



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

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POLICY ON DELEGATIONS AND 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
Amendments	Inclusion of Definitions of Donations, Grants and Sponsorships and review of Schedule of Authorisations in respect thereof
Date of amendments	2011 and 2015
Review date	2017
Procedures in terms of this policy	Attached to the Policy
Web address of this policy	http://www.nwu.ac.za/content/policy_rules
Address on the policy database	RMA SHARE /NWU Home/User Homes/AMANDA VAN DER MERWE (10935746)/RMA/2. Management/2.1.3 Policy development and review/2.1.3.2 Review/Policy documents_4P/4_Delegations_e.docm

POLICY ON DELEGATIONS AND SCHEDULE OF AUTHORISATION LEVELS

As a pre-eminent University in Africa, driven by the pursuit of knowledge and innovation, with a unique institutional culture based upon the values the University espouses, the North-West University has adopted this Policy on the Delegations and Schedule of Authorisation Levels on 20 November 2015.

1 Scope of application

In terms of the Statute of the NWU:

“The council governs the University in terms of Chapter 4 of the Act, the Regulations and Policies issued in terms of the Higher Education Act, the Statute and the Rules, including, at a minimum, the adoption of purpose and value statements as well as strategic plans, determination of policy, making the Statute, the Rules, the processes, the delegations of authority, the monitoring of operational performance and management, and establishing committees and, together with the senate, joint committees, to ensure that the University achieves its purpose and values.”

“As employer, the council has the power to delegate the authority to appoint staff members as is contemplated in paragraph 73 and as determined in paragraphs 62(1), 64(1), 65(1) and 67(1), provided that no one is authorised to appoint a person reporting directly to such person.”

“The vice-chancellor may delegate any of the duties, functions and powers attached to the office to a member of the institutional management committee or to any other suitable person”

This Policy consists of the main content herein and incorporates the Rules and Process for the Authorizations and Delegations (Annexure A) and the Schedule of Authorisation Levels (Annexure B), incorporated by reference thereto. Every individual signing a contract on behalf of the University must understand that, in doing so, he/she is binding the NWU, and not just an individual department or Faculty.

The policy applies to all staff (whether permanently employed or employed on contract) of the NWU.

There are no other authorisations and delegations granted by NWU other than those appearing in this Policy and the Annexures below.

2 Objectives of the Policy

- a. To ensure best practices in the administration of the NWU assets through a consistent university wide framework of approval authority and delegation thereof.
- b. To provide clarity of roles and responsibilities in order for administrators and others to manage their respective areas of responsibilities in an effective, efficient and transparent manner.
- c. To ensure the University complies with all reasonable requirements from external agencies, such as funding agencies, the South African Reserve Bank or NIPMO.
- d. To ensure all contracts undergo authorisation, financial and legal review and approval prior to execution.

- e. To ensure that a clear and transparent framework and processes are established and maintained for the exercise of approval and contract signing authority and for the delegation thereof to persons authorized to enter into contractual commitments on behalf of the NWU.
- f. To provide for the receiving and making of Donations, Grants and Sponsorships to and on behalf of the NWU.
- g. To ensure sound stewardship of all resources and assets.
- h. To manage NWU risks.
- i. To support effective and informed decision-making.
- j. To provide for consistent accountability and reporting throughout the University.

3 Definitions

- a. A “delegation” is the formal authority or power to perform an action, and it is for specific tasks, functions and duties. Delegations are designed to ensure responsibility and autonomy are devolved to the appropriate level so that staff can be efficient and effective.
- b. A “telephonic quotation” is a quote given verbally by telephone and requested in writing or verbally.
- c. A “written quotation” is a quote given in writing and can be requested in writing or verbally, as long as the nature, extent and time of the deliverable is clear from a written document.
- d. A “closed tender” is a tender given in response to a request for a tender issued by the University to a pre-selected group of potential suppliers in terms of the University’s Financial Guidelines.
- e. An “open tender” is a tender inviting all interested parties willing and able to render the requested service or deliver the requested product in terms of the University’s Financial Guidelines.
- f. “Assets” are all items of which the expected period of use exceeds one year, and the value is more than R3, 000. These assets must be acquired against the correct asset account and recorded in the Asset Register of the University, i.a. to ensure correct procedure in terms of asset insurance.
- g. “Donations” means the giving of a gratuitous amount of money, assets and / or services to or on behalf of the University without a contractual counter obligation attached in return thereto.
- h. “Grant” means a non-repayable amount of money, assets and / or services disbursed to or on behalf of the University by or to a government, local authority, parastatal, research entity, aid agency or the like, to further educational study, research and development or any other particular purpose, with terms and conditions attached thereto. The receiving and payment of Grants are delegated as part of ordinary operational income and expenditure of the University.
- i. “Sponsorship” means payment of an amount of money, assets and / or services to or on behalf of the University to receive advertising and other exposure in return, with terms and conditions attached thereto. The receiving and payment of Sponsorships are delegated as part of ordinary operational income and expenditure of the University.
- j. “Payments and orders in terms of an Approved Contract” means contracts in which the deliverable quantity or action and/or the price has been pre-determined, e.g. rental agreements, consultancy agreements, framework agreements and consortium agreements such as PURCO contracts.
- k. “Academic Director” means a School Director, Director Focus Area, Director: Research Unit, Centre: Centre of Excellence.
- l. “Support Director” means all other Directors (Campus or Institutional).
- m. “Operating Expenses” means operating expenses refer to all expenses that cannot be classified as Assets listed above, e.g. Stationery, etc. This includes the acquisition of inventory stock and the withdrawal of items from inventory stores.
- n. “Standard expenses” refers to Municipal accounts (including electricity, water, rates & taxes), telephone accounts (excluding cell phone accounts) and tax payable to the Receiver of Revenue.
- o. “NIPMO” means the National Intellectual Property Management Office.

