



Delegation of Authorities

[GEN002]

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Delegation of Authorities [GEN002]

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Acronyms

CFO	Chief Financial Officer
COO	Chief Operating Officer
DOA	Delegation of Authorities
DSA	Department of Student Affairs
DVC	Deputy Vice-Chancellor
ED	Executive Director
FH	Fund Holder
FIN	Finance
FM	Faculty/PASS Finance Manager
GOB	General Operating Budget
HOD	Head of Department
HR	Human Resources
IPAC	Intellectual Property Advisory Committee
JIC	Joint Investment Committee
LM	Line Manager
NRF	National Research Foundation
NSFAS	National Student Funding Aid Scheme
P&S	Properties & Services
PASS	Professional, Administrative and Support Staff
PGFO	Postgrad Funding Office
PPS	Procurement & Payment Services
PSFC	Postgrad Studies Funding Office
RC&I	Research Contracts and Innovation
REG	The Registrar
UARC	University Audit and Risk Committee
UB&DC	University Building and Development Committee
UFC	University Finance Committee
USFC	Undergrad Studies Funding Committee
VC	The Vice-Chancellor

1. Objective

To clearly set out the levels and conditions of delegated Council authority to facilitate contracting on behalf of the University.


2. Scope

- This policy applies to all UCT financial and budget transactions and the financial aspects of other transactions, for example, the approval of contracts.
- For transactions not covered by this document (including the attachments) authority remains with Council.
- Where Council sign-off is required, this refers to an explicit resolution for approval by Council.

3. Applicable to

All UCT staff and members of UCT committees who have delegated authority to contract and do such other things that are specified on behalf of the University for various types of financial and budgetary transactions, as detailed in the attachment.

4. Definitions

Term	Description
Delegate	To entrust another person to act on behalf of someone else.  <i>Responsibility for signing is delegated, not accountability.</i>
Nominee	The person to whom the delegated responsibility has been entrusted.
Unit Head	Dean / Director: GSB / Director / Exec Director / CFO – head of a Faculty or PASS department

5. Policy context

This document should be read in light of the following:

- In no instance does the delegation of authority imply that University policy can be overridden; conversely, delegated authority must be exercised in terms of policy.
- All expenditure is subject to the availability of budget, and the Unit Head remains accountable for the financial results of the unit.
- In the case where a signatory is unavailable, or there is a disagreement among signatories, or the initiator of the transaction (usually the affected fund holder) is the signatory, then the matter should be referred to the signatory's senior, or if necessary, to Council.
- A person may not exercise delegated authority in favour of themselves or where a conflict of interest arises.
- These limits apply to ALL funds.

6. Policy

Rules relating to the exercise of delegated authority, which apply to all Schedules:

- A nominee is implied in the delegations, unless specifically referred to in the Schedule, provided the necessary written authority has been received as noted below.
- Where an authority is away from office:
 - and a person has been appointed, in writing or via an out of office notice, to act in that position for the period of absence, the person appointed to act may exercise the delegated authority vested in that position (e.g., an acting VC may exercise the authority given to the VC, or an acting CFO may exercise the authority given to the CFO); or
 - if a person has not been appointed to act, the authority's line manager is deemed to have the authority (e.g. in the absence of the Registrar or the CFO, the VC may exercise authority delegated to either).
- A signatory cannot sign in more than one delegated capacity, unless specifically stated.



This above refers to delegated roles. If any signatory is unsure of a potential dual status, this should be checked and confirmed.

- Documents may be signed in the following ways:
 - Wet ink signatures
 - Standard electronic signatures, being a digital form of identification (e.g. a scanned or PDF copy of a signature), are sufficient in most instances. It is accepted on the basis that the person it represents, either initiated the signature, or the person who inserted the signature on the signatory's behalf, had due authority to use the electronic signature.
 - Digital signatures or advanced electronic signatures, which include embedded and network protected identification, are accepted as being a secure form of digital identification. These are specialised types of electronic signatures that are accredited and used mainly in legal documents where the law requires a signature.
- Where a nominee is appointed under particular circumstances (e.g. type of transaction, value of transactions) in writing, to authorise transactions as per the letter of authority, the person appointed to act must:
 - be suitably qualified to assume the delegated responsibility;
 - exercise the delegated authority as per the agreement;
 - ensure that their status as nominee is communicated, as appropriate; and
 - ensure that there is cover during absence or unavailability of the nominee.
- An authority must ensure that:
 - the power is exercised within the scope of the delegated authority;
 - the power is exercised in accordance with University policies and statutory requirements, and that due process has been followed;
 - responsibility for signing is delegated, not accountability;
 - the required delegation is noted in writing, or that the electronic delegation (e.g. via email or system delegation) contains the information as required;
 - the direct and indirect financial consequences of their decisions are covered by an approved budget (authority to act does not confer authority to make a new budgetary appropriation, or create an entitlement to space); and
 - there is no conflict of interest (if the authority is conflicted, they must decline to exercise the authority delegated to them).

- Monetary/time limits refer to the total amount/duration of the contract/lease/salary and, save where otherwise indicated, include VAT. A single contract may not be split into separate contracts to avoid the more restrictive authorities imposed by any limit.
- The signing authority may consult, where appropriate, relevant personnel within the University before exercising the authority delegated to them.
- The Vice-Chancellor may, in writing, delegate a specific authority delegated to them, to a Deputy Vice-Chancellor, except where the Council or the Senate as the case may be, has expressly reserved the power to act to the Vice-Chancellor, subject to any limitation that the Vice-Chancellor may impose, and subject to the condition that the Vice-Chancellor may withdraw this delegation at any time.
- The Council may confirm, ratify, vary or revoke any decision taken by an employee, subject to any rights that may have become vested as a consequence of the decision.
- It is the responsibility of all signatories to advise Council on contracts between the University and an employee for any goods, products or services, and in doing so having regard to the provisions of the Higher Education Act. In performing this assessment, the following factors will need to be considered:
 - The goods, products or services in question is/are unique; and
 - The supplier is a sole provider; and
 - The contract is both in the interests of the University and does not compromise the University in any way.
- Where authority is delegated to an individual, the authority passes from the delegating authority to the designated person through those managers that make up the line of responsibility between the two. It follows that the exercise of that authority may be referred to a superior manager in that line, and that if referred, the superior's manager may exercise the authority.
- Where a legal document or contract requires the signature of one or more designated authorities, the higher authorities in terms of the delegations, must sign the legal document or contract.
- A final copy of all contracts signed on behalf of the University must be stored in the central records management system.

7. Related legislation, policies, guidelines and practices

This includes but is not limited to:

- Asset Acquisition [[AST001](#)]
- [Conflicts of Interest: principles, policy and rules](#)
- Disposal of redundant and second-hand goods [[PUR001](#)]
- [Financial policy in respect of Council-controlled funds](#)
- Funds deposited or held by UCT [[GEN001](#)]
- Fraud and corruption prevention policy & response plan [[GEN005](#)]
- Gift and Hospitality [[GEN009](#)]
- Library acquisition of information resources [[PUR008](#)]
- Purchasing [[PUR003](#)]
- Purchasing Card (PCard) [[PUR002](#)]
- Quotations, Tenders & Requests for Proposals [[PUR004](#)]
- Reimbursements [[PAY005](#)]
- Risk Management [[GEN007](#)]
- Student Fees & Debt Recovery [[REV001](#)]
- Student Fee Refunds [[REV002](#)]
- Student Fee Waivers [[REV003](#)]
- Threshold values for purchasing [[PPP002](#)]

8. Implementation responsibility

UCT Unit Heads, fund holders, chairs of committees or staff members in a position of delegated authority. The HOD must ensure all policies and procedures are communicated to and implemented by the responsible individual(s), including research staff. The Faculty/PASS finance manager must ensure reasonable controls exist to support the implementation of policies.

9. Contact

Finance Helpdesk

fnd-finance@uct.ac.za

021 650 2111

GEN002 Schedule A: Financial Authorities

NOTES:

- All values referred to in this schedule INCLUDE VAT
 - Where transaction in foreign currency, rate at date of signature to be applied
 - Unless specifically excluded, Nominees are implied in all Delegated Authorities, based on the required written authority
- FH** = Fund Holder; **ED** = Executive Director; **UH** = Unit Head i.e. Dean/GSB Director or ED/Director of PASS dept or CFO; **CFO** = Chief Financial Officer; **LM** = Line Manager; **HOD** = Head of Department; **FM** = Faculty/PASS finance manager; **REG** = Registrar; **COO** = Chief Operating Officer; **PPS** = Procurement & Payment Services; **P&S** = Properties & Services; **DSA** = Department of Student Affairs; **DVC** = Deputy Vice-Chancellor; **VC** = Vice-Chancellor
UB&DC = University Building & Development Committee; **JIC** = Joint Investment Committee; **UFC** = University Finance Committee; **IPAC** = Intellectual Property Advisory Committee; **CNL** = Council

ACTION	CONDITIONS/AMOUNT	APPROVAL REQUIRED	SIGNATORIES			
			1st	2nd	3rd	4th

LEGAL ENTITIES

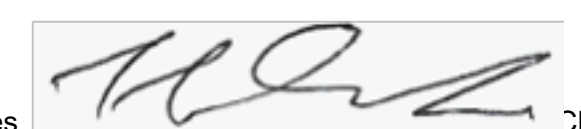
Authority to establish or disestablish a UCT-related legal entity	Partnerships Trusts Joint Ventures Companies (all types)	All such entities may only be established by authority of Council, with the exception of the establishment of a UCT spin-off company established to commercialise UCT Intellectual Property and in which UCT will temporarily holds 100% equity. These incorporations need to be approved by the IPAC and must be reported to Council at Council's next meeting. NOTE: The onus is on the initiator of any entity to confirm with the Registrar whether Council approval is required.
Authority relating to a UCT Spin-off Company	Shareholders Agreement Share Subscription Agreement Memorandum of Incorporation (and its amendment)	To take up any class of equity in a UCT Spin-off Company in exchange for: - investment by UCT: Approval by the IPAC with the payment process to follow standard authority levels as indicated in Schedule A; - rights to UCT IP: Approval by Director: Research Contracts & Innovation. To dispose of any class of equity in a UCT Spin-off company held by UCT - Approval by IPAC To enter into a Share Holders Agreement and to accept or amend a Memorandum of Incorporation - Approval by the Registrar.

ANY INSTANCE NOT COVERED IN SCHEDULE A BELOW

Any transactions with amounts	<= R5,000,000	CFO and the Registrar or COO	CFO	REG/COO		
	> R5,000,000 and <= R20,000,000	CFO and the Registrar or COO and DVC or VC	CFO	REG/COO	DVC/VC	
	> R20,000,000	CFO and the Registrar or COO and VC, who must consult with the Chair of the University Finance Committee (UFC) and Council on how to proceed	CFO	REG/COO	DVC/VC	UFC/CNL

CONTRACTUAL EXPENSE AGREEMENTS (excl Purchase Orders) - READ WITH POLICIES ON THRESHOLD VALUES FOR PURCHASING (PPP002) & LIB ACQ (PUR008)

Contracts/sub-contracts (including extensions), including consulting, supplier, service contracts to UCT (e.g. departments, research units), but excluding the following which are covered elsewhere within the schedules: - Contracts/sub-contracts associated with research contracts (Schedule C) - Contracts/sub-contracts associated with Donations (Schedule G) - Contracts/sub-contracts associated with building construction projects (Schedule J) - Contracts related to Library Acquisitions (refer below)	Term is <= 3 years or the total contract price is <= R2,000,000	Fund Holder and the Dean/GSB Director or ED/Director: PASS department/CFO	FH	UH		
	Term is > 3 years but <= 5 years or where total contract price > R2,000,000 and <= R35,000,000	Fund Holder and the Dean/GSB Director or ED/Director: PASS department/CFO and either CFO or the Registrar or COO	FH	UH	CFO/COO/REG	
	NOTE: Where contract DURATION and VALUE do not fall into same authority, then the higher up signatory applies. Term is > 5 years or where total contract price > R35,000,000	All of the above signatories and Council for signature by the Registrar or COO and CFO	FH	UH	CFO & COO/REG	CNL
Contracts related to Library Acquisitions	All contract values in terms of the approved Library Acquisitions ring-fenced budget	Fund Holder and ED: Libraries	FH	UH		
Letters of intent	Applicable operational service or supplier contracts	Director: Procurement & Payment Services after approval as above				
Credit applications (excluding banking)	Applying for credit facilities	Director: Procurement & Payment Services after approval as above				



