



NORTH-WEST UNIVERSITY  
YUNIBESITI YA BOKONE-BOPHIRIMA  
NOORDWES-UNIVERSITEIT

®

## SCHEDULE OF AUTHORISATION LEVELS

<b>Reference number</b>	4P/4
<b>Accountable executive manager</b>	Executive Director: Finance and Facilities
<b>Policy owner</b>	Executive Director: Finance and Facilities
<b>Responsible division</b>	Executive Director: Finance and Facilities
<b>Status</b>	Approved
<b>Approved by</b>	Council
<b>Date of approval</b>	First approved by Council in 2009, first review approved in 2011 and second review approved on 20 November 2015. New schedule approved by Council on 22 June 2017, in terms of the new Statute.
<b>Date of amendments</b>	2011, 2015 and 2017
<b>Review date</b>	2020
<b>Procedures in terms of this policy</b>	None
<b>Web address of this policy</b>	<a href="http://www.nwu.ac.za/content/policy_rules">http://www.nwu.ac.za/content/policy_rules</a>
<b>Address on the policy database</b>	(10935746) H:\HSC\2. Management\2.1.3 Policy management\Beleide\Raad Junie 2017\4P-4_Schedule of Authorisation Levels.docm

## SCHEDULE OF AUTHORISATION LEVELS

### AUTHORIZATION TO PERFORM FUNCTIONS ON BEHALF OF THE NORTH-WEST UNIVERSITY RELATED TO FINANCIAL AND CONTRACTUAL MATTERS

In accordance with the provisions of the Statute of the North-West University (2017), and against the background of the dream to be an internationally recognised university in Africa, distinguished for engaged scholarship, social responsiveness and an ethic of care, the council of the North-West University hereby confers the authority to perform, on behalf of the university, the financial and contractual functions reflected in the attached Schedule of Authorizations on the relevant council committees and university management committee, and on the employees of the university appointed to the positions listed in the first row for the duration of their employment in that capacity and to the extent reflected in the table.

Approved by Council on 22 June 2017.

Original details: (10935746) H:\HSC\2. Management\2.1.3 Policy management\Beleide\Raad Junie 2017\4P-4\_Schedule of Authorisation Levels.docm  
3 July 2017

File reference: 4P-4

Authorization Levels (NEW STRUCTURE):		Committee		UMC				Academic function				Support functions				Specialized support				Other Requirements / Determinants		
Approved by Council: 22 June 2017		Council	Committee	University Management				Academic function				Support functions				Specialized support				<b>Note:</b> All amounts include VAT, is per transaction, and contract value is determined for their entire duration; including options to extend. All other NWU policies, specifically Procurement policy, Contracts Management and People and Culture policy provisions apply. All delegations pertain only to the relevant line manager, except if stated otherwise		
				VC	DVC: R, I & T	DVC: T & L	Executive Director: F & F	Relevant UMC Member	Executive Dean	Deputy Dean	School / RE Director	Deputy School Director	SG Leaders, Acad Mngr	Chief Directors	Support Directors	Senior Accountant	Dept Manager / Head	Admin. Assistant	Director: Purch & Paym		Director: UCE	Director: Finance
1	<b>Financial</b>																					
1.1	<b>Authorisation levels for the acquisition of assets, operational expenses, infrastructure projects, payment of sponsorships and grants (excluding donations), external leases or other expenses</b>																					
	up to R5 000																					Telephonic quotations
	up to R100 000																					Three written quotations
	up to R500 000																					Request Three Closed Tenders if acquisition
	up to R1 000 000																					Request Open Tenders
	up to R3 000 000																					Request Open Tenders
	up to R5 000 000																					Request Open Tenders
	up to R10 000 000																					Request Open Tenders - Exec Dir: F&F to verify beforehand.
	up to R30 000 000		x																			Request Open Tenders. To be submitted to the Tender Committee for approval.
	more than R30 000 000	x																				Request Open Tenders. To be submitted to the Tender Committee for recommendation.
1.2	<b>Payment of Municipal, Telephone &amp; Statutory expenses</b>																					
	Unlimited																					Regardless of the amount.
1.3	<b>Acquisition of Professional Services</b>																					
	up to R5 000																					
	up to R100 000																					
	up to R500 000																					
	up to R1 000 000																					
	up to R3 000 000																					
	up to R5 000 000																					
	up to R10 000 000		x																			
	up to R30 000 000		x																			
	more than R30 000 000	x																				
1.4	<b>Donations given to external parties</b>																					
	up to R5 000																					
	up to R50 000																					
	up to R500 000		x																			
	more than R500 000	x																				
1.5	<b>Payments and orders in terms of an Approved Contract AND signing of Approved Procurement Tender Contracts</b>																					
	up to R5 000																					
	up to R100 000																					
	up to R500 000																					
	up to R1 000 000																					
	up to R3 000 000																					
	up to R5 000 000																					
	more than R5 000 000																					
1.6	<b>Journals, Internal Requisitions &amp; Internal Fund Transfers</b>																					
	up to R5 000																					
	up to R100 000																					
	up to R500 000																					
	up to R1 000 000																					
	up to R3 000 000																					
	up to R5 000 000																					
	more than R5 000 000																					
	Financial Department Journals, Adjustments & Fund transfers																					ExDir F&F may approve for all line functions Only for use by Centralized Finance Department.

