Delegations (Administrative) Policy

Section 1 - Purpose and Context

Source of Delegations

(1) The delegations document is reviewed each year with a view to improving its utility and relevance to the organisational structure of the University.

(2) The delegations in this instrument are designed to:

a. be clear and easy to understand;
b. establish appropriate processes of responsibility and accountability for various administrative functions;
c. devolve decision-making to appropriate levels.

(3) By resolution of the Board of Trustees these delegations take effect on and from 1 January 2014 subject to any further amendment. They replace any extant delegations in previous versions of this Delegations document.

(4) All delegations come from the authority of the Board of Trustees provided under the University of Western Sydney Act, 1997. Specifically section 23 provides that:

"The Board may, in relation to any matter or class of matters, or in relation to any activity or function of the University, by resolution, delegate all or any of its functions (except this power of delegation) to any of the following bodies or persons:

a. (Repealed);
b. a member of the Board;
c. a committee of the Board;
d. an authority or officer of the University;
e. any other person or body prescribed by the by-laws".

(5) Note that persons, other than those listed in clause (4), who are not employees of the University (e.g. visiting or adjunct appointments) are not able to exercise delegations unless they have been specifically authorised under the University's By-law or under rules made by the Board of Trustees as per Section 23(e) of the Act.

Section 2 - Definitions

Part A - Who Holds Delegations?

(6) The delegations in this document apply to positions and not individuals. Individuals are, however, responsible and accountable for the decisions made by them under delegation.

(7) Delegations are granted both to individually identified positions and to multiple positions holding the same levels of delegation (categorised positions). They are given to categorised positions wherever possible with a much smaller number of individual positions exercising specific responsibilities related to the functional role and authority of their

particular position.

Position Classification Table

(8) The following table lists all positions that hold delegations and provides definitions of the positions falling within particular categories. A reference is also provided to the abbreviations used within this document. The Vice-Chancellor has authority to determine the category to which any new or existing position or positions may be allocated and thereby amend this Table.

Table 1:

POSITION CATEGORY	INDIVIDUAL POSITIONS IN THE CATEGORY AND ABBREVIATIONS
Category 10 - CAT10	Board of Trustees
Category 9 - CAT9	Vice-Chancellor (VC)
Category 8 - CAT8	Chief Financial Officer (CFO) Deputy Vice-Chancellor and Unversity Provost (DVC & UP) Deputy Vice-Chancellor Academic Deputy Vice-Chancellor Research and Development (DVC(R&D))
Category 7 - CAT7	Chief Information Officer (CIO) Director Capital Works and Facilities (Director CWF) Executive Director People and Culture (Exec. Director PC) Pro Vice-Chancellor Education (PVC(Edu)) Pro Vice-Chancellor International (PVC(Int)) Pro Vice-Chancellor Research and Innovation (PVC(R&I) Pro Vice-Chancellor Strategy and Engagement (PVC(S&E)) Pro Vice-Chancellor Students (PVC(S)) University Librarian (UL)
Category 6 - CAT6	**ACADEMIC POSITIONS** Dean Dean Indigenous Education/ Director Badanami Director Research Institute (Director RI) Director of Research HIE (Director Research HIE) **ADMINISTRATIVE POSITIONS** Academic Registrar (AR) Associate Director Commercial Development (ADCD) Associate Director Procurement (ADP) Associate Director Treasury (ADT) Director Audit and Risk Assessment (Director ARA) Director Campus Safety and Security (Director CSS) Director Commercial and Estate Development (Director CED) Director Equity and Diversity (Director ED) Director Financial Operations (Director FO) Director Governance Services (Director GS) Director Higher Education Policy and Projects (Director HEP&P) Director HR Strategy and Services (Director HRSS) Director International (Director Int) Director Marketing and Communication (Director MC) Director Organisational Development (Director OrgD) Director Research Services (Director RS) Director Student Support Services (Director SSS) Director Whitlam Institute (Director WI) Director Widening Participation (Director WP) Executive Director Advancement and Alumni (Exec.Director A&A) General Counsel (UGC)
Category 5 - CAT5	Associate Director Research (Assoc DR) Associate Pro Vice-Chancellor (Assoc PVC) Deputy Dean (Deputy Dean) Director University Research Centre (DURC) Leader University Research Group (Leader URG

