

HSCIC LEVELS OF DELEGATED AUTHORITY

17/03/2015

v1.10

All new commitments that are materially novel, contentious or high risk must be approved by the Board irrespective of value (at EMT director discretion)

HSCIC controlled operating revenue expenditure
(administrative and programme revenue: delegated approval levels)

| Ref | | HSCIC Board | CEO | Director Finance & Corporate Services | Other EMT Directors | Assistant Director Finance (ADF) / Head of Finance (HF) | Director of Business Services (Estates & Facilities only) | Head of Procurement* / Commercial# (as appropriate) | Programme Directors/ Function Heads | Cost Centre Budget Managers |
|-----|---|---|---|---------------------------------------|--|---|---|---|-------------------------------------|-----------------------------|
| R1 | Investment Decisions: eg. business cases (Agile Discovery/Alpha spend, PBC, SOC, OBC) including admin element of DH funded programmes | Over £2m (Max £35m p/a or £175m total over 5 years) | Up to £2m | Up to £500k | Up to £250k | Up to £250k (ADF) | | | Up to £100k | Up to £100k |
| R2 | Commitment of Resources: includes new contracts, contract extensions, CCNs, FBCs, MOUs & SLAs (when consistent with latest approved business case) | Over £4m (Max £35m p/a or £175m total over 5 years) | Up to £4m | Up to £2m | Approval to commit resources only | | | | | |
| | | | | | Up to £250k | Up to £250k (ADF) | Up to £250k | | Up to £100k | Up to £100k |
| | | | | | Signing of commercial agreement (Contract/CCN) once approval to commit is confirmed. | | | | | |
| | | | | | | | | Up to £1m * # | | |
| R3 | Establish payment mechanism (Purchase Requisition) (when resource appropriately committed) | | | Any value | Up to £250k | Up to £250k (ADF) | Up to £250k | | Up to £100k | Up to £100k |
| R4 | Single Tender | Over £100k | Up to £100k | Up to £50k | | | | Up to £25k* | | |
| R5 | Signing of new MoUs, SLAs, contracts, POSA Work Packages for the provision of goods / services | Over £2m | Up to £2m | Up to £500k | Up to £250k | | | | Up to £100k | Up to £100k |
| R6 | Professional Services Business Cases (interim managers, specialist contractors & other professional services) | | Endorsed by CEO- authority to proceed rests with DH** | | | | | | | |

** For certain requirements exemptions may be available allowing CEO sign-off - seek advice from Procurement

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|-----|---|---|-----|---------------------------------------|---------------------|---|---|---|-------------------------------------|-----------------------------|
| R7 | Consultancy Services | No delegated authority to HSCIC (rests with DH) | | | | | | | | |
| R8 | Administrative invoices Non POs | | | Any Value†† | Up to 250k†† | Up to £250k (ADF)†† | Up to £250k†† | | Up to £100k†† | Up to £100k†† |
| R9 | Staff Loans & Imprests (per person) for advance of travel expenses, season ticket purchase, bicycle purchase | | | Up to £20k (per person, per year) | | | | | Up to £5k (per person, per year) | |
| R10 | i) Staff Redundancy costs ii) Pay in Lieu of Notice | i) up to £100k ii) up to £50k | | | | | | | | |
| R11 | Special payments, extra-contractual, extra-statutory, compensation and ex-gratia payments | £20k (HR cases require HMT approval) | | | | | | | | |
| R12 | Special payments - special severance and retention payments | No delegated authority to HSCIC (rests with DH) | | | | | | | | |
| R13 | Losses (Cash; Bookkeeping; Exchange rate fluctuation; Pay, allowances and superannuation benefits; Overpayment; Failure to make adequate charges; Accountable stores; Fruitless payments and constructive losses; Claims waived or abandoned) | | | Up to £75k | | | | | | |
| R14 | Communications - paid for communications activity, including events, conferences, printing, publications, marketing and advertising (not recruitment) | | | | Up to £100k† | | | | | |

