

## HSCIC LEVELS OF DELEGATED AUTHORITY

24/02/2015

v1.2 9

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# / Director of Customer Relations † (as appropriate)	Programme Directors/ Function Heads	Cost Centre Budget Managers
R1	<b>Investment Decisions:</b> eg. business cases ( <b>Agile Discovery/Alpha spend, PBC, SOC, OBC</b> ) 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	<b>Commitment of Resources:</b> 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.					
R3	<b>Establish payment mechanism (Purchase Requisition) (when resource appropriately committed)</b>			Any value	Up to £250k	Up to £250k (ADF)	Up to £250k		Up to £100k	Up to £100k
R4	<b>Single Tender</b>	Over £100k	Up to £100k	Up to £50k				Up to £25k*		

R5	<b>Signing of new MoUs, SLAs, contracts, POSA Work Packages for the provision of goods / services</b>	Over £2m	Up to £2m	Up to £500k	Up to £250k				Up to £100k	Up to £100k
R6	<b>Professional Services Business Cases (interim managers, specialist contractors &amp; other professional services)</b>		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††	Over £10k Up to 250k††	Up to £250k (ADF)††	Up to £250k††		Over £500k Up to £100k††	Up to £500k 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

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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								
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# / Director of Customer Relations † (as appropriate)	Programme Directors/ Function Directors	Cost Centre Budget Managers
C1	<u>New ICT systems that support administration (ie. internal corporate HSCIC systems)</u> (whole life costs)	Up to £1m Over £500k and up to £1m		Up to £500k	Up to £250k (Director of Ops & Assurance Services only)					
C2	<u>Replacement ICT systems that support administration (ie. internal corporate HSCIC systems)</u> (whole life costs)		Over £500k	Up to £500k	Up to £250k (Director of Ops & Assurance Services only)					
C3	<u>New ICT systems that support programmes</u> (whole life costs)	Over £1m and Up to £5m		Up to £1m	Up to £500k (Director of Ops & Assurance Services only)					
C4	<u>Other administrative expenditure for capital purchases, eg. building maintenance (BAU)</u>		Over £500k		Up to £500k		Up to £250k			
C5	<u>Asset Disposal (including formal write off value)</u>			Up to £500k						
C6	<b>Endorsement</b> of New property leases, renewals of existing leases, non-exercise of lease break options, new builds, leaseback, freehold sales.	No delegated authority to HSCIC (rests with DH) Over £1.5m	Over £250k & up to £1.5m	Up to £250k						

C7	<b>Endorsement of Digital</b>	No delegated authority to HSCIC (rests with DH) Over £500k and up to £1m		Up to £500k	Up to £250k (Director of Ops & Assurance Services only)					
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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	<b>Programme Expenditure:</b> 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</i>		Any value							
E2	<b>New Contract/Contract Extension/CCN/POR</b>		Over £1m		Up to £1m				Up to £500k	
E3	<b>Escrow</b>				Over £500k				Up to £500k	
E4	<b>Invoice</b>				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	<b>MoU/Income/Single Tender Justification</b>		Over £250k	Up to £250k						
E6	<b>Professional Services Business Cases</b>		Any value							

17/03/2015