

Schedule of Financial and Contractual authorisation levels

		Gove	ernance	UMC	UM	C meml	bers		Ac	adem	ic Funct	ion			Supp	ort func	tion			Specia	lised S	uppor	t	Other Requirements/Determinants
		Council	Tender Committee	UMC decision	VC	Executive Director: F&F	Relevant UMC Member	Executive Dean	Deputy Dean	Senior Director Business School	School/RE Director	Deputy School Director	SG Leaders, Acad Manager	Chief Directors	Support Directors	Senior Accountant	Dept. Manager/Head	Admin. Assistant	Director: Purch & Payments	Director: BED	Director: UCE	Directors: Finance	Chief Director: TTIS	Note: All amounts include VAT, are per transaction and project value is determined for its entire duration, including options to extend. The provisions of all other NWU policies apply. All authorisations pertain only to the relevant council committee, management structure or line manager, except if stated otherwise.
1	Governance approval																							No. 11. 12. 12. 12. 12. 12. 12. 12. 12. 12
	Annual budget including student fees	Х																						Via appropriate sub-committee of Council
	Infrastructure Delivery Plan	Х																						Via appropriate sub-committee of Council. Built environment plans include fixed IT infrastructure where required.
	Framework Agreements	Х																						
2	Financial Expenditure																							
2.1	Authorisation levels for the acquisition of asset	s, opera	ational exp	enses, pay	ment of	sponso	rships a	and grai	nts (exc	luding	donation	s), exter	nal leas	es or othe	expense	s								
	Up to R 5 000																	Х						Telephonic quotations
	Up to R 250 000											Х	Х			Х	Х							Three written quotations
	Up to R 750 000									Х					Х						Х			Request three closed Tenders
	Up to R 1 500 000								Х					Х					Х	Х		Х	Х	Request three closed Tenders
	Up to R 3 000 000							X																Request three open Tenders
	Up to R 5 000 000						Х																	Request three open Tenders
	Up to R 10 000 000					Х																		Request three open Tenders
	Up to R 15 000 000				Х																			Request three open Tenders
	Up to R 50 000 000		Х																					Request three open Tenders

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	More than R 50 000 000	Х																						Request Open tenders. To be recommended by the Tender Committee
2.2	Payment of statutory expenses																							
	Unlimited					Х																		
2.3	Acquisition of Professional Services other than	n for Infr	astructure	and Mainte	enance	delivery							<u> </u>								<u> </u>	<u>'</u>	<u> </u>	
	Up to R 5 000											Х	Х			Х	Х							To read together with 2.1 – authorisation is
	Up to R 250 000										Х				Х						Х			one level higher than in 2.1. Contract management policy/guidelines apply.
	Up to R 750 000								Х	Х				Х					Х	Х		Х	Х	Need to specify the individual
	Up to R 1 500 000							Х																requirements/deliverables
	Up to R 3 000 000						Х																	
	Up to R 5 000 000					Х																		-
	Up to R 10 000 000				Х																			
	Up to R 15 000 000			Х																				-
	Up to R 50 000 000		Х																					-
	More than R 50 000 000	Х																						
2.4	Donations given to external parties and any tra	nsaction	n (income d	or expense) contra	vening	any poli	су												<u> </u>	<u> </u>	<u> </u>	<u> </u>	
	Up to R 5000					Х	Х								П	П								Details must accompany the payment request
	Up to R 50 000				Х																			explaining the reasons for the donation, and the possible benefit thereof for the NWU.
	Up to R 500 000			Х																				- Grants, sponsorships, Community engagement activities and the distribution of
	More than R 500 000	Х																						fundraising initiatives are excluded. Refer to the General Financial Guidelines for detail on
																								Community Engagement activities).
2.5	Signing of Approved Procurement Tender or o	ther Exp	ense Conti	racts																				
	Up to R 250 000											Х	Х			Х	Х							Rental agreements for any facilities should be signed off as per point 4 below
	Up to R 750 000										Х				Х						Х			Q
	Up to R 1 500 000								Х	Х				Х					Х	Х		Х	Х	
	Up to R 3 000 000							Х																
	Up to R 5 000 000						Х																	