†† within approved list of Non POs

† - Applies to Director of Customer Relations only

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|-----|--|---|-----------|---------------------------------------|---------------------|---|---|---|-------------------------------------|-----------------------------|
| R15 | Advance Payments | No delegated authority to HSCIC (rests with DH) | | | | | | | | |
| R16 | Contingent Liabilities eg guarantees, letters of comfort etc (excluding associated Special Payments) | No delegated authority to HSCIC (rests with DH) | | | | | | | | |
| R17 | Sales Invoices and Credits (unlimited subject to DH sponsor team agreement) | | | | | Unlimited (HF) | | | | |
| R18 | Contract Termination / Exit (total value of contract; subject to Procurement / Commercial advice) | Over £2m | Up to £2m | Up to £250k | | | | Up to £100k*# | | |

novel, contentious or repercussive cases should be referred to the Department of Health for approval

HSCIC controlled expenditure
(capital: delegated approval levels for Business Cases)

| Ref | | HSCIC Board | CEO | Director Finance & Corporate Services | Other EMT Directors | Assistant Director Finance (ADF) / Head of Finance (HF) | Director of Business Services (Estates & Facilities only) | Head of Procurement* / Commercial# (as appropriate) | Programme Directors/ Function Directors | Cost Centre Budget Managers |
|-----|---|--------------------------|--------------------------|---------------------------------------|---|---|---|---|---|-----------------------------|
| C1 | <u>New</u> ICT systems that support administration (ie. internal corporate HSCIC systems) (whole life costs) | Over £500k and up to £1m | | Up to £500k | Up to £250k (Director of Ops & Assurance Services only) | | | | | |
| C2 | <u>Replacement</u> ICT systems that support administration (ie. internal corporate HSCIC systems) (whole life costs) | | Over £500k | Up to £500k | Up to £250k (Director of Ops & Assurance Services only) | | | | | |
| C3 | <u>New</u> ICT systems that support programmes (whole life costs) | Over £1m and Up to £5m | | Up to £1m | Up to £500k (Director of Ops & Assurance Services only) | | | | | |
| C4 | Other administrative expenditure for capital purchases, eg. building maintenance (BAU) | | Over £500k | | Up to £500k | | Up to £250k | | | |
| C5 | Asset Disposal (including formal write off value) | | | Up to £500k | | | | | | |
| C6 | Endorsement of New property leases, renewals of existing leases, non-exercise of lease break options, new builds, leaseback, freehold sales. | Over £1.5m | Over £250k & up to £1.5m | Up to £250k | | | | | | |
| C7 | Endorsement of Digital | Over £500k and up to £1m | | Up to £500k | Up to £250k (Director of Ops & Assurance Services only) | | | | | |

DH controlled expenditure
(programme delegated endorsement levels)

DH funded business cases should be endorsed by the HSCIC Board where they are strategically important to the HSCIC and/or introduce material delivery of other risks to the organisation (at CEO discretion)

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|-----|---|-------------|------------|---------------------------------------|---------------------|---|---|---|--|---|
| E1 | Programme Expenditure: includes programme business case (PBC), agile Discovery/Alpha spend, strategic outline cases(SOC), outline business cases(OBC), full business cases(FBC) ICT spend approval, advance payments <i>Stuart Bailey to provide wording for note</i> | | Any value | | | | | | | |
| E2 | New Contract/Contract Extension/CCN/POR | | Over £1m | | Up to £1m | | | | Up to £500k | |
| E3 | Escrow | | | | Over £500k | | | | Up to £500k | |
| E4 | Invoice | | | | Over £10m | | | | Up to £10m (if no Prog Head; with Head of Prog Fin approval) | Up to £10m (Programme Heads only; with Head of Prog Fin approval) |
| E5 | MoU/Income/Single Tender Justification | | Over £250k | Up to £250k | | | | | | |
| E6 | Professional Services Business Cases | | Any value | | | | | | | |