

SESLHD POLICY COVER SHEET



Health
South Eastern Sydney
Local Health District

NAME OF DOCUMENT	SESLHD Delegations of Authority Manual
TYPE OF DOCUMENT	Handbook
DOCUMENT NUMBER	SESLHDHB/027
DATE OF PUBLICATION	November 2023
RISK RATING	Medium
LEVEL OF EVIDENCE	National Safety and Quality Health Service Standards: Standard 1 – Clinical Governance
REVIEW DATE	July 2026
FORMER REFERENCE(S)	N/A
EXECUTIVE SPONSOR or EXECUTIVE CLINICAL SPONSOR	Director, Finance, SESLHD
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FUNCTIONAL GROUP(S)	Finance
KEY TERMS	Delegation, approval, financial delegations
SUMMARY	This Delegation Manual sets out delegations to be applied consistently across South Eastern Local Health District (SESLHD) on all matters that impact on the operations of the services and facilities that comprise SESLHD.

COMPLIANCE WITH THIS DOCUMENT IS MANDATORY

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Health

South Eastern Sydney
Local Health District

SOUTH EASTERN SYDNEY LOCAL HEALTH DISTRICT

DELEGATIONS OF AUTHORITY MANUAL

SESLHDHB/027

NOTE: This manual is to be read in conjunction with relevant NSW Government, NSW Health and SESLHD policies.

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1. INTRODUCTION - DELEGATION MANUAL – PURPOSE

This Delegation Manual is designed to set out clear unambiguous delegations that can be applied consistently across South Eastern Sydney Local Health District (SESLHD) on all matters that impact on the operations of the services and facilities that comprise SESLHD. It provides guidance and direction on the authorisation and quantification of expenditure, staff-related matters and other non-financial matters.

The SESLHD Delegation Manual reflects the principles in NSW Health Policy Directive, Delegations of Authority PD2012_059. In applying their delegations, SESLHD staff are to comply with this Policy Directive.

The manual is intended to be a 'ready reference', easy-to-use document, to assist staff to comply with their obligations. The manual must be considered and followed in-line with the applicable policies for each delegation topic area.

Delegations should reflect the management structure of SESLHD and its facilities, with delegated officers being identified or grouped into categories that reflect the organisational structure of the LHD. Each delegated officer within a particular "group" can only exercise the delegation in relation to their own area of responsibility. For example, this manual allows a number of groups of delegated officers to authorise overtime; however, an individual officer only has delegation to authorise overtime for staff within their own unit/area of responsibility.

The SESLHD Board delegates its authority to the SESLHD Chief Executive (CE) who operates under the authority of the *Health Services Act 1997* (NSW).

All figures are in Australian dollars (AUD) and exclude Goods and Services Tax (GST). That is, the delegated amounts are the figures, excluding any applicable GST on the transaction.

2. FACILITIES AND SERVICES COVERED BY THE SESLHD DELEGATIONS MANUAL

The Delegations Manual is designed to apply to all the operations of the units, facilities and services that comprise the SESLHD on a day to day basis.

A list of all facilities and services covered by this manual are outlined below:

- Prince of Wales Hospital and Health Services;
- St George Hospital and Health Services;
- Sutherland Hospital and the Garrawarra Centre;
- Royal Hospital for Women;
- Sydney / Sydney Eye Hospital;
- Mental Health Services;
- Gower Wilson Memorial Hospital;
- SESLHD Community Health Centres and its operations; and
- SESLHD Executive Offices and District services

This manual does not apply to the Affiliated Health Organisations (AHOs); namely Calvary or War Memorial that are located within SESLHD boundaries.

This manual should be considered in conjunction with the SESLHD organisational / functional structure chart and may be amended to align with any structural changes if required.

3. DELEGATE RESPONSIBILITIES

- It is important to understand that delegations are made to positions, not to persons, and are specific to the position's role. The delegation to a position is specific and is not transferable.
- Delegates are to exercise any powers, authorities, duties and functions delegated to them in a responsible, consistent and cost effective manner.
- Delegates must act in accordance with any conditions imposed on the relevant delegation and consistent with NSW Government, NSW Health and SESLHD policies.
- Delegates are responsible for knowing their classification and their level of delegation and for

informing themselves and keeping up to date on any changes to the delegations arising from changes in law, NSW Government or NSW Health policy or revisions of delegations or other directions issued by SESLHD.

- Delegates shall only exercise delegations in relation to their own areas of administrative or operational responsibility and cost centres relevant to their position and will not approve matters for an officer over whom they have no responsibility.
- Reference shall be made to the Goods and Services Procurement Policy Manual for procurement requirements: for example, the mandatory use of Government Contracts and purchasing dollar thresholds in relation to quotation and tendering requirements.
- Goods and services shall not be ordered / purchased without an official purchase order (PO) number unless subject to NSW Health's Excluded PO Accounts List or purchased in compliance with Procurement Card Policy.
- All purchases are subject to available funding and budgetary constraints.
- When approving expenditure delegates must:
 - Consider the dollar limit of their delegation for the category of expenditure;
 - Satisfy themselves that funds are available, within existing budget, to meet any expense being approved under delegation;
 - Consider any additional costs that will result from the expenditure, including for example direct recurrent costs, indirect operating costs, life cycle and future replacement costs, and any other associated expenses or matters that would impact on the financial management and performance of the organisation; and
 - Obtain any necessary additional approvals where the expenditure will be from, or supplemented by, Restricted Financial Assets and Custodial Trust (RFA & CTF) Funds (e.g. from trustees), as outlined in NSW Health policies and this manual.
- Delegates must not approve "self-related matters" or matters that raise potential probity issues in relation to the exercise of the delegation. For example delegates must not:
 - Approve any expenditure in relation to a matter where they have a pecuniary interest, or where there is a real, potential or perceived conflict of interest.
- When approving expenditure, delegates must not:
 - Split items / orders to bring them within any limit of their position's delegation and administrative responsibility;
 - The dollar amounts specified in the Delegations Manual relates to the total cost of any project regardless of the number of orders necessary and excludes GST;
 - Requisition or purchase items from an alternate vendor where a NSW Government, NSW Health or SESLHD contract exists for the goods or services to be procured from an existing / approved vendor; and
 - Requisition or purchase non-catalogued items where a similar product exists in the NSW Health Item Master File.
- Requisitions for purchasing and / or leasing of motor vehicles should be processed through Manager, Fleet Services or appropriately delegated officer.
- The dollar limits for capital works relate to approved capital works programs.
- Delegates should consult SESLHD officers with specialty product knowledge (for example, IT officers, biomedical engineering, clinical products advisors, engineers if building works or capital works are required) to confirm cost effective procurement which is in accordance with SESLHD practices.
- Delegated officers are to sign all documents (requisitions, orders, contracts etc.), with their position title, as that title is set out in the Delegations Manual. Where the officer is acting, or relieving, in a position they should also indicate their "acting" role in the signing of the document and abide by the

delegations associated with that role.

