

SCHEDULE OF AUTHORISATION LEVELS

Reference number	4P/4
Accountable executive manager	Executive Director: Finance and Facilities
Policy owner	Executive Director: Finance and Facilities
Responsible division	Executive Director: Finance and Facilities
Status	Approved
Approved by	Council
Date of approval	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.
Date of amendments	2011, 2015 and 2017
Review date	2020
Procedures in terms of this policy	None
Web address of this policy	http://www.nwu.ac.za/content/policy_rules
Address on the policy database	(10935746) H:\HSC\2. Management\2.1.3 Policy management\Beleide\Raad Junie 2017\4P-4_Schedule of Authorisation Levels.docm



Corporate and Information Governance Services

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

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Autho	orization Levels (NEW STRUCTURE):	Comm	ittee		UMC		Ac	ademic	functi	ion	Supp	ort fu	nctio	ns	Spe	ecializ	ed su	oport		Other Requirements / Determinants
Appro	oved by Council: 22 June 2017	Council Council Committee	University Management	DVC: R,1&T	DVC: T&L Executive Director: F&F	Mem	Executive Dean	Deputy Dean	Scho	SG Leaders, Acad Mngr	Chief Directors	Senior Accountant	Dept Manager / Head	Admin. Assistant	Director: Purch & Paym	Director: Finance	Chief Director: IT	Chief Director: TTIS	TT Specialist	Note: All amounts include VAT, is per transaction, and contract value is determined for their entire duration; including options to extend. All other NWU policies, specificaly Procurement policy, Contracts Management and People and Culture policy provisions apply. All delegations pertain only to the relevant line manager, except if stated otherwise
	Financial																			
1.1	Authorisation levels for the acquisition of assets, operational expenses, infi up to R5 000	rastruct	ure proje	ects, i	oaymen	t of s	ponso	orship	s and	grant	ts (excl	uding	don	ation	s), ext	ernal	lease	s or		er expenses Telephonic quotations
	up to R100 000			+		+		_	х	Х		х	x	Α	_	+				Three written quotations
	up to R500 000			+		+		,	, ^	^	х		<u> </u>		х	x	1 1	_		Request Three Closed Tenders if acquisition
	up to R1 000 000							х			х				~ _ ^	<u> </u>	х	х		Request Open Tenders
	up to R3 000 000					Х	Х					+								Request Open Tenders
	up to R5 000 000			Х	х х															Request Open Tenders
	up to R10 000 000		Х	(Request Open Tenders - Exec Dir: F&F to verify beforehand.
	up to R30 000 000	Х																		Request Open Tenders.To be submitted to the Tender Committee for approval.
	more than R30 000 000	Х																		Request Open Tenders.To be submitted to the Tender Committee for recommendation.
1.2	Payment of Municipal, Telephone & Statutory expenses Unlimited														Х					Regardless of the amount.
1.3	Acquisition of Professional Services														۸					Regardless of the amount.
1.5	up to R5 000								Х	х		Х	х							
	up to R100 000)	(Х		Ť.		х х	Х				
	up to R500 000							Х			Х						х	Х		T
	up to R1 000 000					Х	Х													To read together with 2,1 - authorisation is one level higher than in 2,1. Contract management policy applies;
	up to R3 000 000			Х	х х															
	up to R5 000 000		Х	(
	up to R10 000 000		Х																	
	up to R30 000 000	Х														_				
	more than R30 000 000	Х																		
1.4	Donations given to external parties up to R5 000			· ·	V V															Details must accompany the narmont request evaluining the reasons for the denotion
	up to R50 000		X	, X	X X	. х	_	_	+			+	+		_	-		-		Details must accompany the payment request explaining the reasons for the donation, and the possible benefit thereof for the NWU.
	up to R500 000		x	+		+		_	+			+	+		-	+	+	_		Grants and Sponsorships excluded.
	more than R500 000	х	, A			+		_	_			+	+		_					Grants and Sponsorships excluded.
1.5	Payments and orders in terms of an Approved Contract AND signing of App	oroved I	Procurer	nent 1	Tender (Contr	acts													
	up to R5 000													Х						This category applies to contracts in which the deliverable quantity or action and/or the
	up to R100 000								Х	Х		Х	Х							price has been pre-determined, e.g. tenders, rental agreements, consultancy
	up to R500 000							>	(Х				х х	Х				agreements, framework agreements, consortium agreements.
	up to R1 000 000							Х			Х						Х	Х		Tender Contracts exceeding R5 million must be co-signed by the relevant IM member
	up to R3 000 000					Х	Х		_			4			_	_				AND the Executive Director: Finance and Facilities.
	up to R5 000 000			Х	Х															All contracts should be evaluated and signed off by the Legal Office from a judicial
1/	more than R5 000 000				Х															perspective
1.6	Journals, Internal Requisitions & Internal Fund Transfers up to R5 000													v						This relates to operational Journals between various Accounts an Object Codes that are
	up to R100 000								x	х		х	х	^						done for transfer of funds, distribution of expenses or correction of allocations, etc.
	up to R500 000							,	_ ^	~	х				хх	Х				Department receiving Debit has to accept to activate approval.
	up to R1 000 000							х			х						+	Х		2
	up to R3 000 000					Х	Х													
	up to R5 000 000			Х	Х															
	more than R5 000 000				Х															ExDir F&F may approve for all line functions
	Financial Department Journals, Adjustments & Fund transfers														Х	Х				Only for use by Centralized Finance Department.