GEN002 Schedule A: Financial Authorities

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ACTION	CONDITIONS/AMOUNT	APPROVAL REQUIRED	SIGNATORIES			
			1st	2nd	3rd	4th

CONTRACTUAL REVENUE AGREEMENTS (excluding Leases)


Contracts/sub-contracts (including extensions), which generate Net Revenue.	Term is <= 5 years	Fund Holder and the Dean/GSB Director or ED/Director: PASS department/CFO	FH	UH		
	Term is > 5 years	Fund Holder and the Dean/GSB Director or ED/Director: PASS department/CFO and either CFO or the Registrar or COO	FH	UH	CFO & COO/REG	

LEASES

UCT as Lessor: Letting or leasing of UCT immovable property - DURATION / VALUE	Term <= 2 years or total expense or income <= R2,000,000	Fund Holder and Director: Commercial Development (Com Dev)	FH	Dir: Com Dev		
	Term is > than 2 years and <= 5 years or total expense or income > R2,000,000 and < R20,000,000 per annum	Fund Holder and CFO or ED: Properties & Services or ED: Department of Student Affairs and CFO or ED: Properties & Services or the Registrar or COO NOTE: The 2nd and 3rd signatories need to be different.	FH	CFO/ED: P&S/ED: DSA	CFO/ED: P&S/REG/COO	
	Term is > than 5 years or total expense or income > R20,000,000 per annum	All of the above signatories and Council for signature by the Registrar or COO and CFO	FH	CFO/ED: P&S/ED: DSA	CFO/ED: P&S & REG/COO	CNL
UCT as Lessee: Letting or leasing immovable property by UCT - DURATION / VALUE	Term <= 2 years or total expense or income <= R2,000,000	Fund Holder and CFO or ED: Properties and Services or ED: Department of Student Affairs	FH		CFO/ED: P&S/ED: DSA	
	Term is > than 2 years and <= 5 years or total expense or income > R2,000,000 and < R20,000,000 per annum	Fund Holder and CFO or ED: Properties and Services or ED: Department of Student Affairs and CFO or ED: Properties & Services or the Registrar or COO NOTE: The 2nd and 3rd signatories need to be different	FH	CFO/ED: P&S/ED: DSA	CFO/ED: P&S/REG/COO	
	Term is > than 5 years or total expense or income > R20,000,000 per annum	All of the above signatories and Council for signature by the Registrar or COO and CFO	FH	CFO/ED: P&S/ED: DSA	CFO/ED: P&S & REG/COO	CNL

PURCHASING DEVIATIONS - READ WITH POLICY ON THRESHOLD VALUES FOR PURCHASING (PPP002)

Purchasing Deviations (MM026) where the standard purchasing processes are not followed due to agreed exceptions (i.e. Sole Supplier, Emergencies, Incompatibility, Auctions/disposals, Alternative procurement method, Practicalities), with the required motivation and supporting documentation.	Deviations <= R1,000,000	Line Manager of the Fund Holder and Director: Procurement & Payment Services	LM of FH	DIR: PPS		
	Deviations > R1,000,000 and <= R2,000,000	Line Manager of the Fund Holder and Director: Procurement & Payment Services and the Dean/GSB Director or ED/Director: PASS department/CFO	LM of FH	DIR: PPS	UH	
	Deviations > R2,000,000 and <= R5,000,000	Line Manager of the Fund Holder and Director: Procurement & Payment Services and the Dean/GSB Director or ED/Director: PASS department/CFO and CFO	LM of FH	DIR: PPS	UH & CFO	
	Deviations > R5,000,000 and <= R20,000,000	Line Manager of the Fund Holder and Director: Procurement & Payment Services and the Dean/GSB Director or ED/Director: PASS department/CFO and CFO and COO	LM of FH	DIR: PPS	UH & CFO	COO
	Deviations > R20,000,000	All of the above signatories and Council approval	LM of FH	DIR: PPS	UH & CFO	COO & CNL



GEN002 Schedule A: Financial Authorities

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ACTION	CONDITIONS/AMOUNT	APPROVAL REQUIRED	SIGNATORIES			
			1st	2nd	3rd	4th
PURCHASES - READ WITH POLICIES ON THRESHOLD VALUES FOR PURCHASING (PPP002) & LIBRARIES ACQUISITION OF INFORMATION RESOURCES (PUR008)						
Purchase orders – general - Excluding Assets (refer below) - Excluding purchases via the Library Services Platform, which is covered by the Libraries Acquisitions policy (PUR008)	All payments to UCT staff (reimbursements, advances etc.) <= R15,000	Fund Holder In addition, Line Manager of the payee to sign, if the payee and the Fund Holder are the same person*	FH*			
	All payments to UCT staff (reimbursements, advances etc.) > R15,000	Fund Holder and Line Manager of the payee	FH	LM		
	Purchase orders <= R100,000	Fund Holder	FH			
	Purchase orders > R100,000 and <= R2,000,000	Fund Holder and the Dean/GSB Director or ED/Director: PASS department/CFO	FH	UH		
	Purchase orders > R2,000,000	Fund Holder and the Dean/GSB Director or ED/Director: PASS department/CFO and CFO or DVC Research & Internationalisation	FH	UH	CFO/ DVC	
Purchase Orders in terms of supplier or service contracts, as approved per the Delegated Authorities, including software and data access licences.	Purchase order <= R2,000,000	Fund Holder	FH			
	Purchase order > R2,000,000	Fund Holder and the Dean/GSB Director or ED/Director: PASS department/CFO	FH	UH		
Movable Asset acquisitions	Cost <= R28,750 (not on Asset register)	Fund Holder, via standard purchasing process	FH			
	Cost > R28,750 and <= R100,000	Fund Holder, via Asset acquisition process	FH			
	Cost > R100,000 and <= R2,000,000	Fund Holder and the Dean/GSB Director or ED/Director: PASS department/CFO	FH	UH		
	Cost > R2,000,000	Fund Holder and the Dean/GSB Director or ED/Director: PASS department/CFO and CFO or DVC Research & Internationalisation	FH	UH	CFO/ DVC	
PURCHASING CARDS - READ WITH POLICY ON PURCHASING CARD - PCARD (PUR002)						
UCT application to hold a purchasing card / change a permanent purchasing card limit	All cards	The Fund Holder and the LM & HOD (if different) and the Faculty/PASS finance manager and the Dean/GSB Director or ED/Director: PASS department/CFO	FH	LM & HOD	FM	UH
Bank application for a new card or to request a permanent increase in credit limit, based on authorised request	Cards with monthly credit limits of <= R100,000	Purchasing Card Manager: Procurement & Payment Services (PPS) and Director: Procurement & Payment Services	PCard Mngr	DIR: PPS		
	Cards with monthly credit limits of > R100,000	Purchasing Card Manager: Procurement & Payment Services and Director: Procurement & Payment Services and CFO	PCard Mngr	DIR: PPS	CFO	
UCT application to request a temporary limit increase for a specified limited period (< 6 months)	Temporary limit set to <= R100,000	The Fund Holder and LM & HOD (if different) and Faculty/PASS finance manager	FH	LM & HOD	FM	
	Temporary limit set to > R100,000	The Fund Holder and LM & HOD (if different) and Faculty/PASS finance manager and Director: Procurement & Payment Services or CFO	FH	LM & HOD	FM	DIR: PPS/ CFO
MOVABLE ASSET DISPOSALS - READ WITH POLICY ON DISPOSAL OF REDUNDANT AND SECOND-HAND GOODS (PUR001)						
Disposal of moveable Assets as authorised by the Director or Head of a budget-holding department	Book value <= R50,000	Head of Department	HOD			
	Book value > R50,000 and <= R500,000	Head of Department and the Dean/GSB Director or ED/Director: PASS department/CFO	HOD	UH		
	Book value > R500,000	Head of Department and the Dean/GSB Director or ED/Director: PASS department and CFO	FH	UH	CFO	



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ACTION	CONDITIONS/AMOUNT	APPROVAL REQUIRED	SIGNATORIES			
			1st	2nd	3rd	4th

INVESTMENTS

Appointment of investment managers and advisors	All investment portfolios, including cash portfolios	Council/Board of Trustees of the UCT Foundation, on advice of the Joint Investment Committee (JIC)
Setting investment limits and strategies	All investment portfolios, including cash portfolios	Council/Board of Trustees of the UCT Foundation, on advice of the JIC
Operational instructions	Contracts/letters of instruction on mandates	CFO
	Appointment of operational signatories	CFO
Investing or withdrawing call/cash funds, fixed deposits or other portfolio investments - UCT Foundation	All amounts	One top line signatory as nominated by the CFO and Chair/Deputy Chair of JIC
Investing or withdrawing call/cash funds, fixed deposits or other portfolio investments - UCT Cash	< = R100,000,000	Two top line signatories as nominated by the CFO
	> R100,000,000	Two top line signatories as nominated by the CFO and the CFO

BANKING

Bank Accounts and relationships with commercial banks for general banking purposes	Opening and closing of bank accounts and short term call deposit accounts	CFO
	Letters of instruction and/or indemnity	CFO and one top line signatory as nominated by the CFO
Bank Accounts and relationships with commercial banks for the UCT Foundation	Opening and closing of bank accounts and short term call deposit accounts	JIC Chair/Deputy Chair and one top line signatory as nominated by the CFO
	Letters of instruction and/or indemnity	JIC Chair/Deputy Chair and one top line signatory as nominated by the CFO
Banking signatories NOTE: Signatories must be independent of the payment processing.	Top/Bottom line signatories	Nominees of the CFO NOTE: The same person may not be both a top and bottom line signatory.

LOANS

Raising of loans by UCT	All loans	Council, on the advice of the UFC (and subject to Higher Education Act requirements).
Loans by UCT to UCT affiliates (e.g. UCT Medical Centre, Sports Science Institute of South Africa (SSISA), Food & Connect (F&C), Afrec, The Lung Institute, SHAWCO), excluding loans advanced by IPAC for Spin-off companies (Refer Schedule I)	Loans <= R10,000,000	CFO and Registrar or COO
	Loans > R10,000,000	UFC to recommend to Council the amount of the loan facility to be made available to the entity concerned. The loan facility is to be reviewed annually and Council advised accordingly.

INTERNAL BRIDGING FINANCE

Award of bridging finance, including variations in terms	Amount < = R10,000,000	CFO on application by Dean/GSB Director or ED/Director: PASS department/CFO and the Registrar or COO
	Amount > R10,000,000 and < = R20,000,000	CFO and the Registrar or COO and Chair of the UFC on application by the Dean/GSB Director or ED/Director: PASS department/CFO
	Amount > R20,000,000 Where the following applies: a) The project has been approved by Council; or b) The project has been approved, funds have been committed by a donor or contractor and there is an agreement that the bridging finance has first claim on donations or contract income.	CFO and the Registrar or COO and Chair of the UFC on application by the Dean/GSB Director or ED/Director: PASS department/CFO
	Amount > R20,000,000 where neither of the above two conditions apply	Council on the advice of the CFO and the Registrar or COO and Chair of the UFC.