- Limits on spend and contract signing authority are based on the total life of the contract, including renewals, variations and extensions (collective value).
- Variations of contract including extensions must be approved by at least the same level of authority as the original contract was approved
- Delegates may not re-delegate any authority conferred on them by the SESLHD Delegations Manual to any other officer.
- The rules of delegation apply whether requisitions are online or paper-based.
- All officers acting or relieving in a position with delegation that is higher than their substantive role or for different cost centres, are required to complete an Acknowledgement Form (Appendix 4) to cover the acting period when greater than 2 months. The form must be completed for each acting period undertaken by the employee. Once received, the acting delegation will be activated within the Finance system for the applicable period to enable approvals to occur.

Note: *Delegations of an officer reflect the minimum level officer that can approve.*

4. CATEGORIES OF DELEGATED OFFICERS

SESLHD has grouped its delegates into levels from 1 to 5. **Appendix 1** should be referred to for a full list of Delegated Officers, however the following is a general guide of the roles that fall within each level:

Level 1	Chief Executive (as delegate of SESLHD Board)
Level 2	Members of the Executive Team that report into the Chief Executive.
Level 3	Specific direct reports of Level 2
Level 4	Level 2 / Level 3 direct reports – all other
Level 5	Department Heads and Managers with cost centre accountability

Assumption that approvals from the Ministry of Health have been submitted by the CE as delegated by the Board, notification will be made to the Board and Sub-Committees if required.

In addition to these formal levels of Delegated Officers, the CE has extended delegation privileges to authorised staff who have been issued with a purchasing card (PCard). PCards are encouraged for General Fund G&S / RMR purchases where the transactions are non-clinical, low value and frequent and / or regular in nature.

	Level 1	Level 2	Level 3	Level 4	Level 5
5. BUDGET					
5.1 Initial Budget					
Annual budget strategy determination	CE				
Allocate budget to Divisions		DOF			
Allocate budget within Divisions – within parameters determined by DOF			ALL		
Approve variations to budgets between CE approvals, pending Finance & Performance Committee ratification		DOF			
Allocate capital budgets - within annual capital budget and parameters determined by capital planning process. Refer to Capital S6.1.1		DOF			
5.2 Adjustments & Transfers					
Authorise budget supplementation		DOF			
Authorise transfer of budgets between cost centres for budgets allocated to this position or those reporting to this position			ALL		
Authorise transfer of budgets between cost centres or line items for budgets allocated to this position or those reporting to this position		DOF			
Authorise transfer of budgets from one department to another between different Divisions/Units		DOF			
5.3 Affiliated Health Organisations					
Authority to determine subsidy and administer funding for recognised establishments and recognised services or affiliated health organisations	CE				
5.4 Rollovers					
Authorise roll over budgets to Division		DOF			
6. GENERAL FUND EXPENDITURE DELEGATIONS					
6.1. General Expenditure Process					
<i>Approve expenditure for general fund in accordance with the budget. See Section 17: Summary Financial Delegations – Dollar Limits of Delegations</i>					
6.2. Consultants – see also Capital Expenditure: Section 10					
<i>In accordance with the Goods & Services Procurement Policy Manual, Section 9</i>					
Procurement process when a pre-qualified panel is NOT used:					
Where estimated cost of the consultancy is less than \$30,000 :				One written proposal	
Where estimated cost if the consultancy is \$30,001 - \$250,000:				Three Written proposals	
Where estimated cost of the consultancy is over \$250,000:				Tender process	
Authorise engagement of consultants and approve variations in consultants works or costs					
Up to \$250,000		DOF			
Up to \$1m	CE				
Over \$1m	Requires MoH Approval				
6.3. Corporate Procurement Card					
<i>In accordance with the Procurement Cards (PCards) Policy</i>					
PCard applications must be authorised by Tier 2 prior to being submitted to DOF		ALL			
Approve PCard transaction limits up to \$5000 and monthly limits for use of PCard in compliance with policy		DOF			
Approve PCard transaction limits over \$5000 for use of PCard in compliance with PCard	CE				

	Level 1	Level 2	Level 3	Level 4	Level 5
Policy					
6.4. Drugs / Pharmaceuticals					
<i>In accordance with the Procedure for the purchasing drugs of addiction under the Poisons Act</i>					
Authority to order drugs of addiction specified under the Poisons and Therapeutic Goods Act 1966 and its regulations <\$150,000				DP (Site)	
Authority to order drugs of addiction specified under the Poisons and Therapeutic Goods Act 1966 and its regulations >\$150,000		EDO			
<i>Approval of Individual Patient Usage (IPU) medications in accordance with District policy</i>					
Authority to approve IPU medications < \$10,000			GMs DDP		
Authority to approve IPU medications >= \$10,000	Quality Use of Medicines Committee				
<i>Approval of pharmaceutical supplies in line with SESLHD Policy:</i>					
Up to \$1,000					Pharmacists
Up to \$10,000					Deputy / Senior Pharmacist
Up to \$150,000 (Pharmacist to counter-sign)				DP (Site)	
Over \$150,000 (Pharmacist to counter-sign)		EDO			
6.5. Leases					
<i>In accordance with the Goods & Services Procurement Policy Manual</i>					
Equipment – (note: computer leasing is no longer allowed):					
Operating lease up to 3 years or a total of \$100,000		DOF			
Operating lease over 3 years and up to a total of \$500,000 and/or recurrent yearly payments up to \$100,000	CE				
Capital equipment with total lease value greater than \$500,000 and/or recurrent yearly payments greater than \$100,000 – Requires MOH Approval					
Property:					
Authority to sign or vary leases for premises of a 3 year term with 3 year option (5 years with 5 year option if under Retail Leases Act) <i>Note: CE can delegate</i>	CE				
<i>Approval to purchase or dispose of land - Requires MOH Approval</i>					
6.6. Mobile Phones					
Approve the purchase of:					
Replacement mobile phones			ALL		
Additional mobile phones			ALL		
6.7. Out of Pocket Expenses					
Approve out of pocket expenses for senior officers e.g. entertainment expenses	CE				
6.8. Catering for Functions					
<i>The purchase of alcohol requires CE approval and should be restricted to official functions.</i>					
External catering – up to \$500			ALL		
External catering – up to \$5,000		DOF			
External catering – over \$5,000	CE				
Official functions with alcohol	CE				