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	More than R 5 000 000					Х																		
	Cellular phone contracts																		Х					
	Indemnities to outside parties					Х	Х																	In consultation with Legal Services
	Monetary Service Level Agreements with external parties									Х	Х				Х				X	Х	Х	Х		In consultation with Legal Services
	Non-monetary Service Level Agreements with external parties														Х									In consultation with Legal Services
	Non-Disclosure Agreements (such as designs, artefacts, technology)														Х									In consultation with Legal Services
	Emergency Maintenance in the Facilities &BED Environment up to R 500 000																Х							Above R 500 000 revert to 2.1
2.6	Journals, Internal Requisitions & Internal Fund	Transfe	rs																					
	Up to R 5 000																	X						This relates to operational Journals between various Accounts and Object Codes that are
	Up to R 500 000											Х	Х			Х	Х							done for transfer of funds, distribution of
	Up to R 1 000 000										Х								Х	Х	Х	Х		expenses or correction of allocations, etc.
	Up to R 3 000 000								Х	Х					Х								Х	Department receiving Debit has to accept to activate approval.
	Up to R 5 000 000							Х						Х										
	Up to R 10 000 000						Х																	
	More than R 10 000 000					Х																		ExDir F&F may approve for all line functions
	Financial Department Journals, Adjustments & Fund Transfers																		X	Х		Х		Only for use by Centralised Finance Depoartment
2.7	Assets Disposals or Write-Offs																							
	Up to R 1 500 000																					Х		Approved processes to be followed a prerequisite. Reason for disposal or write-off
	Up to R 5 000 000					Х																		must be stated and central asset department
	Up to R 10 000 000				Х																			must approve.
	More than R 10 000 000			Х																				Executive Director: F&F may approve for all line functions.
	Fixed Property (Land & Buildings)	Х																						

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2.8	General Financial																							
	Issue Credit Card																		Х					
	Open a Bank account					Х																		Requested and motivated by relevant line manager
	Approval of debit order expenses on NWU bank accounts																		Х			Х		Limited to the designated signatories listed with the relevant bank
	Change in Prime Bankers	Х																						Motivated by Executive Director: Finance and Facilities
	Investment Limits	Х																						As determined by the Investment Committee and Finance Committee
	Forward Cover up to R 1 000 000																		Х					In co-operation with relevant line manager
	Forward Cover more than R 1 000 000					Х																		
	Letter of Credit																		Х					Requested and motivated by relevant line manager
	Annual Insurance Review and Adjustments					Х																		Motivated by Director: Purchases and Payments
	Enter into a bank or loan 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/or their delegate
3	Financial Income																							
	Authorisation to approve the submission of inc	ome rela	ated tende	rs to exter	nal part	ies, sign	ing of th	nird stre	am inc	ome aç	reement	s (includ	ing con	nmercialisa	ation agre	ements) a	and acce	ptance of	donatio	ns from	externa	al parties	3	
	Up to R 250 000											Х	Х			Х	Х							Before submission, the Tender Document
	Up to R 750 000										Х				Х						Х			must be evaluated and signed off by: - Delegated Financial Planning
	Up to R 1 500 000								X	Х				Х					Х	X		Х	Х	representative - The Registrar's Committee for
	Up to R 3 000 000							Х																Teaching-Learning Agreements (RCTL) (in the case of teaching and
	Up to R 5 000 000						Х																	learning activities)
	Up to R 10 000 000					Х																		This authorisation also applies to the subsequent signing of the contract after the
	More than R 10 000 000				Х																			tender has been awarded to the NWU and the Legal Office has signed off on the contract. NWU policy regarding donations apply.