 (Chair)

GEN002 Schedule A: Financial Authorities

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ACTION	CONDITIONS/AMOUNT	APPROVAL REQUIRED	SIGNATORIES			
			1st	2nd	3rd	4th

DEBT WRITE OFFS		
Bad debt (external debt and staff debtors, but excluding Student Fee debt) and the non-pursuit of insurance claims, after due process has been followed. NOTE: Applies to combined customer debt, not individual amounts.	< = R150,000	Finance Manager: Debtors, with monthly reporting to Director: Financial Accounting
	> R150,000 and < = R1,000,000	Finance Manager: Debtors, with approval by the Director: Financial Accounting, with reporting to CFO quarterly
	> R1,000,000 and < = R5,000,000	Finance Manager: Debtors, with approval by the Director: Financial Accounting and CFO, with reporting to the UFC
	> R5,000,000	All the above signatories and reporting to Council, on advice of the UFC
Credit/reversal of Debtor invoices, including where there is a replacement of the invoice, after due process has been followed. NOTE: The values refer to the negative DIFFERENTIAL (reduction of Revenue) between the original invoice (for which a Credit Note was issued) and the replacement invoice (if applicable).	< = R150,000	Initiated by the department and approved by Finance Manager: Debtors with monthly reporting to the Director: Financial Accounting.
	> R150,000 and < = R1,000,000	Initiated by the department, recommended by Finance Manager: Debtors and approved by Director: Financial Accounting, with quarterly reporting to the CFO
	> R1,000,000 and < = R5,000,000	Initiated by the department, recommended by Finance Manager: Debtors and Director: Financial Accounting, with approval by CFO
	> R5,000,000	Initiated by the department, recommended by Finance Manager: Debtors and Director: Financial Accounting, with approval by CFO, and reporting to the UFC.
Writing off Fund deficits (non-recoverable) NOTE: The Net Debit must be absorbed in the department within which the fund operated. Where the department is unable to carry such a charge, the Dean/GSB Director or ED/Director PASS department/CFO may approach the UFC for (some) relief.	< = R150,000	Dean/GSB Director or ED/Director: PASS department/CFO
	> R150,000 < = R5,000,000	CFO on motivation by Dean/GSB Director or ED/Director: PASS department/CFO
	> R5,000,000	CFO on motivation by Dean/GSB Director or ED/Director: PASS department and ratified by the UFC and reported to the COO / DVC Research & Internationalisation
Debit/Credit write offs of unidentified receipts and payments	All amounts	Transfers to Treasury write off - Director: Treasury & Banking
	All amounts	Write off to Income Statement – Director: Financial Accounting

DORMANT FUNDS - Those research and related funds which were under the decision making rights of an individual who has left the University, and on which there has been no activity, must be closed in the year following the year in which they became dormant.

Net Surplus (refer Fund Deficits for Net Debts)	< = R150,000	Dean/GSB Director or ED/Director: PASS department/CFO
	> R150,000 < = R5,000,000	CFO on motivation by Dean/GSB Director or ED/Director: PASS department/CFO
	> R5,000,000	CFO on motivation by Dean/GSB Director or ED/Director: PASS department/CFO and ratified by the UFC and reported to the COO / DVC Research & Internationalisation

DONATIONS

Acceptance of a donation or grant, which is not subject to a research contract, and where further costs <= R1,000,000 will be incurred.	Amount < = R3,000,000	Fund Holder and Faculty/PASS finance manager and Development and Alumni Department (DAD) Client Relationship Manager (CRM) and Nominee of the CFO	FH	DAD CRM & FM	Nom of CFO	
	Amount < = R20,000,000	Fund Holder and Faculty/PASS finance manager and Development and Alumni Department (DAD) Client Relationship Manager (CRM) and Nominee of the CFO and the VC	FH	DAD CRM & FM	Nom of CFO	VC
Acceptance of a donation or grant which is not subject to a research contract and where further costs > R1,000,000 will be incurred.	Amount > R20,000,000	Fund Holder and Faculty/PASS finance manager and Development and Alumni Department (DAD) Client Relationship Manager (CRM) and Nominee of the CFO and the VC and Chair of Council	FH	DAD CRM & FM	Nom of CFO	VC & Chair Council
	Cash or equivalent	Nominee of CFO (in Development & Alumni Department)				
Issuing of Section 18A Certificates	Donations in kind	Nominee of CFO (in Development & Alumni Department), in consultation with the CFO				

GEN002 Schedule A: Financial Authorities

NOTES:

- All values referred to in this schedule INCLUDE VAT
 - Where transaction in foreign currency, rate at date of signature to be applied
 - Unless specifically excluded, Nominees are implied in all Delegated Authorities, based on the required written authority
- FH = Fund Holder; ED = Executive Director; UH = Unit Head i.e. Dean/GSB Director or ED/Director of PASS dept or CFO; CFO = Chief Financial Officer; LM = Line Manager; HOD = Head of Department; FM = Faculty/PASS finance manager; REG = Registrar, COO = Chief Operating Officer; PPS = Procurement & Payment Services; P&S = Properties & Services; DSA = Department of Student Affairs; DVC = Deputy Vice-Chancellor; VC = Vice-Chancellor**
UB&DC = University Building & Development Committee; JIC = Joint Investment Committee, UFC = University Finance Committee; IPAC = Intellectual Property Advisory Committee; CNL = Council

ACTION	CONDITIONS/AMOUNT	APPROVAL REQUIRED	SIGNATORIES			
			1st	2nd	3rd	4th

RESEARCH COST RECOVERIES

Waiver of research and other cost recoveries NOTE: All research for external parties should be priced based on UCTs full cost approach.	All amounts	Dean/GSB Director or ED/Director PASS Department/CFO
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BUDGET

Granting budget for Continuing activities, including CAPEX, or additional operating budget as part of annual planning cycle	Any amount	Council on recommendation of the UFC
Granting additional budget for Continuing activities	Additional Income has been recognised or positive variance forecast, requiring additional budget.	Nominee of CFO
Granting research budget (non-Council controlled operating budget)	Income has been recognised or research contract has been signed	Nominee of CFO
	Authority to spend on Spend & Claim basis granted by external funding source	Nominee of CFO

RESERVES - READ WITH THE DOCUMENT ON FINANCIAL POLICY IN RESPECT OF COUNCIL CONTROLLED FUNDS

Use of Prior Year Reserves (PYR)	Units are required to maintain sufficient Reserves to cover 5% of their total expenditure budget at all times.	Any variation regarding the 5% rule is reported via the CFO to the UFC on an annual basis.
	Otherwise units may use their Reserves in terms of the "UCT Financial Policy".	Expenditure greater than R1,000,000, subject to specific communication as to utilisation thresholds, to be approved by the responsible line DVC or COO (for consistency with priorities) and reported to the CFO



GEN002 Schedule B: HR and HR Related

UNIVERSITY OF CAPE TOWN HR DELEGATED AUTHORITIES

Notes

- 1 These authorities include those delegated and those retained by Council. They must be read together with the rules relating to the exercise of delegated authority. Where authority is delegated to an individual, the authority passes from the delegating authority to the designated officer through those officers that make up the line of responsibility between the two. It follows that the exercise of that authority may be referred to a superior officer in that line and that, if referred, the superior officer in the line may exercise the authority. Executive-level responsibility for Human Resources rests with the Executive Director of Human Resources (ED: HR); the Dean/Director: Graduate School Business (GSB) is accountable for human resource arrangements in the Faculty and the Executive Director/Registrar/COO/Director and Chief Financial Officer (CFO) for a PASS department.
- 2 The Dean/Director: GSB/ED/Registrar/COO/Director and CFO will ordinarily be required to see all proposals but may delegate their responsibility for this to the Head of Department and/or Head of Section/Unit.
- 3 Where signing of letters is shown as ED: HR or nominee, the Dean/Director: GSB/ED/Registrar/COO/Director and CFO may ask to sign as the ED: HR's nominee, but accountability for content of the letter rests with the ED: HR.


Rules relating to the exercise of delegated authority

- 1 Unless the Schedule specifically authorises this, an authority may not further delegate their authority.
- 2 An authority must ensure that:
 - a) the power is exercised within the scope of the delegated authority;
 - b) the power is exercised in accordance with University policies and statutory requirements, and that due process has been followed;
 - c) responsibility for signing is delegated, not accountability;
 - d) the required delegation is noted in writing, or that the electronic delegation (e.g. via email or system delegation) contains the information as required;
 - e) the direct and indirect financial consequences of their decision are covered by an approved budget (authority to act does not confer authority to make a new budgetary appropriation, or create an entitlement to space); and
 - f) there is no conflict of interest (if the authority is conflicted they must decline to exercise the authority delegated to them).
- 3 Monetary/time limits refer to the total amount/duration of the contract/lease/salary and, save where otherwise indicated, include VAT. A single contract may not be split into separate contracts to avoid the more restrictive authorities imposed by any limit.
- 4 The signing authority may consult, where appropriate, relevant staff within the University before exercising the authority delegated to them.
- 5 Where an authority is away from office:
 - a) and a person has been appointed, in writing or via an out of office, to act in that position for the period of absence, the person appointed to act may exercise the delegated authority vested in that position (e.g., an acting Vice-Chancellor (VC) may exercise the authority given to the VC, or an acting Chief Financial Officer may exercise the authority given to the Chief Financial Officer); or
 - b) if a person has not been appointed to act, the authority's line manager is deemed to have the authority (e.g., in the absence of the Registrar or the CFO, the VC may exercise authority delegated to either).
- 6 The Vice-Chancellor may, in writing, delegate a specific authority delegated to them to a Deputy Vice-Chancellor (DVC), except where the Council or the Senate as the case may be, has expressly reserved the power to act to the Vice-Chancellor subject to any limitation that the Vice-Chancellor may impose, and subject to the condition that the Vice-Chancellor may withdraw this delegation at any time.
- 7 The Council may confirm, ratify, vary or revoke any decision taken by an employee, subject to any rights that may have become vested as a consequence of the decision.




GEN002 Schedule B: HR and Related

Category of Decision		Recommending Authority	Procedural Authority	Final Authority	Comments	Action	Signing of letters
1	SELECTION COMMITTEES						
1.1	Selection committees for advertised post						
1.1.1	Professor	HOD	ED: HR or nominee	Dean/Director:GSB		Principal Circular (PC)	
1.1.2	All other academic posts	HOD	ED: HR or nominee	Dean/Director:GSB	Academic includes research academic positions	PC	
1.1.3	Senior staff (VC)	Chair of Council	ED: HR or nominee	Council		PC	
1.1.4	Senior staff (DVC/COO)	VC and Chair of Council	ED: HR or nominee	Council		PC	
1.1.5	Senior staff (Deans, EDs, Directors, CFO, Registrar, Peromnes 2-3)	VC/DVC/COO	ED: HR or nominee	VC		PC	
1.1.6	Senior staff (Peromnes 4-5)	Dean/Director:GSB/ED/HOD/CFO/ Director/Registrar	ED: HR or nominee	ED/Dean/Director:GSB /CFO/ Director/ Registrar		PC	
1.1.7	PASS posts pay class 9-12	Line Manager	ED: HR or nominee	Line Manager			
1.1.8	PASS posts pay class 1-8	Line Manager	ED: HR or nominee	Line Manager			
1.1.9	Pro-VC	DVC	ED: HR or nominee	VC		PC	
1.1.10	University Ombud	Chair of Council	ED: HR or nominee	Council		PC	
1.2	Selection committees for waiver of advertisement motivations (T1, T2, permanent)						
1.2.1	Academic posts (including research academic posts)	Dean/Director:GSB	ED: HR or nominee	ED: HR DVC if A/Professor VC if Professor		PC	
1.2.2	Senior Staff (VC)	Chair of Council	ED: HR or nominee	Council		PC	
1.2.3	Senior staff (DVC/COO)	VC and Chair of Council	ED: HR or nominee	Council		PC	
1.2.4	Senior staff (Deans, EDs, Directors, CFO, Registrar) - Peromnes 2-3	VC/DVC/COO	ED: HR or nominee	VC		PC	
1.2.5	Senior staff - Peromnes 4-5	ED/Dean/Director:GSB/Director/CFO/ Registrar	ED: HR or nominee	VC		PC	
1.2.6	PASS posts pay class 9-12	ED/Dean/Director:GSB/Director/CFO/ Registrar	ED: HR or nominee	ED: HR			
1.2.7	PASS posts pay class 1-8	ED/Dean/Director:GSB/Director/CFO/ Registrar	ED: HR or nominee	ED: HR			
1.2.8	Strategic appointments recommended by the VC	VC	ED: HR or nominee	Chair of Senate Review Panel (DVC)		PC	
1.2.9	Pro-VC	DVC	ED: HR or nominee	VC		PC	