	Level 1	Level 2	Level 3	Level 4	Level 5
6.9. Petty Cash					
<i>All personal out of pocket expenses to be claimed via iExpenses</i>					
Approve petty cash imprest reimbursements				FM	
Authority to create or increase petty cash floats		DOF			
6.10. Requisitions					
Approve requisitions for stock items on imprest supply					ALL
6.11. Accounts Payable					
Check accuracy of invoices for payment - HealthShare Function					
Authorise payment of invoices made by HealthShare				MFAR	
6.12. Other Operational Expenditure, (Goods & Services and Repairs & Maintenance)					
<i>In accordance with the Goods & Services Procurement Policy Manual and subject to the mandatory use of Government, NSW Health and LHD contracts.</i>					
<p>In accordance with the Procurement Cards (PCards) Policy Incur Expenditure and make payments directly using the NSW Health issued PCard Levels 1-5 - Limit is set of the lesser amount of the Approved Delegation Level or card limit. Cardholders without a formal delegated authority are limited to a maximum transaction limit of \$3000. Authorise expenditure of approved budget allocated to this position, and those reporting to this position, for general fund operational expenditure items (including Repairs & Maintenance) not specifically mentioned in this document:</p>					
Up to \$3,000	No quotes required				
\$3,000 to \$30,000 :	One written quote				
\$30,001 - \$250,000:	Three written quotes				
Over \$250,000:	Tender process				
<i>Orders must not be split to come under these limits.</i>					
6.13. Legal Expenses					
Approval to engage legal counsel:					
Up to \$25,000			Head of Legal services		
Over \$25,000	CE				
6.14. Legal Representation Expenses related to Coronial Issues					
Legal expenses up to \$25,000			Head of Legal Services		
Legal expenses over \$25,000	CE				
6.15. Instructions to Legal Representation (from NSW Legal Panel)					
To mediate to a value of \$1m			Head of Legal Services		
To mediate to a value of >\$1m	CE				
6.16. Hosted Services Charges					
Approval to authorise hosted services invoices between Health entities	CE	DOF			

	Level 1	Level 2	Level 3	Level 4	Level 5
7. REVENUE DELEGATIONS					
7.1. Debt Recovery					
Authority to refer to debt collector					MBSC
Authority to initiate legal action to recover outstanding debts/accounts		DOF			
Authority to initiate legal action to recover court costs		DOF			
7.2. Overseas Visitors – Elective Surgery					
<i>Approval must be sought PRIOR to visa application being made</i>					
Pre-approve treatment and rate of charge, if any, of overseas visitors coming to Australia for specific elective medical treatment at SESLHD:					
Expected length of stay under 5 days		EDO	GM DPCH		
Expected length of stay over 5 days	CE				
7.3. Waive Charges					
Authority to waive front end deductions for private patients:					
Up to \$1,000					PLO RM
Up to \$3,000				FM	
Up to \$10,000		DOF			
Up to and over \$50,000	CE				
Authority to waive other fees and charges:					
Authority to waive or reduce search fees for accessing medical records in respect to the Adoption Information Act for reasons of hardship. <i>Note: CE can delegate</i>					RM
7.4. Write Offs					
<i>Delegations below apply to all bad debts, excluding payroll overpayments (see Section 13.5), with limits applied per admission for patient fees and per invoice for other revenue streams.</i>					
Remit, postpone, reduce or write off account(s) up to \$10,000		DOF			
Remit, postpone, reduce or write off account(s) over \$10,000	CE				

	Level 1	Level 2	Level 3	Level 4	Level 5
8. RESTRICTED FINANCIAL ASSETS & CUSTODIAL TRUST FUNDS (excluding Private Practice)					
<i>Finance must confirm funds are available before requisitions are processed</i>					
<i>See also Capital Expenditure Delegations – Section 10</i>					
8.1. Ad Hoc Funding/Grants					
Authority to approve adhoc requests for grants from organisations external to NSW Health (Process covered by PD2005-507):					
Up to \$10,000 (CE only) – In compliance with PD2005_507. <i>Note: This delegation cannot be delegated to other officers</i>	CE				
Over \$10,000 (CE only) – Advice to Minister and in compliance with PD2005_507. <i>Note: This delegation cannot be delegated to other officers</i>	CE				
8.2. Deposits					
Reimbursement of deposits and other hiring fees and charges from special purpose holding accounts				ALL	
8.3. Establish / Close Accounts					
Authority to establish and/or close RFA & CT fund accounts		DOF			
8.4. Expenditure					
Approve expenditure of RFA & CT funds in accordance with the budget and purpose(s) of the fund(s) subject to Trust Accountant confirming funds are available in the RFA & CT fund bank account PRIOR to purchase: <i>Note: excludes expenditure from private practice funds and expenditure on plant and equipment.</i>					
Up to \$10,000 - For Divisional custodial trust funds only			ALL		
Up to \$50,000 – For Divisional custodial trust funds only			ALL		
Up to \$250,000		DOF, EDO			
Up to \$1m	CE				
Over \$1m	Requires MoH Approval				
Samaritan’s fund – emergency support expenditure:					
Approve emergency support expenditure from patients’ assistance funds (<i>Note: CE can delegate</i>) <i>Report to be provided to Finance Branch each month.</i>		DOF			
Patient trust funds (mental health units):					
Up to \$500					Mental Health COM
Up to \$5,000			GMMH		
Over \$5,000		DOF			
Public contributions account - plant and equipment expenditure:					
Approve expenditure from public contributions account on plant and equipment: <i>Note: Must be part of approved capital program – statement estimating annual operating costs anticipated to be prepared prior to approval.</i>					
If part of approved capital program		DOF			
If NOT part of approved capital program	CE				
Public contributions account - other Health related expenditure:					
Approve expenditure up to \$50,000		DOF			
Approve expenditure over \$50,000	CE				

	Level 1	Level 2	Level 3	Level 4	Level 5
8.5. Investments					
Investment of patients' money held in trusts		DOF			