Category 4 - CAT4	Assistant Academic Registrar Student Admin - Operations (AARSA-OPS) Assistant Academic Registrar Student Admin-Services (AARSA-SERVICES) Assistant Academic Registrar Student Admin-Systems (AARSA-SYSTEMS) Assistant Vice-Chancellor (AVC) Associate Director Innovation (ADI) Associate Director Secretariat (ADS) Associate Director Student Recruitment Unit (ADSRU) Associate Librarian (AL) Director Aboriginal and Torres Strait Islander Employment and Engagement (Director ATSIEE) Director, Performance and Quality (Director P&Q) Director, Planning and Performance (Director P&P) Executive Officer, ODVC(Education) (EO-ODVC(Educ)) Head Counselling Service (HCS) Head Learning and Teaching Unit (HTLU) Head Student Disability Services (HSDS) Manager, Finance (MF) Manager Maintenance Planning (MMP) Manager, UWS Careers (MUWSCareers) Managing Director, National Institute of Complementary Medicine (Managing Director, NICM) Operations Manager, Research Institute (OMRI) Projects Development Manager (PDM) School Manager Senior Manager Commercial Operations and Assets (SMCOA) Senior Manager Environment and Risk Management (SMERM) Senior Manager Estate Planning, Development and Delivery (SMEPDD) Senior Manager Finance and Business Support (SMFBS) Senior Manager Major Projects (SMMP) Senior Manager Minor Capital Works (SMMCW) Senior Manager Strategic Asset Planning (SMSAP) Senior Manager Programming Technical Services and Systems (SMPTSS) Senior Planning Manager OCED (SPMOCED) Senior Policy Advisor and Project Manager ODVC(AR) (SPA&PM) Senior Policy and Projects Manager ODVC(CSS) (SP&PM)
Category 3 - CAT3	Positions approved by the relevant DVC, Dean or Director Research Institute
Category 2 - CAT2	Positions approved by the relevant DVC, Dean or Director Research Institute
Category 1A - CAT1A	Research Accounts Only - Positions approved by the DVCR&D, Dean or Director Research Institute
Category 1B - CAT1B	Research Accounts Only - Positions approved by the DVCR&D, Dean or Director Research Institute
Additional individually named positions (INP) that exercise particular delegations in this document. Note that such positions may or may not also belong to one of the categories listed above	**Finance Directorate** Accounts Payable Operations Supervisor (APOS) Accounts Payable Systems Coordinator (APSC) Accountant Treasury (AT) Credit Card Supervisor (CCS) Client Service Accountant (CSA) Financial Accountant (FA) Manager Financial Operations (MFO)
	Office of People and Culture Senior HR Partner (SHRP) Manager Work Health and Safety Unit (MWHSU) Manager Remuneration, Payroll and Superannuation (MRPS)

	Academic Registrar's Office Assistant Academic Registrar Student Administration - Services (AARSAS) Assistant Academic Registrar Student Administration - Operations (AARSAO) Assessment and Graduation Manager (AGM) Assessment Coordinator (AssessC) Admissions Coordinator (AdmCoord) Client Services Coordinator (CSCoordinator) Enrolments Coordinator (EC) Graduation Coordinator (GradCoord) Manager, Admissions (MngrA) Manager, Enrolments (MngrE) Manager, Fees and Student Finance (MngrFSF) Postgraduate Research Coordinator (PRCoordinator) Student Finance Coordinator (SFC) Student Operations Officer (SOO)
	Office of Commercial and Estate Development Senior Manager Commercial Operations and Assets (SMCOA) **Office of Capital Works and Facilities** Campus Manager (CMngr) Manager Campus Operations (MCO) Manager Maintenance Planning (MMP) Senior Manager Environment and Risk Management (SMERM) Senior Manager Finance and Business Support (SMFBS) Senior Manager Major Projects (SMMP) Senior Manager Minor Capital Works (SMMCW) Senior Manager Programming Technical Services and Systems (SMPTSS) Senior Manager Strategic Asset Planning (SMSAP)
	Office of PVC Students Manager Scholarships and Student Advancement (MSSA)
	Other University Board Standing Committee (BSC) University Infrastructure Committee (UIC) Finance and Investment Committee (FIC) Relevant Line Supervisor (RLS) School Manager (SchMngr)

Part B - Other Delegates

Credit Card Holders

(9) All University credit card holders have the authority to incur expenditure up to the limit imposed on the cards by the University but not more than the card holder's substantive financial delegation (where held) under delegation A1. Staff not holding a substantive financial delegation have authority to incur expenditure up to the limit on the card but not more than the general financial delegation attaching to Category 2 (CAT2) (Cost Centre Administrator) under delegation A1 — ($10K).

(10) Use of the card is always subject to compliance with the procedures laid down under the UWS Corporate Credit Card Policy and by the Finance Office. Approval to the payment of credit card accounts must be made by officers holding delegations at levels sufficient to cover the total card transaction amounts. In addition, as stipulated in the Corporate Credit Card policy, approvals must be made by the cardholder's supervisor and not a subordinate.

