suitable person or organisation to issue certificates for the purposes of providing for the placement of any child or young person in the care of a proposed caregiver.</td>
</tr>
</tbody>
</table>

3  Civil Defence Emergency Management Act 2002

Pursuant to section 26 and clause 39 of Schedule 3 of the Act, the Board delegates to the CEO any function or duty required to be performed, or any power that may be exercised, by the DHB under the Civil Defence Emergency Management Act 2002 (including the duties set out in the following table) and anything reasonably incidental to the performance of such functions and duties and to the exercise of such powers:

<table>
<thead>
<tr>
<th>Section</th>
<th>Description of Duties</th>
</tr>
</thead>
<tbody>
<tr>
<td>59</td>
<td>Duty to undertake civil defence emergency management functions and responsibilities.</td>
</tr>
<tr>
<td>63</td>
<td>Duty to participate in the development of the national civil defence emergency management strategy and civil defence emergency management plans and to provide an active member for each of the Civil Defence Emergency Management Co-ordinating Executive Groups.</td>
</tr>
</tbody>
</table>
Title: DELEGATION OF AUTHORITY

4 Contraception, Sterilisation, and Abortion Act 1977

Pursuant to section 26 and clause 39 of Schedule 3 of the Act, the Board delegates to the CEO any function or duty required to be performed, or any power that may be exercised, by the DHB under the Contraception, Sterilisation, and Abortion Act 1977 (including the power set out in the following table) and anything reasonably incidental to the performance of such functions and duties and to the exercise of such powers:

<table>
<thead>
<tr>
<th>Section</th>
<th>Description of Power</th>
</tr>
</thead>
<tbody>
<tr>
<td>17(3)</td>
<td>Power to provide work, services, goods, stores or equipment to the Supervisory Committee.</td>
</tr>
<tr>
<td>20</td>
<td>Power to apply for a licence.</td>
</tr>
</tbody>
</table>

5 Crown Entities Act 2004

Pursuant to section 26 and clause 39 of Schedule 3 of the Act, the Board delegates to the CEO any function or duty required to be performed, or any power that may be exercised, by the DHB under the Crown Entities Act 2004 (including those set out in the following table) and anything reasonably incidental to the performance of such functions and duties and to the exercise of such powers:

<table>
<thead>
<tr>
<th>Section</th>
<th>Description of Function, Duty or Power</th>
</tr>
</thead>
<tbody>
<tr>
<td>133-134</td>
<td>Duty to supply information to the Minister of Health and Minister of Finance on request.</td>
</tr>
<tr>
<td>139</td>
<td>Duty to prepare a statement of intent.</td>
</tr>
<tr>
<td>146</td>
<td>Duty to provide statement of intent to the Minister of Health.</td>
</tr>
<tr>
<td>150</td>
<td>Duty to prepare an Annual Report.</td>
</tr>
<tr>
<td>154</td>
<td>Duty to prepare financial statements at the end of each financial year.</td>
</tr>
<tr>
<td>156</td>
<td>Duty to forward information and annual reports to the Auditor General.</td>
</tr>
<tr>
<td>158</td>
<td>Duties regarding bank accounts.</td>
</tr>
<tr>
<td>168</td>
<td>Duty to cause accounting records to be kept.</td>
</tr>
</tbody>
</table>

6 Health Act 1956

Pursuant to section 26 and clause 39 of Schedule 3 of the Act, the Board delegates to the CEO any function or duty required to be performed, or any power that may be exercised, by the DHB under the Health Act 1956 (including those set out in the following table) and anything reasonably incidental to the performance of such functions and duties and to the exercise of such powers:

<table>
<thead>
<tr>
<th>Section</th>
<th>Description of Function, Duty or Power</th>
</tr>
</thead>
<tbody>
<tr>
<td>22C</td>
<td>Power to disclose health information if that information is required by certain specified persons for certain specified purposes.</td>
</tr>
<tr>
<td>22D</td>
<td>Duty to provide returns or other information concerning the condition or treatment of, or the health services or disability services provided to, any individuals in order to obtain statistics for health purposes or for the purposes of advancing health knowledge, health education, or health research.</td>
</tr>
<tr>
<td>22E</td>
<td>Duty to provide certain information to an entity appointed under s92H of the Health Act 1956 (in relation to the collection and distribution of blood and controlled human substances).</td>
</tr>
<tr>
<td>22G</td>
<td>Power to request the records of a person who has claimed payment from the DHB and to authorise the inspection of those records.</td>
</tr>
</tbody>
</table>
7 Health and Disability Services (Safety) Act 2001

Pursuant to section 26 and clause 39 of Schedule 3 of the Act the Board delegates to the CEO any function or duty required to be performed, or any power that may be exercised, by the DHB under the Health and Disability Services (Safety) Act 2001 (including those set out in the following table) and anything reasonably incidental to the performance of such functions and duties and to the exercise of such powers:

<table>
<thead>
<tr>
<th>Section</th>
<th>Description of Function, Duty or Power</th>
</tr>
</thead>
<tbody>
<tr>
<td>9</td>
<td>Duty to meet service standards.</td>
</tr>
<tr>
<td>31</td>
<td>Duty to provide information to the Director-General of Health.</td>
</tr>
</tbody>
</table>

8 Health Practitioners Competence Assurance Act 2003

Pursuant to section 26 and clause 39 of Schedule 3 of the Act, the Board delegates to the CEO any function or duty required to be performed, or any power that may be exercised, by the DHB under the Health Practitioners Competence Assurance Act 2003 (including those set out in the following table) and anything reasonably incidental to the performance of such functions and duties and to the exercise of such powers:

<table>
<thead>
<tr>
<th>Section</th>
<th>Description of Function, Duty or Power</th>
</tr>
</thead>
<tbody>
<tr>
<td>54</td>
<td>Power to apply for quality assurance activities to be protected.</td>
</tr>
</tbody>
</table>

9 Health Sector (Transfers) Act 1993

Pursuant to section 26 and clause 39 of Schedule 3 of the Act, the Board delegates to the CEO any function or duty required to be performed, or any power that may be exercised, by the DHB under the Health Sector (Transfers) Act 1993 (including those set out in the following table) and anything reasonably incidental to the performance of such functions and duties and to the exercise of such powers:

<table>
<thead>
<tr>
<th>Section</th>
<th>Description of Function, Duty or Power</th>
</tr>
</thead>
<tbody>
<tr>
<td>11A</td>
<td>Power to deal with trust land.</td>
</tr>
<tr>
<td>11C</td>
<td>Power to apply proceeds of sale of Crown endowment land.</td>
</tr>
</tbody>
</table>

10 Injury Prevention Rehabilitation Compensation Act 2001

Pursuant to section 26 and clause 39 of Schedule 3 of the Act, the Board of the DHB delegates to the CEO any function or duty required to be performed, or any power that may be exercised, by the DHB under the Injury Prevention Rehabilitation Compensation Act 2001 (including those set out in the following table) and anything reasonably incidental to the performance of such functions and duties and to the exercise of such powers:

<table>
<thead>
<tr>
<th>Section</th>
<th>Description of Function, Duty or Power</th>
</tr>
</thead>
<tbody>
<tr>
<td>280</td>
<td>Power to supply certain information to ACC for the purposes of verifying the entitlement or eligibility of any person to or for any payment or the amount of any payment to which any person is or was entitled or for which any person is or was eligible.</td>
</tr>
</tbody>
</table>
11 Mental Health Commission Act 1998

Pursuant to section 26 and clause 39 of Schedule 3 of the Act, the Board delegates to the CEO any function or duty required to be performed, or any power that may be exercised, by the DHB under the Mental Health Commission Act 1998 (including the power set out in the following table) and anything reasonably incidental to the performance of such functions and duties and to the exercise of such powers:

<table>
<thead>
<tr>
<th>Section</th>
<th>Description of Power</th>
</tr>
</thead>
<tbody>
<tr>
<td>6</td>
<td>Power to assist in the implementation of the national mental health strategy in the manner contemplated by s6 of the Mental Health Commission Act 1998.</td>
</tr>
</tbody>
</table>

12 Public Records Act 2005 and the NZPHD (Archives) Regulations 2001

Pursuant to section 26 and clause 39 of Schedule 3 of the Act, the Board delegates to the CEO any function or duty required to be performed, or any power that may be exercised, by the DHB under the Public Records Act 2005 and the New Zealand Public Health and Disability (Archives) Regulations 2001 (including the duties required to be performed by the Public Records Act 2005 set out in the following table) and anything reasonably incidental to the performance of such functions and duties and to the exercise of such powers:

<table>
<thead>
<tr>
<th>Section</th>
<th>Description of Duties</th>
</tr>
</thead>
<tbody>
<tr>
<td>17 – 18</td>
<td>Duty to create and maintain records.</td>
</tr>
<tr>
<td>21 – 22</td>
<td>Duty to transfer public records that have been in existence for 25 years to the control of the Chief Archivist.</td>
</tr>
</tbody>
</table>

13 Social Security Act 1964

Pursuant to section 26 clause 39 of Schedule 3 of the Act, the Board of the DHB delegates to the CEO any function or duty required to be performed, or any power that may be exercised, by the DHB under the Social Security Act 1964 (including the powers set out in the following table) and anything reasonably incidental to the performance of such functions and duties and to the exercise of such powers:

<table>
<thead>
<tr>
<th>Section</th>
<th>Description of Power</th>
</tr>
</thead>
<tbody>
<tr>
<td>69FA</td>
<td>Power to assess whether a person requires home-based disability support services.</td>
</tr>
</tbody>
</table>

[Section 69F was repealed in 2005]

| 137-138 | Power and duty to carry out needs assessments of whether an eligible person requires long-term residential care in a hospital or rest home indefinitely. |