	Level 1	Level 2	Level 3	Level 4	Level 5
9. PRIVATE PRACTICE DELEGATIONS					
<i>See also Capital Expenditure Delegations – Section 10</i>					
9.1. Open Custodial Trust Accounts					
In conjunction with full time salary clinicians on the pooling of funds		DOF			
9.2. Payment of Earnings					
Payment of Medical Specialists private practice earnings in accordance with election				MFAR	
Transfer of facility charge to general fund accounts				MFAR	
9.3. Expenditure					
Approve expenditure of No. 1 Account private practice trust funds ('Working Trusts') in accordance with NSW Health PD2015_009: As specified by management committee in accordance with PD2015_009:					
Up to \$10,000		DOF			
Up to \$50,000		DOF, EDO			
Up to \$500,000	CE				
Over \$500,000 – requires MOH approval					
Approve expenditure of No. 2 Account funds in accordance with the NSW Health policy PD2015_009:					
Up to \$5,000 for any one item or project		DOF			
Up to \$50,000		DOF, EDO			
Up to \$500,000	CE				
Over \$500,000 – requires MOH approval					
9.4. Rights of Private Practice					
Authorise rights of private practice for medical practitioners		EDO DCG&MS			
Authorise rights of private practice for psychologists (in accordance with NSW Health PD2015_015, as varied from time to time)		DAH			
Authorise a Scheme D Staff Specialist to nominate a new level elections		EDO DCG&MS			

	Level 1	Level 2	Level 3	Level 4	Level 5
10. CAPITAL AND MINOR WORKS PROGRAM DELEGATIONS					
<i>Expenditure on any asset should not be made without consideration of the anticipated annual operating costs that will be incurred as a result of the purchase and the availability of recurrent funding.</i>					
<i>See also Summary Financial Delegations: Dollar Limits of Delegations – Section 17</i>					
10.1. Minor Works in the Approved Capital Budget					
<i>All expenditure on capital projects and minor works must be endorsed by the Executive Meeting and included on the SESLHD Capital Plan prior to exercising the delegations below:</i>					
Up to \$50,000 within allocated budget			ALL		
Up to \$250,000		DOF EDO			
Up to \$500,000	CE				
10.2. Capital Works Program (specific project)					
<i>Approval of contracts can only occur within an approved project budget, approved capital allocation or with specific DOF approval within delegation, and following approved procurement/tender processes:</i>					
Approve / commit to capital building works / projects / grants up to \$250,000		DOF			
Approve / commit to capital building works / projects / grants up to \$500,000 (\$1m for Health Technology only)	CE				
Contracts over \$500,000 - must be referred to MOH for approval (over \$1,000,000 for Health Technology), unless instrument of delegation from MOH has been received for the project.					
10.3. Purchase of Other Assets – in accordance with the Procurement Policy Manual					
<i>Expenses on IT should be endorsed by the relevant IT Department Head</i>					
Fleet additions - within annual approved capital plan motor vehicle budget		DOF			
Fleet replacements - within annual approved capital motor vehicle budget		DOF			
IT capital - within annual approved capital plan IT budget		ICT			
IT capital cost up to \$500,000	CE				
10.4. Disposal of Assets					
<i>Delegates who authorise the disposal of plant and equipment should ensure appropriate separation of responsibilities and obtain appropriate counter-sign off. Delegates should not authorise disposals to themselves, family members, associated or work colleagues. In accordance with SESLHD Asset Disposal Procedures</i>					
Plant & equipment:					
Nil proceeds with original book value up to \$25,000			ALL		
Nil proceeds with original book value up to \$500,000		DOF			
Nil proceeds with original book value over \$500,000	CE				
Proceeds from sale up to \$3,000 (negotiated sales or acceptance of written proposal)		ALL	ALL		
Proceeds from sale up to \$250,000 (3 written quotes)		DOF			
Proceeds from sale \$251,000 to \$500,000 (tender process or auction)	CE				
Proceeds from sale over \$500,000 (tender process) – Requires MOH Approval					
Land & buildings:					
See also Arrangement of Leases - Section 6.5 Authority to sell land and/or buildings – requires MOH approval					

	Level 1	Level 2	Level 3	Level 4	Level 5
11. TENDERS & CONTRACTS DELEGATIONS					
11.1. Tenders – in accordance with the Goods and Services Procurement Policy Manual					
<i>See Goods and Services Procurement Manual for full details of tendering process This section also applies to Restricted Finance Assets (RFA)</i>					
Approval of tender process:					
Approve an invitation to tender and advertising	CE				
Approve LHD tender evaluation and representation process			ALL		
Approve tender acceptance and awarding of the tender	CE				
Approve selective tendering	CE				
Exemptions / waivers:					
Authority to seek a waiver from quotations		DOF			
Authority to seek a waiver from tendering	CE				
Authority to seek State Government Contract exemption		DOF			
11.2. Contracts and Agreements					
<i>All Agreements, Contracts and MOUs are to be reviewed and approved by legal</i>					
Signing goods & services contracts, (excluding consultants covered in Section 6.1), following a compliant procurement process:					
Up to approved general fund delegation level (refer to section 17) for the period of the contract / agreement – under one year			ALL		
Up to \$250,000 for the period of the contract / agreement – no longer than 3 years		DOF EDO			
Up to \$1m for the period of the contract / agreement – no longer than 3 years		DOF EDO			
Over \$1m total or over 3 years	CE				
Signing licence agreements (excluding intellectual property agreements) or memorandum of understanding (MOU) agreements:					
Up to \$100,000 for the period of the contract / agreement – no longer than 3 years			ALL		
Over \$100,000 in total or over 3 years	CE				