GEN002 Schedule B: HR and Related

Category of Decision		Recommending Authority	Procedural Authority	Final Authority	Comments	Action	Signing of letters
2	APPOINTMENTS – PERMANENT AND TEMPORARY						
2.1	Academic staff (permanent and T2 appointments, including joint staff on UCT/Western Cape Government (WCG) or UCT/National Health Laboratory Service (NHLS) conditions)						
	2.1.1	Professor	Selection Committee	ED: HR or nominee	VC	Dean or nominee chairs selection committee and DVC attends selection committee at interview stage. DVC signs in support of the recommendation.	PC ED: HR or nominee
	2.1.2	Associate Professor	Selection Committee	ED: HR or nominee	DVC	Dean or nominee chairs selection committee	PC ED: HR or nominee
	2.1.3	Senior Lecturer	Selection Committee	ED: HR or nominee	Dean/Director:GSB (permanent) Dean/Director:GSB or nominee (fixed term contract)	Dean or nominee chairs selection committee	PC ED: HR or nominee
	2.1.4	Lecturer & Assistant Lecturer	Selection Committee	ED: HR or nominee	Dean/Director:GSB or nominee	Dean or nominee chairs selection committee	PC ED: HR or nominee
	2.1.5	Deans & Deputy Deans	Selection Committee	ED: HR or nominee	Council	Deans and substantive Deputy Deans only	PC ED: HR or nominee
	2.1.6	Principal Research Officer	Selection Committee	ED: HR or nominee	VC where appointment is at academic title of Professor. Dean/Director:GSB or nominee where academic title is lower than Professor	VC final authority does not apply to pay level, only academic title.	PC ED: HR or nominee
	2.1.7	Chief Research Officer, Senior Research Officer, Research Officer/Fellow and Junior Research Officer/Fellow	Selection Committee	ED: HR or nominee	Dean/Director:GSB or nominee		PC ED: HR or nominee
	2.1.8	Academic Teacher (Lecturer/Senior Lecturer level only)	Selection Committee	ED: HR or nominee	Dean/Director:GSB or nominee		ED: HR or nominee
2.2	Academic Staff – T1 contracts and shorter fixed term appointments						
	2.2.1	Professor, Associate, Professor, Senior Lecturer, Lecturer, Assistant Lecturer including Visiting Professor or Visiting Associate Professor	HOD	ED: HR or nominee	Dean/Director:GSB	CV of Visiting Professor must accompany recommendation; appointment normally not more than one year; appointment approved at Dean level	ED: HR or nominee
	2.2.2	Teaching Assistant, Tutor, Demonstrator	Line Manager or nominee	ED: HR or nominee	Head of Department (HOD) / Deputy Dean or nominee	T1, paid-on-claim and ad hoc appointments	ED: HR or nominee
	2.2.3	Research academic staff (all levels)	HOD and Grant Holder	ED: HR or nominee	Dean/Director:GSB or nominee	T1, paid-on-claim and ad hoc appointments	ED: HR or nominee
	2.2.4	Senior Scholars (post-retirement appointment)	Dean/Director:GSB	ED: HR or nominee	DVC or VC (where CoE is equal to or exceeds Professorial level)		PC ED: HR or nominee
	2.2.5	Senior Research Scholars (post-retirement appointments)	Dean/Director:GSB	ED: HR or nominee	DVC (Research) or VC (where CoE equal to or exceeds Professorial level)		PC ED: HR or nominee



GEN002 Schedule B: HR and Related

Category of Decision		Recommending Authority	Procedural Authority	Final Authority	Comments	Action	Signing of letters
2.3 Non-substantive appointments: All staff							
2.3.1	Non-permanent Deputy Dean/Assistant Dean	Faculty Board	ED: HR or nominee	Senate	Faculty Board recommends to Senate	PC	ED: HR or nominee
2.3.2	Head of Department	Dean/Director:GSB	ED: HR or nominee	VC	Appointment ordinarily not less than 3 years and not more than 5 years	PC	ED: HR or nominee
2.3.3 Acting HOD							
2.3.3.1	3 months or more	Dean/Director:GSB	ED: HR or nominee	DVC responsible for academic staff matters		PC	ED: HR or nominee
2.3.3.2	Less than 3 months	HOD	ED: HR or nominee	Dean/Director:GSB		PC	ED: HR or nominee
2.3.4	Acting VC	Chair of Council	ED: HR or nominee	Council		PC	ED: HR or nominee
2.3.5	Acting DVC, COO	VC	ED: HR or nominee	Council		PC	ED: HR or nominee
2.3.6	Acting Dean, CFO, Director, ED	DVC	ED: HR or nominee	VC		PC	ED: HR or nominee
2.3.7	Honorary Professor and Honorary Associate Professor	Selection Committee	ED: HR or nominee	VC		PC	ED: HR or nominee
2.3.8	Honorary Senior Lecturer / Lecturer	HOD	ED: HR or nominee	Dean		PC	ED: HR or nominee
2.3.9	Honorary Research Associate and Honorary Research Affiliates	HOD		DVC R & I or ED: Research			DVC R & I or ED: Research
2.3.10	Adjunct Professor	Selection Committee (of Faculty)	ED: HR or nominee	DVC			ED: HR or nominee
2.3.11	Adjunct Associate Professor, Senior Lecturer or Lecturer	Selection Committee (of Faculty)	ED: HR or nominee	Dean/Director:GSB			ED: HR or nominee
2.3.12	Acting PC3-11	HOD	ED: HR	Dean/Director:GSB/ED/Registrar/Director/CFO			ED: HR or nominee
2.3.13	Acting PC12	Dean/ED/Registrar/Director:GSB	ED: HR	COO			ED: HR or nominee
2.3.14	Acting PC13 (4) and (5)	Dean /ED/Registrar/Director:GSB	ED: HR	VC			ED: HR or nominee
2.4 Senior Staff – all appointments							
2.4.1	Peromnes 1 – 3 (VC, DVC, Dean, ED, Registrar, Director CFO, COO)	Selection Committee	ED: HR or nominee	Council		PC and Council Rem Com	ED: HR or nominee
2.4.2	Peromnes 4 – 5	Selection Committee	ED: HR or nominee	VC, DVC or COO	VC reports to Remuneration Committee of Council (RemCom) via annual Council report	PC and Council RemCom	ED: HR or nominee
2.4.3	University Ombud	Selection Committee	ED: HR or nominee	Council	Administratively the VC informs RemCom officially when the recruitment has been completed and Council has approved the appointment.	PC and Council RemCom	ED: HR or nominee
2.5 PASS Staff – permanent and T2 appointments							
2.5.1	Pay classes 1 - 12	Selection Committee	ED: HR or nominee	ED/Dean/Director:GSB/Director/CFO/Registrar or nominee		PC for Pay classes 9-12	ED: HR or nominee
2.5.2	Wardens & Assistant Wardens	Selection Committee	ED: HR or nominee	ED: DSA or nominee			ED: HR or nominee



GEN002 Schedule B: HR and Related

Category of Decision		Recommending Authority	Procedural Authority	Final Authority	Comments	Action	Signing of letters
2.6	PASS Staff – T1 contracts and shorter term appointments						
2.6.1	Pay classes 1 – 12	Selection Committee/HOD or nominee	ED: HR or nominee	Dean/Director:GSB/ED/CFO/Director/Registrar or nominee or Academic HOD	T1, paid-on-claim and ad hoc appointments (excluding those made to students whose roles are linked to their studentship)		ED: HR or nominee
2.6.2	Acting ED of PASS department	VC/ED/DVC/COO	ED: HR or nominee	VC and RemCom for VC reports			ED: HR or nominee
2.6.3	PASS post-retirement appointments	Dean/Director:GSB/ED with support from line DVC/COO	ED: HR or nominee	ED: HR			ED: HR or nominee
2.6.4	Post retirement appointments for Peromnes 4-5	VC/DVC/COO/Dean/Director:GSB/ED	ED: HR or nominee	VC			ED: HR or nominee
2.6.5	Post retirement appointments for Peromnes 2-3	VC	ED: HR or nominee	Council			ED: HR or nominee
2.7	Motivations for Waiver of advertisement appointments						
2.7.1	Professor & Associate Professor	Selection committee	ED: HR or nominee	ED: HR and VC for Prof level		PC	ED: HR or nominee
2.7.2	Senior Lecturer, Lecturer, Assistant Lecturer and all levels of Research Officer	Selection committee	ED: HR or nominee	ED: HR		PC	ED: HR or nominee
2.7.3	Senior Staff (VC)	Chair of Council	ED: HR or nominee	Council	RemCom to recommend to Council	PC	
2.7.4	Senior Staff (DVC)	VC	ED: HR or nominee	Council	RemCom to recommend to Council	PC	
2.7.5	Senior Staff (Peromnes 2- 3 /Deans, EDs,CFO and Registrar)	VC, DVC/COO	ED: HR or nominee	Council	RemCom to recommend to Council	PC	
2.7.6	Senior Staff (Peromnes 4-5)	Selection committee	ED: HR or nominee	VC	Report to RemCom for noting	PC	
2.7.7	PASS posts pay classes 1 - 12	Selection committee	ED: HR or nominee	ED: HR			
2.7.8	Strategic Appointments recommended by the VC	Selection committee	ED: HR or nominee	Chair of Senate Review Panel (DVC)		PC	
2.7.9	Pro-VC	DVC	ED: HR or nominee	VC		PC	
3	PROBATION AND CONFIRMATION OF APPOINTMENTS (Academic)						
3.1	Academic appointments where the Dean/Director:GSB is Reporting Officer	Dean/Director:GSB or Committee of Review	ED: HR or nominee	DVC or Committee of Review			ED: HR or nominee
3.2	All other academic appointments	HOD or Committee of Review	ED: HR or nominee	DVC or Committee of Review			ED: HR or nominee



GEN002 Schedule B: HR and Related

Category of Decision		Recommending Authority	Procedural Authority	Final Authority	Comments	Action	Signing of letters
4	ADDITIONAL WORK FOR UCT						
4.1	Additional Appointments						
4.1.1	All Faculty staff (Academic and PASS)	HOD/Line Manager	ED: HR or nominee	Dean/Director/ GSB or nominee			ED: HR or nominee
4.1.2	Staff in PASS departments	HOD/Line Manager	ED: HR or nominee	ED/Director/ CFO/Registrar or nominee			ED: HR or nominee
4.2	Additional Salary Payments – Academic Staff – where budget allows this						
4.2.1	Less than R25,000	HOD	ED: HR or nominee	Dean/Director: GSB or nominee			
4.2.2	R25,000 - R100,000	HOD	ED: HR or nominee	Dean/Director: GSB	Dean/Director: GSB to provide quarterly reports to the DVC		
4.2.3	> R100,000 – R250,000	DVC responsible for academic staff	ED: HR or nominee	VC			
4.2.4	> R250,000	DVC	ED: HR or nominee	VC reporting to RemCom			
4.3	Additional Salary Payments – PASS Staff – where budget allows this						
4.3.1	Less than R25,000	HOD	ED: HR or nominee	Dean/Director: GSB/ED/Director/CFO/Registrar or nominee			
4.3.2	R25,000 - R100,000	Dean/Director: GSB or ED	ED: HR or nominee	ED: HR			
4.3.3	> R100,000 - R250,000	COO	ED: HR or nominee	VC			
4.3.4	> R250,000	COO		VC reporting to RemCom			
4.4	Additional Salary Payments – Senior Staff						
4.4.1	Peromnes 4 – 5	DVC/COO/Dean/Director: GSB/ED/CFO or Registrar	ED: HR	VC	Report to RemCom in annual report	Rem Com	
4.4.2	Peromnes 3						
4.4.2.1	Single Payments of up to R100,000	DVC/COO	ED: HR	VC	Report to RemCom in annual report	Council in annual RemCom report	
4.4.2.2	Cumulative Payments of up to R250,000	DVC/COO	ED: HR	VC	Report to RemCom in annual report	Council in annual RemCom report	
4.4.2.3	Single Payments > R100,000	VC	ED: HR	RemCom		Council in annual RemCom report	
4.4.2.4	Cumulative Payments > R250,000	VC	ED: HR	RemCom		Council in annual RemCom report	
4.4.3	Peromnes 1 - 2	Line Manager	ED: HR	RemCom		Council in annual	