Relevant Line Supervisors

(11) This document provides certain basic approval authorities under the Human Resources delegations to staff who exercise direct supervisory responsibilities and who are referred to in this document as "relevant line supervisors". These supervisors can exercise the delegated authority conferred on them but can only do so for staff under their authority.

(12) Note that the word "relevant" designates that different units will have different supervisory and approval processes depending on their management structure. The Relevant Line Supervisor refers to the staff so designated in the operational unit to deal with the function referred to. As such the Relevant Line Supervisors are not entered into the Delegations Register unless the person concerned holds a substantive positional delegation.

Part C - Delegations Register

(13) The online Delegations Register is a searchable database on the web of all staff who hold delegations including the cost centre accounts over which they may exercise authority. The Register also provides details of acting appointments and is used by the Office of People and Culture and the Finance Office to verify transactions. The data in the Register is maintained and updated by the Central Delegations Maintenance Officer (CDMO).

(14) The Delegations Register provides the definitive list of staff who hold and may exercise delegations including acting appointments. Staff who are not entered in the Register should not exercise delegations. If you think you should have a delegation you will need to contact your unit head. Note that delegations are exercisable from the date of appointment to a listed position, or approval to be included in a particular category of position. However, delegates must complete the approval process by signing the verification document for the delegation to remain in force.

Part D - Do I have a Delegation?

(15) You will only have a delegation if:

a. the specific position you have been appointed to or are acting in is listed in the Position Classification Table; OR
b. the position you have been appointed to or are acting in has been approved for inclusion in either of the following categories in the Position Classification Table by the relevant Deputy Vice-Chancellor, Dean or Director Research Institute:
    i. Category 3 - CAT3
    ii. Category 2 - CAT2; OR
c. you are a Category 1A or 1B - CAT1A/CAT1B, occupying a position that has been designated for authority over Research Accounts and you have been approved by the relevant Dean or Director Research Institute (or DVC Research for non-School positions); AND
d. for all of the cases above, you have been entered into the Delegations Register.

(16) For the grouped positions of Category 4 - CAT4, and above, only those individual positions listed under each group in the Position Classification Table may exercise the delegations conferred on that group category. For example if your position uses the title of "Director" you do not have the delegation attached to the Director level (or any other level) unless your position is listed.

Section 3 - Policy Statement

Delegates Must Comply with the Law and the University's Policies

(17) In exercising delegations, officers are required to comply with any:

a. legislation, including in particular the University if Western Sydney Act 1997, the University's By-Law and Rules, and the Public Finance and Audit Act 1993;
b. industrial awards or agreements; and
c. University of Western Sydney approved policies and procedures including the Code of Conduct.

Vice-Chancellor's Authority

(18) The Vice-Chancellor has authority to exercise any delegation in this and any other delegation documents with the exception of any delegations made by the Board of Trustees to the Academic Senate or to any committee of the Board.

Supervisors Retain Management Authority

(19) The delegations are hierarchical in the sense that a delegate's formal line supervisor may exercise the same level of authority as the delegate and such a supervisor may also withdraw or restrict a delegation held by a subordinate officer. These powers apply through the hierarchical line of responsibility, up to and including the Vice-Chancellor.

(20) Notwithstanding that a delegated authority may sit at a certain level, the normal management structures apply in terms of the seeking of approvals. Hence submissions seeking approval by a delegated officer should come forward with the endorsement of the functional head of the area from which the request originated. Hence while the Delegations (Administrative) Policy stipulates the positions that have approval authority, the University's management structure and policies dictate how submissions for approval should be progressed.

Approval to Own Recommendation is Not Allowed

(21) A delegate should not exercise a delegation so as to approve a recommendation made either wholly or partly by the delegate. For example, a delegate holding the power to approve appointments to positions should not approve the recommendation of a selection panel of which he or she was a member but must, instead, refer the approval to another staff member (but not a subordinate), who also holds that delegation to make the approval. Normally this would be the person's supervisor.

(22) Where the Vice-Chancellor has been a member and/or chair of a selection panel or other committee, the Vice-Chancellor may approve the recommendation in accordance with the delegations. In the case of expenditure incurred by the Vice-Chancellor, via a University credit card or otherwise, this can be approved by the Chancellor. In terms of the Vice-Chancellor's travel this can be approved by the Chancellor or the Deputy Vice-Chancellor and University Provost. All overseas travel by the Vice-Chancellor must be approved or endorsed by the Chancellor.

Conflicts of Interest and Personal Benefits to be Avoided

(23) A conflict of interest occurs when a personal or outside interest impinges in some way on decisions being made on behalf of the University. The influence can be direct and immediate (i.e. known) or indirect and undeclared.