Authorization Levels (NEW STRUCTURE):	Cor	mmitte	ee		UMC		Aca	demic	function	on	Supp	ort fun	ctions	5	Spe	ecializ	ed su	noaa	t	Other Requirements / Determinants
								T		7			Ī			T				Note:
Approved by Council: 22 June 2017	Council	Council Committee	University Management	VC DVC: R,I&T	.	Executive Director: F & F Relevant UMC Member	Executive Dean	Deputy Dean	Deputy School Director	SG Leaders, Acad Mngr	Chief Directors Support Directors	Senior Accountant	Dept Manager / Head	Admin. Assistant	Director: UCE	Director: Finance	Chief Director: IT	Chief Director: TTIS	TT Specialist	All amounts include VAT, is per transaction, and contract value is determined for their entire duration; including options to extend. All other NWU policies, specificaly Procurement policy, Contracts Management and People and Culture policy provisions apply. All delegations pertain only to the relevant line manager, except if stated
1.7 Assets Disposals or Write-Offs.																				
up to R500 000																Х				Approved processes to be followed a prerequisite. Reason for disposal of write-off must
up to R5 000 000						Х		_	\perp			\perp								be stated, central Asset Department must approve. Wrt IT Equipment, the approval of the
up to R10 000 000)	Х				_	\perp			+	_	_	_	_				Chief Director: IT must be obtained. ExDir FF may approve for all line functions
more than R10 000 000	Х			_				_				+								Harmon and the form the subsect Orace II Orace III.
Fixed Property (Land & Buildings)	Х																			Upon recommendation from the relevant Council Committee
1.8 General Financial Issue Credit Card																				
Open a Bank account				+		x	-	+	+			+	_	,	K	+				Requested and Motivated by relevant line manager
Change in Prime Bankers	х					^		+	+			+								Motivated by Executive Director: Finance and Facilities
Investment Limits	X							-	+				\dashv							As determined by Investment Committee and Finance Committee.
Forward Cover up to R1 000 000	Α		_		+++	+	_	\dashv		_	_	+	\rightarrow)	(+				In co-operation with relevant line manager
Forward Cover more than R1 000 000						х	_	_				+ +		Ť	`					an so operation manager
Letter of Credit)	ĸ					Requested and Motivated by relevant line manager
Annual Insurance Review and Adjustments						х														Motivated by Director: Purchases & Payments
Enter into a bank loan or overdraft agreement	Х																			In terms of Dept of Higher Education requirements and via Finance Committee
Credit Notes issuing on Debtors Accounts																Х				In their relevant line responsibilities
Student Fees	Х																			Determined and Proposed by IM Committee and Finance Committee
Cellular phone contracts)	K					
Commercialisation contracts (not Research and Innovation)						Х														
1.9 Acceptance of donations from external parties																				
up to R5 000												\perp		Х						
up to R100 000								_	Х	Х		-	Х							
up to R500 000											Х)	K X	Х				NWU policy regulating donations apply;
1				_	+	_	-			_										
up to R1 000 000								X			х	\Box				_	Х	Х		To be reported two levels up
up to R1 000 000 up to R3 000 000						Х	Х	X			Х						X	Х		
up to R1 000 000 up to R3 000 000 up to R5 000 000				X	х	X	х	X			Х						Х	Х		
up to R1 000 000 up to R3 000 000 up to R5 000 000 more than R5 000 000			o d dist	Х		X	х	X			х						X	Х		
up to R1 000 000 up to R3 000 000 up to R5 000 000 more than R5 000 000 Authorization to sign contracts and income-related tender documents	ntation	n, in a	addit	Х		X	X	X			X						X	Х		To be reported two levels up
up to R1 000 000 up to R3 000 000 up to R5 000 000 more than R5 000 000 Authorization to sign contracts and income-related tender document up to R5 000	ntation	n, in a	addit	Х		X	X	X			X		V	x			X	X		To be reported two levels up All contracts must be evaluated and signed off by the Legal Office from a judicial