GEN002 Schedule B: HR and Related

Category of Decision		Recommending Authority	Procedural Authority	Final Authority	Comments	Action	Signing of letters
5 SETTING OF SALARY RANGES							
5.1	Academic staff	ED: HR	ED: HR	ED: HR	Relevant DVC with VC		Council
5.2	PASS staff (Pay classes 1 – 12)	ED: HR	ED: HR	ED: HR	COO with VC		Council
5.3	Senior staff (Peromnes 1– 5) (Pay class 13)	ED: HR	ED: HR	ED: HR	RemCom		Council
6 SETTING INDIVIDUAL SALARIES AND ALLOWANCES							
6.1 Academic Staff							
6.1.1	All academic ranks within ranges	HOD	Dean	Dean or nominee			ED: HR or nominee
6.1.2	Above SASP for Professors	Dean/Director:GSB	DVC responsible for academic staff matters	DVC responsible for academic staff matters with VC			ED: HR or nominee
6.1.3	Above SASP up to, and including, level of Associate Professor to COE at maximum of next rank	Dean/Director:GSB	DVC responsible for academic staff matters	DVC responsible for academic staff matters			DVC responsible for academic staff matters
6.2 PASS Staff							
6.2.1	Pay classes 1 – 12 up to standard package	HOD	ED: HR	Dean/Director:GSB/ED/CFO/Director/Registrar or nominee			ED: HR or nominee
6.2.2	Above standard package in pay classes 1 -11 to COE at maximum of next pay class standard package	HOD	ED: HR	ED: HR			ED: HR or nominee
6.2.3	Above standard package in pay class 12	Dean/Director:GSB/ED/CFO/Director/Registrar	ED: HR	ED: HR	COO with VC		ED: HR or nominee
6.3 Senior Staff							
6.3.1	Peromnes 4 – 5 Including non-Executive Peromnes 3	Dean/Director:GSB/ED/CFO/Director/Registrar	ED: HR	ED: HR	COO with VC		ED: HR
6.3.2	Peromnes 3	DVC	RemCom	RemCom	RemCom		VC
6.3.3	Peromnes 2	VC	RemCom	RemCom	RemCom		VC
6.3.4	Peromnes 1	Chair of Council	RemCom	RemCom	RemCom		Chair of Council
6.4 Head of Department/Deputy Dean Allowances on appointment							
6.4.1	Academic staff	Dean/Director:GSB	ED: HR or nominee	Dean/Director:GSB			ED: HR or nominee
6.5 Externally-funded Augmentations							
6.5.1	Dean/Director:GSB	DVC responsible for academic staff matters	ED: HR or nominee	VC	Report to RemCom		ED: HR or nominee
6.5.2	Academic staff other than Dean	HOD or Dean/Director:GSB	ED: HR or nominee	DVC responsible for academic staff matters			ED: HR or nominee



GEN002 Schedule B: HR and Related

Category of Decision		Recommending Authority	Procedural Authority	Final Authority	Comments	Action	Signing of letters
7	SALARY ADJUSTMENTS (outside negotiated agreements)						
7.1	Academic Staff						
7.1.1	All Academic ranks within ranges	HOD	ED: HR	Dean/Director:GSB			ED: HR or nominee
7.1.2	All Academic Clinical ranks within ranges	HOD	ED: HR	Dean			ED: HR or nominee
7.2	PASS Staff						
7.2.1	Pay classes 1 – 12	Dean/Director:GSB/ED/CFO/Registrar/Director	ED: HR or nominee	ED: HR or nominee			ED: HR or nominee
7.3	Senior Staff						
7.3.1	Peromnes 4 – 5 Including non Executive Peromnes 3	Dean/Director:GSB/ED/CFO/Registrar/Director	ED: HR	Relevant DVC/COO with VC	Report to RemCom		ED: HR or nominee
7.3.2	Peromnes 3	VC/DVC/COO	RemCom	RemCom	Report to Council		VC
7.3.3	Peromnes 2	VC	RemCom	RemCom	Report to Council		VC
7.3.4	Peromnes 1	Chair of Council	RemCom	RemCom	Report to Council		Chair of Council
8	AD HOMINEM PROMOTIONS						
8.1	Academic Staff promoted to the rank of						
8.1.1	Professor, Associate Professor, Senior Lecturer/Lecturer	Faculty Promotions & Remuneration Committee	ED: HR or nominee	VC		PC	ED: HR or nominee
8.1.2	Principal Research Officer, Chief Research Officer, Senior Research Officer/Research Officer	Faculty Promotions & Remuneration Committee	ED: HR or nominee	VC		PC	ED: HR or nominee
8.1.3	a) Clinical professor, clinical associate professor any other academic rank for Joint (WCG or NHLS) staff on UCT conditions of service b) Any academic rank for Joint Staff on NHLS or WCG conditions of service	Faculty Promotions & Remuneration Committee	ED: HR or nominee	VC and WCG or NHLS		PC	ED: HR or nominee
8.2	Technical/Scientific Staff promoted to the rank of						
8.2.1	Principal Tech/Sci Officer, Chief Tech/Sci Officer, Senior Tech/Sci Officer	Chair – Scientific & Technical Officers Promotion Committee	ED: HR or nominee	VC		PC	ED: HR or nominee



GEN002 Schedule B: HR and Related

Category of Decision		Recommending Authority	Procedural Authority	Final Authority	Comments	Action	Signing of letters
9	LEAVE						
9.1	General						
9.1.1	Annual leave	Line Manager	ED: HR or nominees	Line Manager			
9.1.2	Sick Leave	Line Manager	ED: HR or nominee	Line Manager			
9.1.3	Parental (Primary) Leave	Line Manager	ED: HR or nominee	Line Manager			
9.1.4	Family responsibility leave exceeding UCT allocation of 5 days	Line Manager	ED: HR or nominee	ED: HR or nominee			
9.2	Academic Staff						
9.2.1	Study & Research / Contact leave for VC		ED: HR or nominee	Chair of Council		PC	ED: HR or nominee
9.2.2	Study & Research / Contact leave for DVCs	VC	ED: HR or nominee	VC in consultation with RemCom		PC	ED: HR or nominee
9.2.3	Study & Research / Contact leave for Deans	DVC	ED: HR or nominee	VC		PC	ED: HR or nominee
9.2.4	Study & Research / Contact leave for all other academic staff	HOD and Dean/Director:GSB	ED: HR or nominee	DVC responsible for academic staff matters		PC	ED: HR or nominee
9.2.5	Study and Research Leave for Research staff	HOD/Line Manager via Dean/Director:GSB	ED: HR or nominee	DVC responsible for research		PC	ED: HR or nominee
9.2.6	Special Leave and Leave Without Pay						
9.2.6.1	Up to and including 15 working days	Line Manager	ED: HR or nominee	Line Manager			
9.2.6.2	More than 15 working days	HOD and Dean/Director:GSB	ED: HR or nominee	DVC		PC	ED: HR or nominee
9.3	PASS Staff						
9.3.1	Long Leave	Line Manager	ED: HR or nominee	Line Manager			
9.3.2	Special Leave and Leave without Pay						
9.3.2.1	Up to and including 15 working days		Line Manager	ED: HR or nominee	Line Manager		
9.3.2.2	More than 15 working days	Line Manager and Dean/Director:GSB/ED/CFO/Registrar/Director	ED: HR or nominee	ED: HR			ED: HR or nominee
9.3.2.3	Carry forward of expiring annual leave – all pay classes	Line Manager	ED: HR or nominee	ED: HR or nominee			ED: HR or nominee
9.3.5	Carry forward of untaken sick leave from previous cycles and conversions from annual leave to sick leave, or half-pay sick leave to full-pay sick	Line Manager and Dean/ED	ED: HR or nominee	ED: HR or nominee			
10	RELOCATION EXPENSES						
10.1	Pay class 9 and above appointments		ED: HR or nominee	ED: HR or nominee			
11	CREATION OF NEW POSTS						
11.1	Academic or PASS	HOD	ED: HR or nominee	Dean/Director: GSB/Director/CFO/Registrar/ED	Dean/Director:GSB/Director/CFO/Registrar/ED has authority within limits of budget		



GEN002 Schedule B: HR and Related

Category of Decision		Recommending Authority	Procedural Authority	Final Authority	Comments	Action	Signing of letters
12	GRADING OF POSTS						
12.1	PASS Posts						
	12.1.1	Pay classes 1 – 12	Organisational Design Specialist	ED: HR	Chair of Position Evaluation Committee (COO)		ED: HR or nominee
12.2	Senior Posts						
	12.2.1	Peromnes 4 – 5	Organisational Design Specialist	Chair of Position Evaluation Committee	VC	Report to RemCom	Council Rem Committee ED: HR or nominee
	12.2.2	Peromnes 1 – 3	Organisational Design Specialist	Chair of Position Evaluation Committee	RemCom	Report to Council	Council ED: HR or nominee
13	REDUNDANCY, REDEPLOYMENT AND RETRENCHMENT						
	13.1	Approval of commencement of formal consultation	Dean/Director:GSB/CFO/Registrar/Director/ED/DVC/VC	Chair Employee Relations Management Committee (ERMC) (ED: HR)/ERMC	Chair ERMC (ED: HR)/ERMC		Chair ERMC (ED: HR)
	13.2	Approval of disestablishment of post/s	Dean/Director:GSB/CFO/Registrar/Director/ED/DVC/VC	Chair ERMC (ED: HR)/ERMC	Chair ERMC (ED: HR)/ERMC		Chair ERMC (ED: HR)
14	PERMISSION TO UNDERTAKE PRIVATE WORK						
	14.1	Academic and PASS	HOD	ED: HR	Dean/Director:GSB/ED/Director/Registrar/CFO		
	14.2	Clinical (joint WCG/UCT) staff on UCT conditions	HOD	LPP and private/additional work committee	Dean after consultation with Hospital CEO		
	14.3	Joint UCT/NHLS staff on UCT conditions	Private work not permitted				
15	TERMINATIONS (excluding end of contract)						
15.1	Standard Terminations						
	15.1.1	Standard terminations (resignation, normal and early retirement) of VC	Chair of Council	ED: HR	Council		PC ED: HR or nominee
	15.1.2	Standard terminations (resignation, normal and early retirement) of COO/DVC	VC	ED: HR	Council		PC ED: HR or nominee
	15.1.3	Standard terminations (resignation, normal and early retirement) Dean/ED/Registrar/CFO	VC/DVC	ED: HR	COO/DVC/VC		PC ED: HR or nominee
	15.1.4	Standard terminations (resignation, normal and early retirement) for all academic and PASS staff	Line manager	ED: HR	Dean/Director:GSB/ED/CFO/Director/Registrar or nominee		PC ED: HR or nominee
15.2		Pre-early retirement	HOD	ED: HR	ED: HR (PASS staff) DVC (academic staff)		PC ED: HR or nominee
15.3		Incentivised early retirement	Dean/Director:GSB/ED/Director/CFO/Registrar	ED: HR	VC, Remuneration Committee of Council (RemCom)		PC ED: HR, VC
15.4		Deferred retirement	HOD and Dean/Director:GSB	DVC Academic	VC		PC DVC, VC
15.5		Dismissal (poor performance, ill health)	Chairperson of the Hearing	ED: HR	ED: HR		PC ED: HR or nominee
15.6		Dismissal (misconduct)	Chairperson of the Hearing	ED: HR	VC or nominee		PC ED: HR or nominee



GEN002 Schedule B: HR and Related

Category of Decision		Recommending Authority	Procedural Authority	Final Authority	Comments	Action	Signing of letters
16	SEVERANCE AND DISPUTE / SETTLEMENT PACKAGES (on retrenchment or in order to settle disputes)						
16.1	In accordance with standard retrenchment formula up to R249 999	Line Manager	ED: HR or nominee	ED: HR or nominee			ED: HR or nominee
16.2	In accordance with standard retrenchment formula in excess of R249,999 and up to R800,000	Line Manager	ED: HR or nominee	ED: HR or nominee			ED: HR or nominee
16.3	In accordance with standard retrenchment formula in excess of R800,000	ED: HR	ED: HR or nominee	VC			ED: HR or nominee
16.4	Settlement of up to R500,000	Director: Employee Relations	ED: HR or nominee	ED: HR	Report to RemCom in annual report		ED: HR or nominee
16.5	Settlement from R500,001 to R800,000	ED: HR	ED: HR or nominee	VC	Report to RemCom in annual report		ED: HR or nominee
16.6	Settlement in excess of R800 000	VC	ED: HR or nominee	RemCom		Council	ED: HR or nominee
16.7	Non-monetary settlement	Line Manager	ED: HR or nominee	ED: HR or nominee			ED: HR or nominee
17	APPOINTMENT OF EMPLOYER TRUSTEES OF THE UCT RETIREMENT FUND (UCTRF)						
17.1	UCT/Employer Trustees of the UCT Retirement Fund	Vice-Chancellor	Vice-Chancellor's Executive Meeting	Council	Nomination of Employer Trustees as part of the UCTRF elections every four years	Council	ED: HR or nominee
18	APPOINTMENT OF ADVISORY PANEL MEMBERS						
18.1	Policy addressing bullying Advisory Panel appointment	ED: HR or nominee	ED: HR or nominee	ED: HR or nominee			



C: RESEARCH, RESEARCH-RELATED AND EXTENSION CONTRACT/AUTHORITIES

The Council has delegated authority for research, research-related and extension contracts as set out in Schedule C.