Authorization Levels (NEW STRUCTURE):		Committee		UMC			Academic function			Support functions			Specialized support			Other Requirements / Determinants										
Approved by Council:	22 June 2017	Council	Committee	VC	DVC: R, I & T	DVC: T & L	Executive Director: F & F	Relevant UMC Member	Executive Dean	Deputy Dean	School / RE Director	Deputy School Director	SG Leaders, Acad Mnggr	Chief Directors	Support Directors	Senior Accountant	Dept Manager / Head	Admin. Assistant	Director: Purch & Paym	Director: UCE	Director: Finance	Chief Director: IT	Chief Director: TTIS	TT Specialist	<b>Note:</b> All amounts include VAT, is per transaction, and contract value is determined for their entire duration; including options to extend. All other NWU policies, specifically Procurement policy, Contracts Management and People and Culture policy provisions apply. All delegations pertain only to the relevant line manager, except if stated otherwise	
		University Management																								
1.7	<b>Assets Disposals or Write-Offs.</b>																									
	up to R500 000																								Approved processes to be followed a prerequisite. Reason for disposal of write-off must be stated, central Asset Department must approve. Wrt IT Equipment, the approval of the Chief Director: IT must be obtained. ExDir FF may approve for all line functions	
	up to R5 000 000																									
	up to R10 000 000																									
	more than R10 000 000	x																								
	Fixed Property (Land & Buildings)	x																							Upon recommendation from the relevant Council Committee	
1.8	<b>General Financial</b>																									
	Issue Credit Card																									
	Open a Bank account																								Requested and Motivated by relevant line manager	
	Change in Prime Bankers	x																							Motivated by Executive Director: Finance and Facilities	
	Investment Limits	x																							As determined by Investment Committee and Finance Committee.	
	Forward Cover up to R1 000 000																								In co-operation with relevant line manager	
	Forward Cover more than R1 000 000																									
	Letter of Credit																								Requested and Motivated by relevant line manager	
	Annual Insurance Review and Adjustments																								Motivated by Director: Purchases & Payments	
	Enter into a bank loan or overdraft agreement	x																							In terms of Dept of Higher Education requirements and via Finance Committee	
	Credit Notes issuing on Debtors Accounts																								In their relevant line responsibilities	
	Student Fees	x																							Determined and Proposed by IM Committee and Finance Committee	
	Cellular phone contracts																									
	Commercialisation contracts (not Research and Innovation)																									
1.9	<b>Acceptance of donations from external parties</b>																									
	up to R5 000																									
	up to R100 000																									
	up to R500 000																									
	up to R1 000 000																									
	up to R3 000 000																									
	up to R5 000 000																									
	more than R5 000 000																									
2	<b>Authorization to sign contracts and income-related tender documentation, in addition to 1 above</b>																									
	up to R5 000																									
	up to R100 000																									
	up to R500 000																									
	up to R1 000 000																									
	up to R3 000 000																									
	up to R5 000 000																									
	more than R5 000 000																									
2.1	<b>Intellectual Property and Intellectual Property Investments (contracts with a financial value subjected to section 2 above)</b>																									
	Trademark, Industrial Designs & Plant Breeders Rights protection																									
	Patent Convention Treaty Application (RSA)																									
	Foreign / Regional / National phase filings																									
	Material Transfer Agreements																									
	Confidentiality Agreements wrt Material Transfer Agreements																									
	Other Confidentiality Agreements / Non-disclosure agreements																									
	Technology transfer: Benefit sharing payments																									
	Licensing agreements																									
	Assign / Donate / Lapsing / Discontinuation of Patent																									
	Contracts relating to Intellectual Property and Intellectual Property Commercialisation, including creation of new legal entities, investments in subsidiaries and joint ventures, subscription and transfer of shares, shareholding																									
	Acceptance as trustees / appointment of directors or beneficiary / members of trusts and other Non Profit Companies																									
	Intellectual Property Transfer to 3rd parties	x																								Within IPR Act and NIPMO rules