	Gove	rnance	UMC	UM	C mem	bers		Ac	aden	ic Funct	ion			Supp	ort fund	ction			Specia	lised S	upport		Other Requirements/Determinal
									Ю														Note:
		9.			r. F&F	mber			enior Director Business School	_	ector	G Leaders, Acad Manager			+	ad		Payments				SI	All amounts include VAT, are per transs and project value is determined for its duration, including options to extend.
		mitte	_		recto	IC Me	an	_	tor Bu	irecta	o Di	Acad	SJC	ctors	ıntan	er/He	stant	Purch &		ш	nance	ır. TTIS	The provisions of all other NWU policies
	Council	ender Committee	JMC decision		xecutive Director: F&F	elevant UMC Member	ecutive Dean	Deputy Dean	nior Direct	chool/RE Director	eputy School Director	Leaders,	Chief Directors	upport Directors	nior Accountant	pt. Manager/Head	dmin. Assistant	ector: Pur	rector: BED	ector: UCE	ectors: Finance	hief Director: 7	All authorisations pertain only to the recouncil committee, management structine manager, except if stated otherwise
Pantal/lacas agraements	ပိ	Тег	∑ ⊃	S V	Ĕ	Rel	Ě	De	Ser	Sch	De	SG	Chi	Sup	Ser	De	Adı	- i	<u> </u>	Dir	Dir	Chi	into managor, except in stated earler mee
Rental/lease agreements																							
Authorisation to approve and sign both income	and exp	ense rent	al/lease ag	reemen	ts for fa	cilities a	and any	other re	ntal/le	ase agree	ements												
Up to R 250 000											Х	Х			Х	Х							Before finalisation all rental agreeme any facilities must be signed off by:
Up to R 750 000										Х				Х						Х			- Chief Director: Facilities
Up to R 1 500 000								Х	Х				Х					Х	Х		Х	Х	- Legal Services
Up to R 3 000 000							Х																after the procurement/income tender p
Up to R 5 000 000						Х																	was followed.
Up to R 10 000 000					Х																		All other rental agreements must be sig by the legal services department
More than R 10 000 000				Х																			finalisation.
Intellectual Property and Intellectual Prop	erty In	restment	c																				
			<u> </u>																				
Contracts with a financial value subjected to se	ction 2 a	above																					
Trademark, Industrial Designs & Plant Breeders Rights Protection																						х	Inventors and relevant line manager Directors Finance, Technology Tran Innovation Support Office, Legal Servic consulted. Nay disputes are referred IPR committee, to be handled in terms stipulations of the Guidelines for management of IPR. IPR Act complian NIPMO and Reserve Bank stipulations complied with.
																						Х	Inventors and relevant line manager
Patent Convention Treaty Application (RSA)																						Х	Directors Finance, Technology Tran- Innovation Support Office, Legal Service
Patent Convention Treaty Application (RSA) Foreign/Regional/National phase filings																						_	
, ,																						Х	IPR committee, to be handled in terms
Foreign/Regional/National phase filings Material Transfer Agreements Confidentiality Agreements wrt Material Transfer																						X	IPR committee, to be handled in terms stipulations of the Guidelines for management of IPR. IPR Act complian
Foreign/Regional/National phase filings Material Transfer Agreements Confidentiality Agreements wrt Material Transfer Agreements Other Confidentiality Agreements/Non-										X				Х				Х		X	Х		IPR committee, to be handled in terms stipulations of the Guidelines for management of IPR. IPR Act complian
Foreign/Regional/National phase filings Material Transfer Agreements Confidentiality Agreements wrt Material Transfer Agreements Other Confidentiality Agreements/Non-Disclosure Agreements										Х				Х				X		Х	х	Х	IPR committee, to be handled in terms stipulations of the Guidelines for management of IPR. IPR Act complian NIPMO and Reserve Bank stipulations
Foreign/Regional/National phase filings Material Transfer Agreements Confidentiality Agreements wrt Material Transfer Agreements										х				х				X		X	X	X	consulted. Nay disputes are referred IPR committee, to be handled in terms stipulations of the Guidelines for management of IPR. IPR Act complian NIPMO and Reserve Bank stipulations complied with.

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	Contracts relating to Intellectual Property and Intellectual Property Commercialisation and other Commercialisation, including creation of new legal entities, investments in subsidiaries and joint ventures, subscription and transfer of shares, shareholding			Х																				
	Trusts and other companies – Appointment of trustees/directors/members or beneficiaries as well as governance			Х																				
	Intellectual Property Transfer to 3rd parties			Х																				With IPR Act and NIPMO rules
6	Academic																							
	Contracts with a financial value subjected to se	ction 2 a	above																					
	Short Learning Programmes/Continued Prof Training																				Х			Approved through the ICAS process
	Research contracts with business or public entities on national level, including contracts wrt THRIP, Thutuka, Centre of Excellence, Metabolonomic Platform, etc.								Х														Х	Dir Research Support Office co-signs where necessary in terms of the funder's requirements
	Double degree contracts between NWU , foreign universities, student								Х															
	International contracts relating to Academic co- operation (Teaching/Learning, Research, Innovation, Practical Training, Memoranda of Understanding)						Х																	Eu Contracts require institution's appointed Legal Entity Authorised Representative (LEAR) 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																	

		Gove	ernance	UMC	UMO	C mem	bers		Ac	ademic Fund	tion			Supp	ort fund	tion			Specia	lised S	upport		Other Requirements/Determinants
7	Other Commercialisation contracts – inco	Conncil	on Tender Committee	UMC decision	VC	Executive Director: F&F	Relevant UMC Member	Executive Dean	Deputy Dean	Senior Director Business School School/RE Director	Deputy School Director	SG Leaders, Acad Manager	Chief Directors	Support Directors	Senior Accountant	Dept. Manager/Head	Admin. Assistant	Director: Purch & Payments	Director: BED	Director: UCE	Directors: Finance	Chief Director: TTIS	Note: All amounts include VAT, are per transaction and project value is determined for its entire duration, including options to extend. The provisions of all other NWU policies apply. All authorisations pertain only to the relevant council committee, management structure or line manager, except if stated otherwise.
	Up to R 750 000																		X				
	More than R 750 000					Х																	

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