	Level 1	Level 2	Level 3	Level 4	Level 5
12. GENERAL FINANCIAL DELEGATIONS					
12.1. Accounting Records / Procedures / Reports					
Authorise changes in accounting systems and procedures in accordance with Australian Accounting Standards and MOH Directives		DOF			
Authority to certify correctness of reports to FP&A Committee		DOF			
12.2. Asset Register					
Identification of items to be included in asset register. <i>Note: CE can delegate (AM S8 c6.0)</i>					ALL
Approve adjustments to asset register (AAD 5.9). Requires annual report to FP&A Committee.		DOF			
12.3. Banking					
Authority to open, operate and close bank accounts (AM2.8)	CE	DOF (close)			
Authority to approve variation in banking institution utilised (AM2.8), in accordance with FP&A Committee recommendation – Requires MOH Approval					
Approve cheque signatories for operation of bank accounts (AM2.8), in accordance with FP&A Committee recommendation		DOF			
Approval of alternate times, means and methods for banking and issue of receipts as per requirements. <i>Note: CE can delegate (pg. 2.1 to 2.3 AM)</i>		DOF			
12.4. Fringe Benefits Tax					
Approve and sign yearly FBT returns - Prepared by Trust Accountant		DOF			
Authorise quarterly FBT payment - Prepared by Trust Accountant				MFAR	
12.5. Fundraising Activities					
<i>In accordance with NSW Health Fundraising Policy, Section 6 All fundraising over \$10,000 must have a fundraising agreement</i>					
Authority to approve the conduct of fundraising activities - minimal risks and expected income < \$20,000		ALL	GMs DPCH		
Authority to approve the conduct of fundraising activities - risks managed via controls with expected income > \$20,000	CE				
Authority to issue certificates of currency for the conduct of fundraising activities			Chief Risk Officer		
12.6. Funding Agreements / Government Grants					
Authority to accept and sign funding contracts and government grants on behalf of SESLHD:					
Up to \$250,000		DOF EDO DR			
Up to \$1m	CE				
Over \$1m	Requires MoH Approval				
Authority to approve ad hoc requests for funding as well as other conditions required by MoH PD2019_013					
Up to \$10,000) – In compliance with PD2019_013		EDO			
Over \$10,000 (CE only) Advice to Minister	CE				

	Level 1	Level 2	Level 3	Level 4	Level 5
& in compliance with PD2019_013					
12.7. Funding Shortfall					
Approval to apply for subsidy for funding shortfall	CE				
12.8. Goods & Services Tax (GST)					
Approve and sign monthly Business Activity Statement (BAS) for SESLHD		DOF			
Authorise agreements to issue/be issued with a Recipient Created Tax Invoice (RCTI)				MFAR	
12.9. Investments					
Investment of general fund monies in accordance with MOH and LHD policy - Senior Financial Accountant prepares, then invests as approved		DOF			
12.10 Risk Management / Insurance Claims					
Authority to submit insurance claims relating to:					
Professional indemnity/ liability claims		DCL, DCG&MS			
Workers compensation claims		DPC			
Motor vehicle claims		ALL	GMs DPCH		
Property / miscellaneous claims		ALL	GMs DPCH		
Agreement to out of court settlements:					
Up to \$500,000	CE				
Over \$500,000 – Requires MOH Approval					
Purchase of insurance policies: (with advice from TMF)		DCG&MS			
12.11. Sponsorships / Gifts					
Approval of sponsorships up to and including \$10,000		ALL	GMs DPCH		
Approval of sponsorships up to and including \$25,000	CE				
Approval of sponsorship (AM 9.25) Sponsorship Principles - ICAC. Approval document to include clear indication if sponsorship including research, overseas travel or addressing seminars/conferences	CE				
Power to accept property by gifts, devices and bequests and accepting any conditions attached thereto over \$75 (refer to PD2015_045)	CE				
12.12. Stock adjustments					
Authority to write off / adjust non-pharmaceutical stock:					
Up to 5% of total stock holding up to maximum of \$10,000		DOF			
Over \$10,000	CE				
12.13. Rebate / Discount Agreements					
Authority to approve and sign the agreements on behalf of SESLHD		DOF			

	Level 1	Level 2	Level 3	Level 4	Level 5
13. HUMAN RESOURCE MANAGEMENT					
<i>Unless otherwise specified a one up rule applies to this section</i>					
<i>Delegates must not approve “self-related matters” or matters that raise potential probity issues in relation to the exercise of the delegation. For example a delegate:</i>					
<ul style="list-style-type: none"> • <i>Must not authorise their own expenditure or expenditure reimbursement, certify their own time sheet or authorise their own higher duty allowance, overtime, or annual/long service leave;</i> • <i>Must not approve any expenditure in relation to a matter where they have a pecuniary interest, or where there is a real, potential or perceived conflict of interest.</i> 					
<i>The authorising person for these and similar matters shall be a more senior officer or another officer as approved in writing by the Chief Executive</i>					
13.1. Recruitment and Appointments					
Approve the creation or recruitment of a new position					
LHD Chief Executive	BOARD				
All other new positions	CE				
Approve the creation or recruitment of a new position from Restricted Financial Assets:					
Re-contracting/extension of position with funding			ALL		
Approve the recruitment of vacant funded position					
Vacant less than 6 months				Manager reporting into Level 2/3	
Determine commencing salary:					
LHD Chief Executive	BOARD				
Tier 2 LHD Executive and all other HES positions	CE				
General Managers & LHD Tier 2	CE				
Health Manager classifications:					
Base level of band					Manager
Greater than current or most recent salary (not more than 7.5% greater)			ALL		
Greater than the Base level of band (equal to or more than 7.5% greater)	CE				
SMPs / SDPs / VMOs / VDOs	CE(on the advice of the MDAAC)				
Special Remuneration rates for non-specialist medical practitioners on short term / casual (Locum) basis	CE				
All other staff (in conjunction with HR / Award provisions)		ALL			
Criminal Record Checks:					
<i>Approval should only be granted in emergency situations where it is essential that the position be filled.</i>					
Authority to approve an employee / person to commence subject to satisfactory CRC clearance	CE (delegated to Head of HR, ER and IR Advisory)				
Authority to review/assess applicants who have a criminal history for suitability of employment	CE (delegated to DPC)				
Temporary appointments:					
Acting CE (greater than 10 days)	BOARD				
Approve a conditional / temporary registration and extension of temporary / conditional registration of overseas medical staff			GM DPCH		
Approval to recruit to a vacancy for VMOs / SMPs / ADPs / VDOs– up to 3 months (for a maximum period of 3 months. Note: multiple 3 month appointments are not to be approved)			GM DPCH		
Granting of temporary Scopes of Clinical Practice and urgent temporary SoCP changes and then make me the delegate		DCG&MS			
VMOs/ SMPs / ADPs / VDOs – over 3 months (advertisement required)– new positions	CE				