4 Other applicable documents and policies

- a. Higher Education Act 101 of 1997, as amended by Higher Education Amendment Act 55 of 1999, Higher Education Amendment Act 54 of 2000, Higher Education Amendment Act 23 of 2001.
- b. NWU Statute
- c. All NWU Policies apply. Specifically the following policies are applicable:
 - i. Policy for the Management of Research and Innovation Contracts
 - ii. Conflict of Interest Policy
 - iii. Procurement Policy
 - iv. Financial Policy and Financial Guidelines
 - v. Staff Recruitment Policy
 - vi. Staff Remuneration Policy
 - vii. Rules for the Appointment of Senior Management
 - viii. Information and Communication Technology (ICT) policy

5 Policy

It is the policy of the University that:

- General contractual principles and the general rules and Schedule of Authority (Appendix A), be observed and relevant requirements are adhered to;
- University resources, including the intellectual property rights of the University are protected and appropriately utilised in accordance with all statutory and regulatory requirements of amongst others, NIPMO, including requirements related to the protection of Intellectual Property, requirements of the Reserve Bank and the Institutional Plan of the University;
- This policy is applied in accordance with the relevant guidelines, rules and process made and amended from time to time. (See Appendices A.)

ANNEXURE A: Rules and Process for the Authorisations and Delegations

A. General Rules:

1. The delegations attached to a position apply only to the position or expenditure in the area of responsibility associated with the position.
2. A delegation held at a nominated management level is also held by all higher level managers in the delegate's reporting lines within the Portfolio.
3. The Council may change these delegations on a temporary basis as a response to specific business imperatives.
4. The Schedule of Delegations of Authorities are revised by Council when necessary. Council may initiate such a request and/or IM may initiate such a request to Council, based on IM recommendation.
5. This document sets out the general delegations of authority, but does not exclude specific delegations, nor the granting of powers of attorney.
6. Only written and duly authorised documents are deemed to be valid contracts.
7. Authorisation levels are delegations of authority and the recipient of a delegation may not further delegate his/her authority or grant a power of attorney to another person. If a recipient of a delegation of authority is temporarily not able to perform the delegated functions, then he/she may for such temporary period in writing designate a competent substitute to perform the delegated functions, alternatively request the next higher level to perform such functions. With the unavailability of the Vice Chancellor, the approval of any two of the Deputy Vice Chancellors or the Executive Director: Finance and Facilities will be regarded as the Vice Chancellors' approval.
8. Exceptions from the required requirements as prescribed by the Schedule of Authorisation Levels can only be approved by the Director: Financial Administration. These exceptions include, but are not limited to, the following:
 - The proposed supplier is the sole supplier of the specific product in South Africa.
 - The proposed supplier has not submitted the lowest or best quotation or tender.
 - Due to unforeseen circumstances, the time-related urgency of the purchase requires that the tender process be abandoned.
9. A delegation of authority may at any time be retracted in writing with respect to any individual or group by any of the holders of higher levels of authority in the same/applicable management line function. If such authority is retracted, it may only be granted again by the holder of an authority equal or higher than the authority level of the individual who had retracted it.
10. Managers/staff on the same level of authorisation level may delegate authority to the same level of authority for singular authorisations only, in writing.

11. The recipient of a delegation of authority should at all times take account of statutory requirements that may be applicable to the tertiary sector in the context of procurement e.g. those contemplated in sections 34 and 40(3)(a) and (b) of the Higher Education Act.
12. The recipient of a delegation of authority shall at all times ensure that the relevant University policies and procedures are taken into account:
 - a. the approver accepts responsibility that the funding for the contract or payment has been obtained, either by way of an approved budget, or by additional funds allocations by the Finance Department, or by increased income generation;
 - b. the contract is reviewed by the University's Legal Services Office, and where relevant by the Financial Office, Technology Transfer and Innovation Support Office and/or Research Support Office before it is signed;
 - c. tax, IPR and exchange control implications of the contract and other relevant requirements are clear or have been considered by the relevant Offices of the University: Internal Audit Office, Finance Office, Technology Transfer and Innovation Support Office, Research Support Office, regarding e.g. income tax/VAT implications, provisions for international transfer of money, reserve bank stipulations re. IP, IP legislation and NWU IP stipulations, etc.
13. The recipient of a delegation of authority shall ensure that his/her compliance with all University policies and procedures (including these general rules) is properly recorded and evidenced.

These rules apply to all contracts to which the University (or any division of the University) is a party, irrespective of the source of the funds (e.g. Technology Transfer and Innovation Support Office (TTIS)) being used to make payment by the University under such contracts.
14. The manipulation of a contract or circumstances (e.g. the splitting of a contract) with the intent to circumvent these rules is not allowed.

Annexure B: Schedule of Authorities:

The table (separate document entitled Schedule of Authorities) summarises authorisation levels and must be read in conjunction with the policy.

Original details: (10935746) P:\Beleide\Raad November 2015\4P-4_Delegations and Schedule of Authorisation Levels_e.docm
27 November 2015

File reference: 4P/4