SCHEDULE C

1. This schedule covers:

- agreements between UCT and a third party in terms of which UCT contracts to do work, or supply something to, or for, a third party, for a price;
- grant agreements between UCT and third parties for grants to UCT to subvent research or research-related work done by UCT;
- contracts for public-service and/or extension work based on UCT's research-led expertise, widely understood;
- sub-contracts/subawards with third parties;
- other agreements related to UCT's research activities e.g. Confidentiality Agreements, Material Transfer Agreements, Memorandum of Understanding, License Agreements etc.
- Research related Proposals which need sign-off by an authorised official.

2. This schedule assumes that UCT has costed and priced the work with regard to the cost of doing the work and the need for cost recovery. When specific and non-standard infrastructure requirements, space, staff and equipment arise from the acceptance of this contract, authority may be exercised in terms of this schedule subject to the following condition, namely that those authorised to approve and sign, may only do so having first had a recommendation by the Dean, (or in the case of the GSB, the Director) or the Dean's nominee that the Dean/GSB Director/Dean's nominee:

- gives the assurance on behalf of the Faculty (or GSB) that the Faculty (or GSB), will
 - be able to meet the infrastructure requirements, space, staff and equipment and both direct and indirect services, arising from the acceptance of this contract; or
 - require additional infrastructure in the form of..... [all additional infrastructure facilities to be listed.]

3. The Council has delegated authority to conclude first, second, third and fourth level contracts in terms of the rules and definitions in paragraphs 4 to 10 to the following:

- (a) the Vice-Chancellor;
- (b) the Deputy Vice-Chancellor responsible for research;
- (c) the Registrar;
- (d) the Chief Operating Officer (COO);



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- (e) the Chief Financial Officer (CFO);
- (f) the Director Research Contracts and Innovation (RC&I);
- (g) the Senior Legal Advisors: Research Contracts and Senior Manager: Innovation designated in writing by the Registrar;
- (h) the Legal Advisors: Research Contracts designated in writing by the Registrar;

4. First-level contracts

Simple contracts between UCT and one or more third parties where the:

- value of the contracts is equal or less than R517,500 including VAT; and
- contract contains no restrictions on publication; and
- Intellectual Property is owned by UCT.

A first-level contract may be signed on behalf of UCT by any of the officers listed in paragraph 3 above.

Material Transfer Agreements and Data Transfer Agreements, are treated as second-level contracts, and are also subject to the completion of the necessary due diligence documentation by the Principal Investigator.

Option Agreements, License Agreements, Inter-Institutional Agreements as it relates to IP management arrangement matters and Assignment Agreements are treated as third-level contracts.

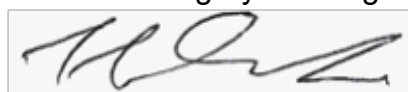
5. Second-level contracts

Contracts between UCT and one or more third parties:

- where the value of the contract is equal or less than R5,750,000 including VAT; and
- which do not contain restriction on publication or contains only a standard provision for limited restriction on publications that have been approved by the Deputy Vice-Chancellor responsible for research, and
- which do not contain any provisions considered by the reviewer to be unusual.

A second-level contract must be approved by two of the officers listed in paragraphs (a) to (h) below of which at least one must be listed in (a) to (g) of this paragraph

- (a) the Vice-Chancellor;
- (b) the Deputy Vice-Chancellor responsible for research;
- (c) the Registrar;
- (d) the Chief Operating Officer (COO);
- (e) the Chief Financial Officer (CFO);
- (f) the Director: Research Contracts & Innovation;
- (g) the Senior Legal Advisors: Research Contracts and Senior Manager: Innovation designated in writing by the Registrar;
- (h) The Legal Advisors: Research Contracts designated in writing by the Registrar.



6. Third-level contracts

Contracts between UCT and one or more third parties:

- where the value of the contract exceeds R5,750,000 including VAT; and/or
- where there is a non-standard restriction on publication; or
- where the contract contains an unusual provision which in the opinion of reviewer requires review at one level up; or
- contains a provision which the reviewer thinks is contrary to policy.

A third-level contract must be approved by two of the officers listed in paragraphs (a) to (h) of which one must be listed in (a) to (f) of this paragraph:

- (a) the Vice-Chancellor;
- (b) the Deputy Vice-Chancellor responsible for research;
- (c) the Registrar;
- (d) the Chief Operating Officer (COO);
- (e) the Chief Financial Officer (CFO);
- (f) the Director: Research Contracts & Innovation (RC&I);
- (g) the Senior Legal Advisors: Research Contracts and Senior Manager: Innovation designated in writing by the Registrar;
- (h) The Legal Advisors: Research Contracts designated in writing by the Registrar.

Proviso 1

- provided that where the value of the contract exceeds R25,300,000 including VAT, the contract must be approved by two of the officers listed in (a) to (f) of this paragraph, and signed by any of the officers listed in (a) to (h)

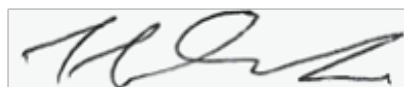
Proviso 2

- provided that where the value of the contract exceeds R36,800,000 including VAT, the contract must be approved by two of the officers listed in (a) to (e) of this paragraph and signed by any of the officers listed in (a) to (f).

7. Fourth-level contracts (Standard Terms)

A level 4 contract is one where one of the following applies:

- Value exceeds R5,750,000 including VAT; and/or
- where the Client/Contractual Partner is one of the following
 - National Institute of Health
 - Bill and Melinda Gates Foundation
 - Wellcome Trust
 - European Commission
 - The International Development Research Centre
 - UK Research and Innovation



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- Where the terms of the agreement are the standard agreed terms of the Client/Contractual Partner

The signing officers must be from the following list and at least one must be (a) to (g):

- (a) the Vice-Chancellor;
- (b) the Deputy Vice-Chancellor responsible for research;
- (c) the Registrar;
- (d) the Chief Operating Officer (COO);
- (e) the Chief Financial Officer (CFO);
- (f) the Director: Research Contracts and Innovation (RC&I);
- (g) the Legal Advisors: Research Contracts and Senior Manager: Innovation designated in writing by the Registrar;
- (h) The Legal Advisors: Research Contracts designated in writing by the Registrar

- provided that where the value of the contract exceeds R25,300,000 including VAT, at least one must be (a) to (f) of this paragraph, and signed by any of the officers listed in (a) to (g)

8. In approving a research contract, the authorising officer must satisfy themselves, and sign a statement, that the draft contract has ethical clearance, is appropriately priced and protects UCT's interests adequately. This statement will be filed with the UCT copy of the contract. The statement must be on the appropriate form (attached as Appendices I-III).
9. Once a contract has been approved by the officer(s) in terms of paragraphs 4 to 8 above, that officer, or one of the other authorising officers as stipulated, may sign the contract.
10. Contracts, which contain secrecy clauses, may not ordinarily be concluded. The Vice-Chancellor personally must approve any contract containing a secrecy provision and must submit a full report to the next Senate meeting explaining the circumstances surrounding this (see policy on secret and embargoed research).



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Schedule C, Appendix I

LEVEL 2 CONTRACT- AUTHORISATION FORM

A level 2 contract is one where all of the following apply:

- Value is equal or less than R5,750,000 including VAT; and
- contains no restriction on publication or contains only a standard provision for limited restriction on publications that have been approved by the Deputy Vice-Chancellor responsible for research, and
- the contract has been reviewed by one of the officers listed below and do not contain any provisions considered by the reviewer to be unusual.

Proposed contract (Project Title)	
Client/Contractual Partner	
Project Leader (Principal Investigator)	
Fund No.	

1. Approval by first authorised officer

<p><i>I have satisfied myself that the work covered by this contract, as appropriate:</i></p> <ul style="list-style-type: none"> • <i>has the ethical clearance required or will not commence until ethical clearance is acquired,</i> • <i>that a delegated Faculty finance official has considered the costs,</i> • <i>UCT's interests are adequately protected.</i> 		
Signature	Name & Designation	Date

2. Approval by second authorised officer

<p><i>I have satisfied myself that the work covered by this contract, as appropriate:</i></p> <ul style="list-style-type: none"> • <i>has the ethical clearance required or will not commence until ethical clearance is acquired,</i> • <i>that a delegated Faculty finance official has considered the costs,</i> • <i>UCT's interests are adequately protected.</i> 		
Signature	Name & Designation	Date



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This authorisation is in terms of authority delegated by the University Council.

The signing officers must be from the following list and at least one must be (a) to (g):

- (a) the Vice-Chancellor;
- (b) the Deputy Vice-Chancellor responsible for research;
- (c) the Registrar;
- (d) the Chief Operating Officer (COO);
- (e) the Chief Financial Officer (CFO);
- (f) the Director: Research Contracts and Innovation (RC&I);
- (g) the Senior Legal Advisors: Research Contracts and Senior Manager: Innovation designated in writing by the Registrar;
- (h) the Legal Advisors: Research Contracts designated in writing by the Registrar.

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Schedule C, Appendix II

LEVEL 3 CONTRACT - AUTHORISATION FORM

A level 3 contract is one where one of the following applies:

- Value exceeds R5,750,000 including VAT; and/or
- contains a non-standard restriction on publication; or
- where the contract contains an unusual provision which in the opinion of a contracts officer requires review at one level up; or
- contains a provision which the reviewing contracts officer thinks is contrary to policy.

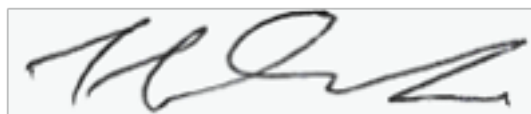
Proposed contract (Project Title)	
Client/Contractual Partner	
Project Leader (Principal Investigator)	
Fund No.	

2. Approval by first authorised officer

<p><i>I have satisfied myself that the work covered by this contract, as appropriate:</i></p> <ul style="list-style-type: none"> • <i>has the ethical clearance required or will not commence until ethical clearance is acquired,</i> • <i>that a delegated Faculty finance official has considered the costs,</i> • <i>UCT's interests are adequately protected.</i> 		
Signature	Name & Designation	Date

3. Approval by second authorised officer

<p><i>I have satisfied myself that the work covered by this contract, as appropriate:</i></p> <ul style="list-style-type: none"> • <i>has the ethical clearance required or will not commence until ethical clearance is acquired,</i> • <i>that a delegated Faculty finance official has considered the costs,</i> • <i>UCT's interests are adequately protected.</i> 		
Signature	Name & Designation	Date

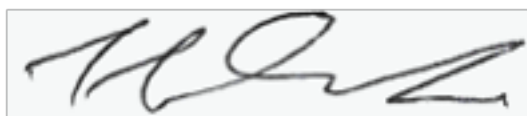


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This authorisation is in terms of authority delegated by the University Council.

The signing officers must be from the following list and at least one must be (a) to (f):

- (a) the Vice-Chancellor;
 - (b) the Deputy Vice-Chancellor responsible for research;
 - (c) the Registrar;
 - (d) the Chief Operating Officer (COO);
 - (e) the Chief Financial Officer (CFO);
 - (f) the Director: Research Contracts and Innovation (RC&I);
 - (g) the Legal Advisors: Research Contracts and Senior Manager: Innovation designated in writing by the Registrar;
 - (h) The Legal Advisors: Research Contracts designated in writing by the Registrar
- provided that where the value of the contract exceeds R25,300,000 including VAT, it must be approved by two of the officers listed in (a) to (f) of this paragraph, and signed by any of the officers listed in (a) to (f), or
 - provided that where the value of the contract exceeds R36,800,000 including VAT, it must be approved by two of the officers listed in (a) to (e) of this paragraph and signed by any of the officers listed in (a) to (f).