up to R1 000 000 up to R3 000 000 up to R5 000 000 more than R5 000 000 Authorization to sign contracts and income-related tender documer up to R5 000 up to R100 000	ntation	n, in a	addit	Х		X	X	X	X			-	Х	X	, v		X	X	X	To be reported two levels up All contracts must be evaluated and signed off by the Legal Office from a judicial perspective, and evaluated and signed off by the relevant Director Finance.
up to R1 000 000 up to R3 000 000 up to R5 000 000 more than R5 000 000 Authorization to sign contracts and income-related tender documer up to R5 000 up to R100 000 up to R500 000	ntation	n, in a	addit	Х		X		X	X		X	-	X	X	K X	X	X		х	To be reported two levels up All contracts must be evaluated and signed off by the Legal Office from a judicial perspective, and evaluated and signed off by the relevant Director Finance. Signing of contracts are always subject to the NWU Policy on Contracts and Disputes that
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Authorization Lougle (NEW CTRUCTURE)	0			118.6/			A I -				C				C				Ot	Other Requirements / Determinants	
uthorization Levels (NEW STRUCTURE):		ittee		UMO	;		Academic function				Sup	ort fu	nctio	ns	Sp	ecializ	ed su	pport	•		
Approved by Council: 22 June 2017	Council Council Committee	University Management	VC	DVC: R, I & I DVC: T & L	Executive Director: F & F	Relevant UMC Member	Deputy Dean	School / RE Director	Deputy School Director	SG Leaders, Acad Mngr	Chief Directors	Senior Accountant	Dept Manager / Head	Admin. Assistant	Director: Purch & Paym	Director: Finance	Chief Director: IT	Chief Director: TTIS	Al th	ote: I amounts include VAT, is per transaction, and contract value is determined for eir entire duration; including options to extend. I other NWU policies, specificaly Procurement policy, Contracts Management and People and Culture policy provisions apply. I delegations pertain only to the relevant line manager, except if stated herwise	
2.2 Academic (contracts with a financial value subjected to section 2 above)																					
Short Learning Programmes / Continued Prof Training		\perp						\perp				4			_	(_	proved through the ICAS process.	
Tender Agreements (sales and provision of services to outside parties)							Х					4				Х		Х		o-signed by Line Manager and the relevant Financial Director	
Research contracts with business or public entities on national level, including contracts							x											х		r Research Support Office co-signs where necessary in terms of the funder's	
wrt THRIP, Thutuka, Centre of Excellence, Metabolonomic Platform, etc							^											^	re	quirements	
Double degree contracts between NWU, foreign universities, student							Х														
International Contracts relating to Academic co-operation (Teaching/Learning, Research,				x x															El	J Contracts require institution's appointed Legal Entity Authorised Representative	
Innovation, Practical Training, Memoranda of Understanding)				^															(L	EAR) to sign off: Dir: Research Support	
Acceptance of externally funded Research Platforms (e.g. Competency Centres, Centres of Excellence)				х																	
NRF contracts wrt Chairs (SA Research Chairs initiative)				Х																	
Research contracts with business entities on international level				Х																	
2.3 General (contracts with a financial value subjected to section 2 above	e)																				
Exemptions from Compliance with ITC NWU Standards and Systems																	Х		Al	ITC procurement affecting NWU enterprise management systems	
Indemnities to outside parties				х х	Х	Х													In	consultation with the Legal Department	
Service Level Agreements with external parties								Х)				Х	(X				· ·	
Contracts relating to Student Affairs (Campus Student Councils)						Х													E	recutive Director: Student Life in consultation with the relevant DVC: Campus	
Contracts relating to Student Affairs (Institutional SRC)			Х																	,	
Issuing of summoms, defending actions and interdict applications				х х	Х	х													In	consultation with the Legal Department	
Study Assistance Agreements									Х											У 1	