	Level 1	Level 2	Level 3	Level 4	Level 5
VMOs/ SMPs /ADPs / VDOs – over 3 months (advertisement required)- replacement of positions		DCG&MS, EDO			
Approval of an advertisement and position description for Senior Medical or Dental Practitioner appointment		DCG&MS			
Direct Appoint Staff (up to 3 months)			ALL		
Direct appoint staff greater than 3 months	CE				
Junior Medical Officer Recruitment					
Approve JMO recruitment actions in accordance with MOH JMO recruitment policy as Designated Authorising Officer		DCG&MS			
13.2. VMO / VDO Service and Indemnity Contracts					
Authority to sign-off VMO/VDO service contracts (on recommendation of MDACC)		DCG&MS (or delegate)			
Annul contracted hours to agreed budget level		DCG&MS (or delegate)			
13.3. Regrading positions, Increasing salaries and Changing titles					
Regrading positions: As per SESLHD Grading Procedure					
Salary progression (Increase salary based on performance [within existing award grading structures]):					
CE	BOARD				
HES	CE				
Medical – Junior IMGs over and above MOH policy		DCG&MS			
Senior Staff Specialist Status	CE (on the advice of MDAAC)				
Health Manager (up to 7.5%%)			ALL		
Health Manager (greater than or equal to 7.6%)		ALL			
All other staff (in conjunction with HR / Award provisions)			GMs DPCH		
13.4. Timesheets and attendance records					
Approve timesheets / rosters:					
Tier 2	CE				
Tier 3		ALL			
All other staff – First Approval					Manager
All other staff – Second Approval				ALL	
Authorise / approve amendments to staff on timesheets / rosters					
Tier 2	CE				
Tier 3		ALL			
All other staff					Manager
VMO /VDO Claims forms:					
Certify claims					Manager
Authorise within contract hours					Manager
Authorise outside contract hours		EDO	GMs DPCH		
Authorise VMO Fee for Service claim Forms				ALL	
13.5. Payroll					
Sign off Payroll Balancing Sheet					Health Share
Countersign EFT File Transfer Sheet					Health Share
Approve payroll expenditure - goods and services					Health Share
Authority to issue Taxation Payment Summaries					Health Share

	Level 1	Level 2	Level 3	Level 4	Level 5
Payroll overpayments – repayment variation		DPC			
Payroll overpayments – Write Off (Up to \$10,000)		DPC			
Payroll overpayments – Write Off (Over \$10,000)	CE				
13.6 Leave					
Annual Leave:					
Approval to take annual leave					Manager
Sick leave:					
Up to 2 days - without medical certificate					Manager
More than 2 days - with medical certificate					Manager
Defense Force leave / State Emergency Service leave					Manager Lead HR Business partner
Study leave (exclude TESL):					
For Tertiary courses			ALL		
For Conference Leave – including attendance at conferences being “on-duty” and payment of fees				Mgr reporting into Level 2/3	
For short courses (external)					Manager
Scheme D and Pre- 1997 Study Leave entitlements regardless of Expenditure				DMS DCDMH	
Training, Education & Study Leave (TESL): <i>In accordance to Ministry of Health Training, Education and Study Leave (TESL) for Staff Specialists (SS) PD2019_43 and the Staff Specialist Determination 2015</i>					
Senior Medical Staff – Level 1 - regardless of Expenditure				DMS DCDMH	
Senior Medical Staff (in consultation with Trust Fund Management Committee) (TFMC) – Level 2-5				DMS DCDMH	
Senior Medical Officer has insufficient TESL days or funds - Level 1. Based on the advice of the DMS			GM		
Senior Medical Officer has insufficient TESL days – Level 2-5 Based on the advice of the DMS			GM		TFMC Committee
Sabbatical leave for clinical academics				DMS	
Continuing medical education – CMOS and JMOs		EDO	GM DPCH		
Long service leave:					
Approval of taking leave - up to 1 month					Manager
Approval of taking leave - over 1 to 12 months			ALL		
Approval of taking leave - over 12 months	CE				
Payment in lieu of Long Service Leave for between 5 - 7 years' service		DPC			
Leave without pay – all staff:					
Approve up to 12 month			ALL		
Approve over 12 months	CE				
Special leave:					
Maternity, Adoption and Parental Leave (including Maternity / Paternity Leave without pay (see above for AL & LSL) within award entitlements			ALL		Manager
Family and Community Service Leave					Manager

	Level 1	Level 2	Level 3	Level 4	Level 5
and Personal / Carer's Leave					
Jury duty					Manager
Exam leave					Manager
Trade union leave			ALL		
Domestic Violence Leave					Manager, HR Business Partner
Application to re-credit leave:					
Application to re-credit long service or annual leave due to incapacity for employees incapacitated for five or more working days and are not on leave prior to retirement, resignation or termination.					Manager
13.7. Official Travel					
<i>NSW Department of Health PD2015_019 must be adhered to.</i>					
<i>Approvals for travel in this section include approval of claims made for payment in advance</i>					
Overseas travel	CE				
Expenditure from a RFA & CT fund (including SMPs using TESL in accordance with award)	CE				
Expenditure from a RFA & CT funds other than ROPP funds for overseas travel			ALL		
Overseas travel through sponsorship arrangements for SMO			ALL		
Overseas travel through sponsorship arrangements within budget for Other staff			ALL		
Presenting papers at conferences / seminars			ALL		
Domestic travel, including air travel and overnight stays:					
Senior Medical Staff		DCG&MS			
All other staff – up to \$1,000			ALL		
All other staff – above \$1,000		ALL			
13.8. Training (see also study and TES Leave)					
In service					Manager
External (within budgets)				ALL	
13.9. Higher Duties Allowance (approve payment of higher duties allowance)					
LHD Executive Tier 2	CE				
General Managers		EDO			
Senior Medical Department Head Management Allowances		DCG&MS			
All other staff		ALL	GMs DPCH		
13.10. Overtime and Use of Agency staff					
Authorise overtime and/or call-back of staff rostered on call (delegated to Nurse Managers – After Hours)				DON	
Issue of meal tickets for overtime in excess of 2 hours					Manager
Use of agency staff:					
Approval to use agency staff – nursing (delegated to Nurse Managers After Hours)				DON	
Approval to use agency staff – medical and other			ALL		
13.11. Other personnel matters					
Authorise Rights of Private Practice for Allied Health staff		DAH			
Secondments	Refer to SESLHD Procedure SESLHDPR/428 Secondment of Permanent Employees				
Approval to undertake paid work outside				DON	