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Schedule C, Appendix III

LEVEL 4 STANDARD TERMS CONTRACT - AUTHORISATION FORM

A level 4 contract is one where one of the following applies:

- Value exceeds R5,750,000 including VAT; and/or

- where the Client/Contractual Partner is one of the following
 - National Institute of Health
 - Bill and Melinda Gates Foundation
 - Wellcome Trust
 - European Commission
 - The International Development Research Centre
 - UK Research and Innovation

- Where the terms of the agreement are the standard agreed terms of the Funder/Client/Contractual Partner

Proposed contract (Project Title)	
Client/Contractual Partner	
Project Leader (Principal Investigator)	
Fund No.	

4. Approval by first authorised officer

<i>I have satisfied myself that the work covered by this contract, as appropriate:</i> <ul style="list-style-type: none">• <i>has the ethical clearance required or will not commence until ethical clearance is acquired,</i>• <i>that a delegated Faculty finance official has considered the costs,</i>• <i>UCT's interests are adequately protected.</i>		
Signature	Name & Designation	Date

5. Approval by second authorised officer

<i>I have satisfied myself that the work covered by this contract, as appropriate:</i> <ul style="list-style-type: none">• <i>has the ethical clearance required or will not commence until ethical clearance is acquired,</i>• <i>that a delegated Faculty finance official has considered the costs,</i>• <i>UCT's interests are adequately protected.</i>		
Signature	Name & Designation	Date



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The signing officers must be from the following list and at least one must be (a) to (g):

- (a) the Vice-Chancellor;
 - (b) the Deputy Vice-Chancellor responsible for research;
 - (c) the Registrar;
 - (d) the Chief Operating Officer (COO);
 - (e) the Chief Financial Officer (CFO);
 - (f) the Director: Research Contracts and Innovation (RC&I);
 - (g) the Legal Advisors: Research Contracts and Senior Manager: Innovation designated in writing by the Registrar;
 - (h) The Legal Advisors: Research Contracts designated in writing by the Registrar
- provided that where the value of the contract exceeds R25,300,000 including VAT, at least one must be (a) to (f) of this paragraph, and signed by any of the officers listed in (a) to (g)

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D: AUTHORITIES IN REGARD TO LEGAL PROCEEDINGS

The Council resolves that the Registrar, in their capacity as the Registrar of the University of Cape Town, acting independently, be and is hereby authorised -

1. to institute legal proceedings in any court of competent jurisdiction for:
 - a) the payment of any monies owing by any natural or juristic person(s) to the University of Cape Town and/or
 - b) the delivery of any goods or assets belonging to or claimable by the University of Cape Town and/or
 - c) the sequestration of the estate of any person or persons and the liquidation or judicial management of any close corporation or company and/or
 - d) any other relief or remedy of whatsoever nature on the University of Cape Town's behalf, and whether by way of action, petition, motion, application or otherwise howsoever.
2. to enter appearance to defend and to defend any legal proceedings instituted against the University of Cape Town in any court of law;
3. to represent the University of Cape Town in any such legal proceedings and to employ attorneys and agents, and to sign and execute any power of attorney and/or affidavit and/or other document in connection therewith and to proceed to the final end and determination of any such legal proceedings no matter what cause arising;
4. to nominate, in writing, and for a specified period, one or more officers of the administration to represent the University in signing any affidavit in relation to legal actions, including but not limited to actions in regard to the student fee debtors collection process, and to do all necessary to institute the legal proceedings pursuant to this;
5. to execute powers of attorney where required which without limiting the generality of this shall include powers of attorney in respect of intellectual property protection, in respect of the execution of Council decisions, and in respect of property acquisition and disposal, and to delegate authority to execute powers of attorney to the Director of Research Contracts and Innovation in respect of Intellectual Property protection;
6. to represent the University as shareholder in companies in which the University has a shareholding, other than an investment holding through the Joint Investment Committee, other than in situations where the Vice-Chancellor does so, and to vote the University's shareholding, or to nominate a member of the University to do so, or to grant a proxy to a University-nominated director to do so;
7. to recommend University representatives on Companies, Boards, Trusts and other University-affiliated entities to the Vice-Chancellor for final approval;



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8. to enter agreements and sign documents on behalf of the University of Cape Town in connection with:
- a) purchasing or otherwise acquiring, holding, selling, exchanging or otherwise alienating, hypothecating, burdening with a servitude or otherwise dealing with immovable or movable property of any kind, provided that no action in respect of immovable property may be taken unless previously authorized by a resolution of the Council;
 - b) contracts expressly approved by or authorized by resolution of the Council;
 - c) contracts provided for in the financial authority schedules.

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E: AUTHORITIES FOR FRAMEWORK, EXCHANGE AND COLLABORATION OF MEMORANDUMS OF UNDERSTANDING (MoU) AND MEMORANDUMS OF AGREEMENT (MoA) WITH OTHER UNIVERSITIES

The Council has resolved that authority may be exercised on behalf of the University as set out in schedule E by the Vice-Chancellor (VC) or a Deputy Vice-Chancellor (DVC) nominated in writing for this purpose, by the Vice-Chancellor.

SCHEDULE E

The Vice-Chancellor or a Deputy Vice-Chancellor nominated in writing for this purpose by the Vice-Chancellor, may approve, or delegate to the Dean in writing, authority to sign on behalf of the University for their Faculty:

- (a) A framework Memorandum of Understanding (MoU) with an international or local University of standing entered into in terms of UCT's Council and Senate approved internationalisation policy;
- (b) A Memorandum of Agreement (MoA) to provide for an exchange or collaboration agreement with an international University (or Universities), after consultation with the Dean(s) of the Faculty (Faculties) which will be involved in the exchange or collaboration; or

The Vice-Chancellor or a Deputy Vice-Chancellor nominated in writing for this purpose by the Vice-Chancellor, may approve:

- (c) A Memorandum of Agreement (MoA) to provide for a co-badged, joint or double degree programme with one or more Universities of standing, on the recommendation of the Faculty Board(s) concerned, and in terms of Senate policy on co-badged, joint or double degrees.

Provided that, in the case of (a) or (b), where these agreements are Faculty specific:

- (i) The financial implications have been considered by the Chief Financial Officer (CFO) or nominee and the VC/DVC/Dean/GSB Director is satisfied that the financial and other resource obligations of the agreement have been provided for;
- (ii) There are no financial implications (e.g. fee waivers) to or resources implications (e.g. assistance, support or advice) required from other Faculties or PASS departments at UCT; and
- (iii) A list of agreements which have been signed in the previous semester is published for the information of Senate and Council in the next issue of the Principal's Circular.

In addition, in the case of (a), (b) or (c), where these agreements are signed by the Vice-Chancellor or Deputy Vice-Chancellor

- (iv) The Partnership Executive Committee has considered and approved the proposed relationship; and
- (v) The Intellectual property implications have been considered by Research Contracts & Innovation (RC&I)



F: DEVELOPMENT AGREEMENTS AND GRANT APPLICATION AUTHORITIES

The Council of the University of Cape Town delegates to the Executive Director:
Development and Alumni Department and nominee, authority

1. To approve and sign institutional submissions to grant awarding Foundations and other bodies, including those declarations that must be signed by the head of the institution or an official authorized to make and sign such declarations.
2. To sign grant applications and grant or donor agreements authorized by the relevant UCT committee or the Council on behalf of the University.

Provided that the budget for the application or donor agreement has been reviewed and supported by the Chief Financial Officer (CFO) or nominee.

A rectangular box containing a handwritten signature in black ink. The signature is stylized and appears to be the name of the Chair of the Council.

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G: DELEGATED AUTHORITY IN RESPECT OF SHORT COURSES AND JOINT QUALIFICATIONS

- A. Senate's **short course policy** allows a Faculty to accredit proposals for short courses to be offered by the University. These short courses may be offered in partnership with other educational institutions, sponsors (e.g. departments at one of the 3 spheres of government) or professional bodies and/or with support by a third-party service-provider; such partnerships are regulated by contracts between the University and the third party or parties.

Council delegates to the Dean (and in the case of a Commerce Faculty-accredited GSB short courses the GSB Director) the authority to contract with third-party short-course partners and/or service providers subject to any short-course to be offered under the terms of the contract complying with Senate short course policy, in particular in regard to certification.

***Note:** Any proposal to offer a **formal qualification** in partnership with a third party, or to use a third-party to support the University in offering a formal qualification, requires Senate, and may require Council, approval. No delegated authority applies in such cases.*

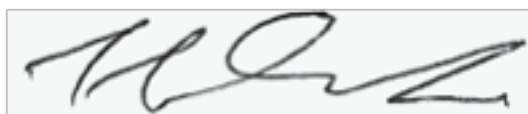
- B. Senate's **policy on joint-degrees** implies and/or envisages both framework and/or candidate- specific agreements between the University and another University. Authority to enter inter- institutional co-operation/collaborative agreements has been delegated to the Vice-Chancellor or a Deputy Vice-Chancellor nominated by him, and the agreement must be published in the P.C. for record and information purposes.

Candidate-specific agreements (referred to as co-tutelle agreements in some EU jurisdictions) deal with the arrangements for joint qualifications for individual candidates.

Council delegates to the Deputy Vice-Chancellor: Research & Internationalisation authority to

- (a) contract with a partner University (either in the form of an umbrella or framework agreement, or as a free-standing contract) for joint degrees to be offered and awarded by UCT and the partner University;
- (b) contract with a partner University a co-tutelle regulating for the arrangements between the two universities for a candidate or candidates for a specific joint qualification; and
- (c) to delegate authority to a dean to contract such co-tutelle agreements where a framework or umbrella agreement is in place between UCT and the partner University providing for co-tutelles.

where there is to be a joint degree to be offered in terms of UCT and national policy on joint qualifications.




GEN002 Schedule H: Financial Aid and Postgraduate Funding

ACRONYMNS:

USFC = Undergraduate Studies Funding Committee; **GOB** = General Operating Budget; **SFA** = Student Financial Aid; **NCA** = National Credit Act

PGFO = Postgraduate Funding Office; **PSFC** = Postgraduate Studies Funding Committee; **NSFAS** = National Student Financial Aid Scheme; **NRF** = National Research Foundation; **DVC** = Deputy Vice-Chancellor

ACTION	CONDITIONS/AMOUNT	APPROVAL REQUIRED
FINANCIAL AID		
Process the Awards allocated by Faculties on their approved criteria	Subject to approved budget for Financial Aid	Admissions Committee/Council
Determine the annual allocation of scholarship budget per Faculty. Faculties manage the 'over offer' factor based on historical trends and "under and over" is managed over a 5 year period, to limit undue penalties annually on a Faculty	Subject to approved budget for Financial Aid	Admissions Committee Chair
Setting eligibility levels for financial aid packages	Subject to approved budget for Financial Aid	USFC
Awarding of bursaries/scholarships/student loans	Entrance, Faculty and named December scholarships awarded as approved by Faculties. Named Entrance Scholarships awarded as per conditions of award.	USFC & Council (Faculty scholarships)
	Award made from funds administered by Student Financial Aid Office	UCT Financial Assistance Programmes Policies approved by USFC and NSFAS as applicable. USFC approves conditions of award for donated or non-GOB bursary funds. Appeals are dealt with by the Chair, USFC (or nominee).
	Award made from departmental or research funds	All such awards must be channeled through the above processes. No payment may be made in the form of bursary, scholarship or postdoctoral fellowship unless through the PGC&FO or Student Financial Aid Office.
Allocation, processing, and sign-off of UCT Student Loans for historic debt (appeals process) and UCT funded financial assistance programmes.	SFA processes UCT Student Loans for SFA and PGFO due to alignment of NCA reporting requirements. Subject to approved budget for Financial Aid.	USFC, PGSFC
POSTGRADUATE SCHOLARSHIPS AND BURSARIES		
Setting award amounts for UCT scholarships	Subject to approval of the PSFC or delegated responsibility to the Senior Manager: PGFO by the Chair of the PSFC	PSFC
Setting eligibility levels for funding packages for postgraduate students	Subject to approval of the PSFC or delegated responsibility to the Senior Manager: PGFO by the Chair of the PSFC	PSFC
Allocating scholarships, bursaries and funding 'packages' in terms of academic merit, academic merit and need and financial need to applicants for UCT awards	Subject to approval of the PSFC or delegated responsibility to the Senior Manager: PGFO by the Chair of the PSFC	PSFC
Awarding of scholarships, bursaries and funding 'packages'	Administered by PGFO	Awards confirmed by the Senior Manager: PGFO or nominee
	Departmental awards - Awards made from departmental (research) funds	All awards must be made via the PGFO
	External source - Once-off awards made directly to Fees office from external sources	Awards are transferred by the Fees Office directly into students' fee accounts
Awarding of NRF bursaries, scholarships and allowances	Awards made from NRF funds	Nominations made by the PGFO to the NRF, subject NRF's approval. Funds claimed from the NRF by Central Research Finance
POSTDOCTORAL RESEARCH FELLOWSHIPS		
Setting award amounts for UCT Postdoctoral Research Fellowships	Subject to approval of the Sub-committee URC (responsible for the postdoctoral sector) or delegated responsibility to the Senior Manager: PGFO by the Chair of the URC sub-committee or DVC Research & Internationalisation.	Sub-committee of URC (responsible for the postdoctoral sector)
Setting eligibility levels for UCT postdoctoral fellowships	Subject to approval of the Sub-committee URC (responsible for the postdoctoral sector) or delegated responsibility to the Senior Manager: PGFO by the Chair of the URC sub-committee or DVC Research	Sub-committee of URC (responsible for the postdoctoral sector)
Awarding of postdoctoral fellowships	Awards made from funds administered by the URC. Awards made from departmental (research) funds	All awards must be made via the PGFO.
Awarding of NRF fellowships and allowances	Awards made from NRF funds	Nominations made by the PGFO to the NRF, subject to approval by NRF. Funds claimed from the NRF by the PGFO.