(24) A delegate should not exercise a delegation so as to approve a recommendation that will result, either directly or indirectly, in some tangible benefit (including reimbursement) to the delegate or any family, friends or other associated with them. A delegate must not approve their own application for leave, the payment of overtime, the employment of a relative or friend, the grant of an allowance, reimbursement to themselves of expenditure, acquisition of items for use by the delegate (e.g. mobile phone), or own credit card payment. Further, a delegate must not have such approvals effected by an officer subordinate to them (irrespective of their level of delegation) but rather should submit them for approval by their own line supervisor.

(25) It is also the case that a staff member must not make a recommendation to, or seek to influence, a person with respect to the exercise of a delegation without declaring any conflict of interest.

Sub-Delegation is Not Allowed

(26) A delegate cannot sub-delegate. A delegate may appoint a person or group, such as a committee, to advise about the exercise of a delegation but the delegate remains responsible for making the decision.

Acting Appointments

(27) A person who has been formally appointed to act in a position can exercise any delegations that attaches to that position subject to particular limits or conditions that may be imposed.

Staff Not Compelled to Exercise Delegations

(28) The fact that a staff member holds a delegation does not oblige the staff member to exercise the delegation if, in the opinion of the delegate, some special or unusual circumstances are involved which make it sensible that the issue should receive consideration at a more senior level.

Signing of Documents

(29) A delegate may sign any document to give effect to a transaction that he or she has approved or which has been approved through a tender or other process subject to any directives or procedures of the University relating to the signing of documents or the entering into of agreements.

(30) Delegates should obtain appropriate commercial, legal and other advice from experts either within or outside the University, including the Office of the Legal Counsel (OLC) in relation to legal issues about the transaction. Where delegates decide to exercise authority against the recommendation of the OLC or other expert advice, they should document their reason(s) for doing so.

(31) Submissions seeking the signing of agreements on behalf of the University must utilise the Document Execution Forms produced by the OLC. The purpose of the forms is to ensure that the delegate is properly briefed about the transaction or project before signing the document.

(32) Contracts signed of a value of $150K or more must also be included in the Contracts Register and relevant commercial activities must be included in the Commercial Activities Register.

(33) Delegates need to be mindful of the difference between a contract and an MoU. A contract is a document that contains legally binding obligations (including payment or receipt of money). An MoU is only intended to set out a cooperation framework in very general terms (and with no binding obligations).

Delegation Confined to Portfolio Responsibilities

(34) Unless otherwise indicated in this document, expenditure can only be approved against cost centres for which the delegate has formal authorisation. Details of cost centres and project codes over which a delegate has responsibility are contained in the Delegations Register.

Financial Transaction Restrictions

(35) The delegated power to incur expenditure can only be exercised where available funds exist within an approved budget or source of funds. A person can only exercise a delegation up to the limits set in this policy.

(36) The exercise of a delegation must relate to the whole of a transaction not to parts thereof. For example, it is not possible to approve the payment of instalments for the acquisition of an item where the total acquisition cost is above the financial limit held by the delegate.

(37) Where there is an increase in the cost of an acquisition from the original commitment, the delegate giving the original approval should also approve the supplementary amount. If the new amount exceeds the delegate's level of delegation then another delegate with the appropriate level of delegation must approve the transaction.

Delegates Must be Entered into Delegations Register

(38) While delegates may exercise their delegations from the date of their appointment to a position or category they must be entered into the Delegations Register and provide a specimen signature.

Research Project Accounts

(39) Expenditure from research grant project accounts are subject to a separate set of delegations in the Finance Delegations Schedule. These accounts cover externally and internally funded research grants (e.g. ARC, NHMRC etc) that fall within the project code range of 50000 to 89999 and that are set up and managed by the Office of Research Services.

(40) Expenditure against these research grant project accounts must be in accordance with the budget for the project and be approved by a person who holds a delegation with respect to the particular account, details of which can be found in the Delegations Register. Funds may not be transferred or used for any other purpose than as provided for in the approved budget.

Breach of Delegations

(41) Staff who breach the provisions of the Delegations (Administrative) Policy may be subject to disciplinary action. The University may also need to report serious matters to the Police and/or the ICAC which potentially could result in civil or criminal proceedings.

(42) Supervisors may withdraw or restrict a staff member's exercise of a delegation.

Section 4 - Procedures

(43) The Schedules detail the specific delegations dealing with particular areas of activity. The Schedules are:

Schedule A - Delegations Relating to Finance

Schedule B - Delegations Relating to Human Resources

Schedule C - Delegations Relating to Research

Schedule D - Delegations Relating to Commercial Activity

Schedule E - Delegations Relating to Educational, Academic and International Agreements

Schedule F - Delegations Relating to Organisational and Miscellaneous Matters

Schedule G - Delegations Relating to Campus Development

Section 5 - Guidelines

(44) Nil.

Status and Details

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