	Level 1	Level 2	Level 3	Level 4	Level 5
– Nursing					
Approval to undertake paid work outside – Medical (on advice from local DCS)		DCG&MS			
Approval to undertake paid work outside - other			ALL		
Change of contract hours within budget:					Manager
Approval for flexible work practices and remote working					Manager
Declaring staff excess / Voluntary redundancy:					
HES staff	BOARD				
Authority to offer voluntary redundancy package to employee	CE				
13.12. Disciplinary, Dismissal and Separation Matters					
Disciplinary actions:					
Approval of remedial action (e.g. counselling)					Manager HR Business Partner
Approval of warnings			ALL		
Authority to demote or transfer staff (including transfer of staff to alternate duties or transfer staff to an alternate location)			ALL		
Dismiss staff following disciplinary procedures	CE				
Suspending staff	<i>CE (Can be delegated to the Director People and Culture)</i>				
13.13. Medical Specialists Award Management					
Temporary change in work arrangement between full and part- time		DCG&MS			
Permanent change in work arrangement from full to part-time or decrease in fraction (on GM approval)		DCG&MS			
Permanent change in work arrangement from part-time to full-time work or increase in fraction (on GM approval)		DCG&MS			
Recognition of specialist overseas qualifications (on the advice of MDAAC)	CE				
Recognition as “senior specialist” (on advice of MDAAC)	CE				
Initial appointment to higher step / accelerated progression (on the advice of MDAAC)	CE				
Managerial allowance levels		DCG&MS			
Work location (on the advice of MDAAC)	CE				
Outside practice and other business activities (recommendation from facility General Manager first)					
Leave approval					Manager
Performance agreements:					
Nominee of CE to sign for:					
Staff Specialists					Manager
Head of Department / District / Division		ALL			
LHD Stream Director / Service Director (in conjunction with DMS)		EDO			

	Level 1	Level 2	Level 3	Level 4	Level 5
14. NON FINANCIAL DELEGATIONS					
14.1. Patient Transport					
Authorise air ambulance for patient Transport				Patient Flow Manager	
Authorise commercial flights for patients			GMs DPCH		
Authorise use of NSW Ambulance, hire cars or cab charge for patient transport.				Patient Flow Manager	
14.2. Community Groups					
Use of SESLHD facilities by Community groups for bona fide health related activities					Manager
14.3. Delegations – Additions / Deletions / Alterations					
Approve additions / deletions / alterations to the SESLHD Delegations Manual - In accordance with FP&A Committee recommendation		DOF			
14.4. Information Management and Technology					
Approve SESLHD network access					ALL
Approve software applications access					ALL
Approve internet access					Manager
Approve external connections to the corporate network – e.g. connection to employee’s home via remote access. <i>Note: Record to be kept of all external connections</i>				ALL	
Approve linking data obtained from different sources within the public health system where the purpose is consistent with the original purpose for which data was collected, use of data is necessary for public health reasons or for efficient and effective management of health system and data will only be used for requested purpose (Privacy Manual S11)		ALL			
Approval of linkage per S11.5.5 where linkage is not consistent with the original purpose for which data was collected (Privacy Manual S11) - SHCEC or REC, whichever approval to recommend approval/denial to Data Administrator or CE		ALL			
Approve requests to link data from public health system data collection with data from external collection (Privacy Manual S11) - REC - make recommendation to approve/denyt Data Administrator or CE. Must inform SHCEC of decisions made		ALL			
Authorise use of notifiable disease data other than for official NSW MOH business related to disease notification or public health action (Privacy Manual S11 CE only)	CE				
Authorise identification of institutions or organisations in Notifiable Disease data where the individual / organisation has not given explicit written permission for such release (Privacy Manual S11 - can delegate)		Chief Risk Officer			
14.5. Media					
<i>Media contact/releases on contentious issues must have prior authorisation of a Tier 2 as required by SESLHD Media Policy & Procedures.</i>					
14.6. Motor Vehicle Use – Refer SESLHD Motor Vehicle Policy SESLHDPD/285					
Allocation of vehicles for the purpose	CE for HES				

	Level 1	Level 2	Level 3	Level 4	Level 5
of private use in accordance with MOH and SESLHD policies	and Executive Directors				
Approve private use of vehicle during periods of leave other than HES staff			ALL		
Authority to suspend use as a result of inappropriate use			ALL		
Approve use of private vehicles on official business - Check first with Fleet Officer on availability of SESLHD vehicle				ALL	
Accept accident notification					Fleet
Sign motor vehicle novated lease agreements		DOF			
14.7. Hospital Services					
Approval of bed numbers		EDO			
Approval to cease patient care services or close services (AAD 3.4) - Subject to 14 days prior written notice to Minister through the Ministry	CE				
Approval to undertake/introduce new health services (AAD 3.5) - Subject to 21 days prior written notice to Minister through Secretary (CE)	CE				
14.8. Other					
Authority to authenticate documents using the Common Seal Note: CE can delegate (<i>Health Services Act 1998</i> (NSW) S135)	CE				
Authority to sign-off Briefs / correspondence in response to Ministerials / NSW Health	CE				
Authority to sign Reportable Incidents briefings to be forwarded to MOH.	CE				
Senior responsible officer as per the <i>State Records Act (1988)</i> NSW.		DDH			

	Level 1	Level 2	Level 3	Level 4	Level 5
15. SERVICE AGREEMENTS					
Enter into service agreements with Commonwealth	CE				
Enter into service / performance agreements with NSW Ministry of Health	CE				
Enter into service agreements with the Health Administration Corporation	CE				
Enter into service agreements with other affiliated organisations e.g. HealthShare	CE				

	Level 1	Level 2	Level 3	Level 4	Level 5
16. RESEARCH and INTELLECTUAL PROPERTY DELEGATIONS					
16.1. Research and Intellectual Property Delegations					
Materials Transfer Agreements	CE				
Inventor IP Assignment Agreements	CE				
Inter-institutional IP Assignment Agreements				Head, Legal Services	
Research Collaboration Agreements		DR			
Contract Research Agreements		DR			
Copyright sale, purchase or transfer				Head, Legal Services	

17. SUMMARY FINANCIAL DELEGATIONS – DOLLAR LIMITS OF DELEGATIONS

Summary of expenditure delegation applicable to roles within each level where expenditure type is not specifically identified within this Manual. See full list of delegated officers at Appendix 1.