I: INTELLECTUAL PROPERTY ADVISORY COMMITTEE (IPAC)

The Intellectual Property Advisory Committee (IPAC) is a standing committee established in terms of the Intellectual Property Policy overseeing the use of the University's patents and other intellectual property related to research and consists of a Deputy Vice-Chancellor nominated by the Vice-Chancellor, the Chief Financial Officer (CFO), and the Chief Operating Officer (COO), and any such person these members may wish to co-opt. The Department of Research Contracts and Innovation (RC&I) services it.

Council delegates to IPAC

1. Authority to

(a)

- (i) Grant a license to a third party to use UCT-owned IP and to determine the conditions of the license; or
- (ii) Assign UCT-owned IP to a third party in return for
 - a) Equity in a company to which the IP is to be assigned; or
 - b) Payment;

on the understanding that IPAC will prefer option (a)(i) where this is a viable option and that delegation of authority limits for authorisation of IP contracts are adhered to;

- (b) exercise the UCT shareholder right to approve UCT's shareholding in a spin-out company, including one incorporated in a foreign territory, and approve or not dilution of the percentage of UCT equity in spin-off company where
 - (i) the shareholders' agreement gives UCT the right to approve or not; or
 - (iii) where the UCT stake gives UCT this measure of control; and
 - (iv) an investor takes equity in the company resulting in dilution and IPAC is satisfied that UCT's value in the company is not reduced thereby;
- (c) recommend to Council the formation of spin-off companies that are wholly- owned by UCT, or formation of foundations or not for profit entities that are linked to entities within UCT;
- (d) make allocations from the Evergreen Fund up to a cumulative limit of R15 million in a particular entity:
 - (i) for innovation development; or
 - (ii) for pre- or post- incorporation costs of spin-off companies; or
 - (iii) as loans to spin-off companies in which UCT holds equity, or

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- (iv) as investment in UCT spin-off companies in lieu of equity and/or a royalty arrangement, including where the UCT spin-off company is a foreign entity.


Where the cumulative amount allocated to a particular entity exceeds R15 million but is up to R25 million an allocation may only be made with the approval of the Vice- Chancellor.

For a cumulative amount allocated to a particular entity that exceeds R25 million the allocation may only be made after Council has approved the transaction.

- (e) determine the share of royalty or other receipts from spin-off companies due to IP Creators in terms of the University's IP policy, in non-standard cases, when this is referred to IPAC by RC&I; or
- (f) make recommendations to Council via the University Finance Committee (UFC) on the allocation of IP commercialisation revenue (e.g. royalty or other receipts from spin-off companies), to a Research Fund, IP Creator's Department, Faculty, UCT Central Fund and Evergreen Fund, where cumulative income received by UCT from the commercialisation of any IP rights exceeding R10 million;
- (g) Provided that IPAC shall
 - (i) receive an annual report as appropriate from the Director of RC&I in February
 - (ii) make an annual report to the University Research Committee (URC) and the University Finance Committee (UFC) on metrics as appropriate.

And

- 2. To make recommendation to Council on behalf of IPAC, having regard to the provisions of the Higher Education Act on the sanction of a contract between the University and an employee (other than a Council member or a member of IPAC) for any goods, product or service if and only if the IPAC has satisfied itself that
 - (a) the goods, product or service in question is/are unique; and
 - (b) the supplier is a sole provider; and
 - (c) the contract is both in the best interests of the University, and does not compromise the University in any way; and
 - (d) UCT Procurement has, where necessary, assessed the vendor and provided IPAC with their approval of the vendor in terms of the university's procurement policy.



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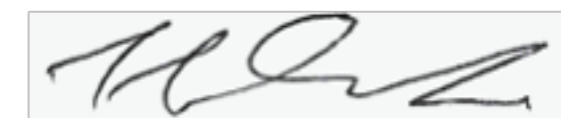
GEN002 Schedule J: Properties and Services

NOTES:

- All values referred to in this schedule INCLUDE VAT
- Where transaction in foreign currency, rate at date of signature to be applied
- Unless specifically excluded, Nominees are implied in all Delegated Authorities, based on the required written authority

FH = Fund Holder; **ED** = Executive Director; **UH** = Unit Head i.e. Dean/GSB Director or ED/Director of PASS dept or CFO; **CFO** = Chief Financial Officer; **LM** = Line Manager; **HOD** = Head of Department; **FM** = Faculty/PASS finance manager; **REG** = Registrar; **COO** = Chief Operating Officer; **PPS** = Procurement & Payment Services; **P&S** = Properties & Services; **DSA** = Department of Student Affairs; **DVC** = Deputy Vice-Chancellor; **VC** = Vice-Chancellor
UB&DC = University Building & Development Committee; **JIC** = Joint Investment Committee; **UFC** = University Finance Committee; **IPAC** = Intellectual Property Advisory Committee; **CNL** = Council

ACTION	CONDITIONS/AMOUNT	APPROVAL REQUIRED	SIGNATORIES			
			1st	2nd	3rd	4th
CAPITAL WORKS - READ WITH THE THRESHOLD VALUES FOR PURCHASING (PPP002)						
CAPITAL WORKS: Construction contracts (including the professional team) within the approved Capital Projects budget, including acceptance of the tenders.	Building costs <= R15,000,000 (excluding Professional Fees)	ED: Properties & Services	ED: P&S			
	Combined Professional project team fees <= R15,000,000	ED: Properties & Services	ED: P&S			
	Building costs > R15,000,000 and <= R35,000,000	ED: Properties & Services and CFO or COO for noting to UB&DC	ED: P&S	CFO/COO		
	Combined Professional project team fees > R15,000,000 and <= R35,000,000	ED: Properties & Services and CFO or COO for noting to UB&DC	ED: P&S	CFO/COO		
	Building costs > R35,000,000	ED: Properties & Services and CFO or COO for approval to UB&DC and Council	ED: P&S	CFO/COO	UB&DC	CNL
	Combined Professional project team fees > R35,000,000	ED: Properties & Services and CFO or COO for approval to UB&DC and Council	ED: P&S	CFO/COO	UB&DC	CNL
MAINTENANCE - MUST BE READ IN CONJUNCTION WITH THE THRESHOLD VALUES FOR PURCHASING (PPP002)						
MAINTENANCE: Maintenance project costs (including the professional team) within the approved Maintenance budget, including acceptance of the tenders.	Maintenance project costs <= R15,000,000 (excluding Professional Fees)	ED: Properties & Services	ED: P&S			
	Combined Professional project team fees <= R15,000,000	ED: Properties & Services	ED: P&S			
	Maintenance project costs > R15,000,000 and <= R35,000,000	ED: Properties & Services and CFO or COO for noting to UB&DC	ED: P&S	CFO/COO		
	Combined Professional project team fees > R15,000,000 and <= R35,000,000	ED: Properties & Services and CFO or COO for noting to UB&DC	ED: P&S	CFO/COO		
	Maintenance project costs > R35,000,000	ED: Properties & Services and CFO or COO for approval to UB&DC and Council	ED: P&S	CFO/COO	UB&DC	CNL
	Combined Professional project team fees > R35,000,000	ED: Properties & Services and CFO or COO for approval to UB&DC and Council	ED: P&S	CFO/COO	UB&DC	CNL
IMMOVEABLE ASSETS - MUST BE READ IN CONJUNCTION WITH THE THRESHOLD VALUES FOR PURCHASING (PPP002)						
Land and/or buildings	For acquisitions requiring urgent action in order to secure rights.	Approval managed on an individual and urgent basis via UFC and Council.				
	Normal acquisition	Approval managed on an individual basis via UFC and Council.				
	Disposals	Council with ministerial approval.				
Land use and building works	Applications to local and provincial government for building plans and capital projects.	ED: Properties & Services or Director: Capital Planning & Projects or Director: Progame Management in P&S, as approved by the UB&DC				



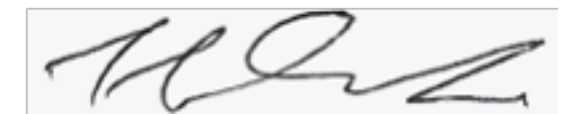
GEN002 Schedule K: Local Student Fees

NOTES:

- Unless specifically excluded, Nominees are implied in all Delegated Authorities, based on the required written authority

ACRONYMNS: ED = Executive Director

ACTION	CONDITIONS/AMOUNT	APPROVAL REQUIRED
LOCAL STUDENT FEE WRITE OFFS		
Write off of student accounts assessed by the attorneys, after due process, as not recoverable.	<= R100,000	Manager: Fees, in consultation with the attorneys, with monthly reporting to the Director: Financial Accounting
	> R100,000	Manager: Fees recommendation, in consultation with the attorneys, with monthly reporting to the Director: Financial Accounting and approval by the Director responsible for Fees
LOCAL STUDENT FEE REFUNDS		
Local student fee refunds	<= R50,000	Fees Administrator
	> 50,000 and <=R100,000	Fees Co-ordinator, based on recommendation from Fees Administrator
	>R100,000 and <=R500,000	Manager: Fees, based on recommendation from Fees Co-ordinator
	>R500,000	Director responsible for Fees, based on recommendation from Manager: Fees
LOCAL STUDENT FEE WAIVERS		
All Fee waivers, which are out with policy	All	Director responsible for Fees, as requested by Manager: Fees.



L: TECHNOLOGY DEVELOPMENT SUPPORT

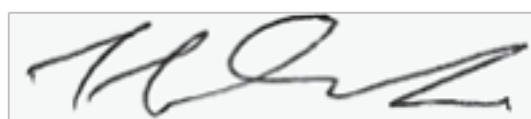
The Council has resolved that authority may be exercised on behalf of the University as set out in schedule L by the designated Committees and signatories, with respect to the transfer of technology development support.

SCHEDULE L

Pre-Seed Fund: General Operating Budget (GOB)	
Available amount per annum	R500,000
Maximum size of award	R100,000
Application consideration and approval	Research Contracts and Innovation (RC&I) Committee
Designated signatory	Director: Research Contracts and Innovation (RC&I)

Seed Fund: Evergreen Donations	
Available amount per annum	R5,000,000
Maximum size of award	R1,500,000
Application consideration and approval	Research Contracts and Innovation (RC&I) Committee
Designated signatory	Director: Research Contracts and Innovation (RC&I)

Innovation Builder Fund: General Operating Budget (GOB)	
Available amount per annum	R6,000,000
Maximum size of award	R500,000
Application consideration and approval	Innovation Builder Fund Steering Committee
Designated signatory	Director: Research Contracts and Innovation (RC&I)



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University Technology Fund - PreSeed: Evergreen Donations	
Available amount - dependent on Donations	R3,750,000
Maximum size of award	R500,000
UCT contribution (1:3 ratio)	R125,000 (maximum) – 25% of R500,000
Application consideration and approval	Innovation Builder Fund Steering Committee
Designated signatory	Director: Research Contracts and Innovation (RC&I)



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