Title		Delegation Level	General Fund Expenditure (within approved Budget)	General Fund Capital Expenditure	Restricted Financial Assets & Custodial Trust Funds
Chief Executive	CEO	Level 1	2,000,000	500,000	500,000
Executive Director Operations	EDO	Level 2	250,000	100,000	50,000
Director, Finance	DOF	Level 2	250,000	100,000	50,000
Director, Digital Health	DDH	Level 2	100,000	-	-
Director, People & Culture	DPC	Level 2	50,000	-	-
Director, Internal Audit	DIA	Level 2	50,000	-	-
Director, Strategy, Innovation & Improvement	DSII	Level 2	50,000	50,000	10,000
District Director Nursing and Midwifery Services	DDON	Level 2	50,000	-	10,000
Director, Clinical Governance & Medical Services	DCG&MS	Level 2	50,000	-	10,000
Director Research	DR	Level 2	50,000	-	10,000
Director Allied Health	DAH	Level 2	50,000	-	10,000
General Managers	GMs	Level 3	50,000	50,000	50,000
Director, Population and Community Health	DPCH	Level 3	50,000	50,000	50,000
District Director, Pharmacy	DDP	Level 3	50,000	50,000	50,000
Director of Nursing and Midwifery (Site)	DON	Level 4	25,000	-	-
Head of Legal Services		Level 4	25,000	-	-
Service Line Managers / Program Directors	SLM	Level 4	25,000	50,000	10,000
Director - Pharmacy (site) (pharmacy purchases)	DP	Level 4	150,000	-	-
Director - Pharmacy (site) (all other)	DP(site)	Level 4	10,000	-	-
Site Finance Managers / Finance Directors	FM	Level 4	25,000	25,000	25,000
Manager, Finance Accounting & Reporting	MFAR	Level 4	10,000	-	-
Manager, Management Accounting	MMA	Level 4	10,000	-	-
Director of Medical Services (Site)	DMS	Level 4	10,000		
Tier 3 Management – all other		Level 4	10,000	-	-
Clinical Operations Manager, Mental Health	COM	Level 5	10,000	-	-
NUMs - Operating Theatre, NICU		Level 5	10,000	-	-
Department Heads & Managers with cost centre accountability		Level 5	3,000	-	-
Manager, Billing Service Centre	MBSC	Level 5	3,000	-	-

APPENDIX 1 – DELEGATED OFFICERS LIST IN FULL

Title	Acronym	Delegation Level
Board Finance & Performance Committee	F&P	Board
Chief Executive	CEO	Level 1
Executive Director Operations	EDO	Level 2
Director, Finance	DOF	Level 2
Director, Digital Health	DDH	Level 2
Director, People & Culture	DPC	Level 2
Director, Internal Audit	DIA	Level 2
Director, Strategy, Innovation & Improvement	DSII	Level 2
District Director Nursing and Midwifery Services	DDON	Level 2
Director, Clinical Governance & Medical Services	DCG&MS	Level 2
Director Research	DR	Level 2
Director Allied Health	DAH	Level 2
General Managers	GMs	Level 3
Director, Population and Community Health	DPCH	Level 3
District Director, Pharmacy	DDP	Level 3
Director of Nursing and Midwifery (Site)	DON	Level 4
Director of Medical Services (Site)	DMS	Level 4
Head of Legal Services	HLS	Level 4
Service Line Managers / Program Directors	SLM	Level 4
Director - Pharmacy (site) (pharmacy purchases)	DP	Level 4
Director - Pharmacy (site) (all other)	DP(site)	Level 4
Site Finance Managers / Finance Directors	FM	Level 4
Manager, Finance Accounting & Reporting	MFAR	Level 4
Manager, Management Accounting	MMA	Level 4
Director of Nursing and Midwifery (Site)	DON	Level 4
Tier 3 Management – all other		Level 4
Clinical Operations Manager, Mental Health	COM	Level 5
NUMs - Operating Theatre, NICU		Level 5
Department Heads & Managers with cost centre accountability		Level 5
Manager, Billing Service Centre	MBSC	Level 5

APPENDIX 2 – REQUESTS FOR AMENDMENT TO THE DELEGATIONS MANUAL

Suggested amendments or additions to the contents of the SESLHD Delegations Manual are to be forwarded in writing to the Director of Finance.

Suggested amendments or additions to this Delegations Manual must be endorsed by an appropriate Level 2 (or above) delegate prior to submitting to the Director of Finance for approval and endorsement. The template to use for submitting change requests is provided on the following page.

Amendments should be published within two weeks of being approved by the Director of Finance; and will become effective from the publication date.

The SESLHD Delegations Manual will be reviewed and re-issued annually.

APPENDIX 3 – SESLHD DELEGATION MANUAL CHANGE REQUEST

Requesting Officer	<i>(Please enter your name)</i>
Officer Designation	<i>(Please enter your Position Title and Unit)</i>

Delegations Manual Section	<i>(Please reference the appropriate delegations section of the manual: e.g. 1a)</i>
Delegations Section Description	<i>(e.g. Delineation of Role of Local Health District)</i>

DESCRIPTION OF ISSUES PRESENTED BY CURRENT DELEGATIONS
<i>(Please outline what the issue is with the current delegation level outlined within this section of the Delegation's Manual.)</i>

DESCRIPTION OF CHANGE REQUESTED
<i>(Please outline in detail what the change being requested is and how this will address the issue noted above.)</i>

Requesting Officer Signature	
Date	/ /
Level 2 Delegate Name:	
Level 2 Delegate Position Title:	
Level 2 Delegate Signature of endorsement	
Date	/ /

Endorsed Change Request form should be emailed to: SESLHD-DistrictFinance@health.nsw.gov.au

For Office Use only:

Date Change Request Form Received	/ /
Change Request Supported by Director of Finance	Y / N
Director of Finance Signature	
Date Noted by FP&A Committee	/ /
SESLHD Delegations Manual Adjusted & Published	Y / N

APPENDIX 4 – SESLHD DELEGATION ACKNOWLEDGEMENT FORM

Facility:			
Department:			
First Name:		Last Name:	
Substantive Position Title:			
Employee No:			
Email:			
Cost Centres with permanent delegation responsibility:			
Temporary Delegation:			
Acting Position Title:			
Name of employee substantively in this role:			
Date acting from:	/ /	Date acting to:	/ /
Cost Centres with temporary delegation responsibility (acting role):			
Authorised by Manager / T3 or Higher			
Manager/ T3 Print Name _____ Signature →			

I acknowledge and understand my responsibilities as an approving officer outlined in the Delegations Manual and agree to abide by the Responsibilities outlined within Section 3 of the Delegation Manual.

In addition, I will not exceed recurrent and non-recurrent expenditure limits for my role and will ensure;

- Goods and Services are for official use and the claim is reasonable and cost effective.
- Funding is available to cover payment of expenditure.
- Expenditure approval is provided prior to any commitment being made, contract signed or purchase made.

Delegation Level:			
Specimen Signature: (please sign within box below)		Specimen Initials: (please sign within box below)	

Completed Form should be emailed to: SESLHD-DistrictFinance@health.nsw.gov.au

Authorised by Director of Finance			
Signature:		Date:	/ /