

UNIVERSITY OF TECHNOLOGY, SYDNEY

Council's Standing Delegations of Authority

Guidelines for authorisations to expend funds under delegation 1.2, General Expenditure

Introduction

These guidelines are issued under principle 9 of the principles governing the exercise of Council's standing delegations, which provides as follows:

To ensure administrative efficiency of University operations, a delegate under delegation 1.2 may authorise any employee under that delegate's supervision to expend funds for and on behalf of, and in the name of that delegate, that do not exceed thresholds of \$20,000, \$10,000 and \$5,000. Any authorisation may only be granted and exercised in accordance with guidelines issued from time to time by the Director Financial Services. The principles applying to the exercise of Council delegations apply equally to holders of authorisations to expend funds.

Delegation 1.2, the general expenditure delegation, and the principles governing the exercise of Council's standing delegations are reproduced at Attachment A.

Guidelines

- 1 A delegate in delegation band 1, 2, 3 or 4 may authorise a position under their supervision to expend funds to a limit of:
 - (a) \$20,000 or
 - (b) \$10,000 or
 - (c) \$5,000within the delegate's areas of responsibility and within the approved annual budget, subject to the availability of funds and to the exceptions specified in delegation 1.2. The delegate will remain responsible for the authorised staff member's expenditure.
- 2 A delegate must ensure that:
 - (a) the number of positions to which authorisation is granted is consistent with the delegate's capacity to exercise necessary control over expenditure and
 - (b) the choice of each position to which an authorisation is granted is both reasonable and appropriate, taking into account the monetary limit of the authorisation and the level of seniority and experience required by the position.
- 3 The authorisation is subject to approval by the Director, Financial Services, who will approve authorisations in accordance with these guidelines.
- 4 Authorisations shall be made on the form published on the delegations webpage at <http://www.gsu.uts.edu.au/delegations/index.html> and signed by the delegate. Where the delegate granting the authorisation is not a member of the executive, Dean or Director, the authorisation is also required to be endorsed by the relevant member of the executive, Dean or Director. The completed form is to be submitted to the Director, Financial Services.

- 5 A delegate is responsible for bringing to the attention of the incumbent of any position to which the delegate grants an authorisation to expend funds these guidelines and the principles governing the exercise of Council's delegations.
- 6 The authorisations granted under principle 9 of the principles governing the exercise of Council's standing delegations and these guidelines shall be reviewed annually, and a report on the review submitted to Council.

Issued on 20 June 2007

Debra Bock, Director, Financial Services

Extract from Standing Delegations of Authority

The delegations contained in this Register include the key decision-making authorities in respect of the financial, human resources, administrative, academic and governance functions of the University. Council has made these delegations pursuant to section 17 of the University of Technology, Sydney, Act 1989 ("the UTS Act"), which provides that Council may, by resolution, delegate all or any of its functions (except the power of delegation) to any member or committee of Council or to any authority or officer of the University or to any other person or body prescribed by the by-laws.

In exercising any delegated function, a delegate must observe the following principles:

1. Delegated functions may only be exercised if provided for by a standing delegation or a specific delegation from Council.
2. These delegations are to be exercised subject to and in accordance with any relevant legislation, including, but not limited to, the UTS Act, UTS By-law and Rules, as well as UTS Enterprise Agreements, University policies, Codes of Conduct, Vice-Chancellor's Operational Directives, Guidelines, Procedures and management designations, authorisations and instructions.
3. In the event of any inconsistency between the contents of this document and the contents of any policy or procedural documents, the contents of this document prevail.
4. In exercising any delegation, the delegate must act in the interests of the University, for the purpose delegated and not for any improper purpose.
5. In exercising any delegation the delegate must have regard to any relevant principles of procedural fairness.
6. A delegation of a function to a Dean or Faculty Board is limited to the business and affairs of the relevant Faculty unless otherwise specified in the terms of the delegation.
7. Delegations to persons holding specific positions: A delegation relates to the delegate's position, not the individual occupying the position. An authority delegated to an officer of the University extends to any person officially acting in that position on a temporary basis, unless otherwise specified in the appointment to act.
8. Delegations to individuals: delegations have been created with the University's organisation structure in mind. Delegations are therefore included in those held by a delegate's supervisor. If an officer is unable to carry out the duties associated with his or her delegation for any reason, including a potential or actual conflict of interest or a temporary incapacity or absence, the delegation may be exercised by the delegate's supervisor. Delegation 1.10 operates in exception to this principle.
9. To ensure administrative efficiency of University operations, a delegate under delegation 1.2 may authorise any employee under that delegate's supervision to expend funds for and on behalf of, and in the name of, that delegate, that do not exceed thresholds of \$20,000, \$10,000 and \$5,000. Any authorisation may only be granted and exercised in accordance with guidelines issued from time to time by the Director Financial Services. The principles applying to the exercise of Council delegations apply equally to holders of authorisations to expend funds.

10. Delegations to committees, including committees of Academic Board and Faculty Boards, can be only be made by Council and must be exercised in accordance with committees' normal approved decision making processes. The delegation of a function to a committee or board is made on the basis that the committee will itself exercise the function without making any further delegation. Accordingly, any action or decision purportedly taken by the chair or a sub-group of a committee or board under a function delegated to a committee or a board has no effect unless Council has explicitly made a delegation to the chair or sub-group.
11. In exercising a delegated function, a delegate may seek appropriate advice in order to be properly informed. However, the delegated function must be exercised by the delegate without any undue influence by any other person or body.
12. A delegate (officer or committee) has the authority to make decisions in either the positive or negative. That is, for all decisions taken, the delegate may either determine to take a particular action or to take no action.
13. Members of the UTS Executive may act on urgent matters in the absence of other members, in accordance with the table at Appendix A of the register. Council has determined that, in the deemed absence of both the Chancellor and the Deputy Chancellor, the Chancellor's authority with respect to affixing the Seal or taking executive action or approving any matter which Council has delegated to the Chancellor shall be exercised by a member of the Council not being a member of the staff of the University in a specified order subject to their availability: see Appendix B of the register.
14. Delegation limits apply to transactions and a transaction may not be separated into parts, nor may the total cost of a transaction be set off by deductions or trade-ins in order to meet a limit on a delegate's authority. A delegation is required both to enter into the transaction and to authorise the payments under the transaction. A variation in the cost of a transaction must be approved by the delegate who approved the original transaction, if the total amount is within their delegation. Should the sum of the variation and the original cost exceed the delegate's authority, the variation must be submitted for approval to another delegate who has the necessary level of authority.
15. Authorisation to operate a UTS Corporate Credit Card does not of itself confer on a staff member a delegation to commit or expend funds. Acquittal of purchases made by credit card, as for purchases made by any other means, must be approved by a delegate who has authorisation under these standing delegations, or a specific delegation from Council or under a Rule.
16. A delegate or nominee may not exercise a delegation that would provide them with any direct or indirect benefit. Therefore matters delegates may not approve include their own appointment, remuneration, payment or re-imburement, promotion, transfer or secondment, travel, absence or termination.
17. The Council may withdraw any delegation at any time without notice.

The Registrar is responsible for maintaining the register of delegations approved by Council, in accordance with Rule G9 of the General Rules of the University, while the Director Financial Services will maintain the principle 9. authorisations register. The Registrar is also required to undertake an annual review of the delegations and the principle 9 authorisations, and submit a report to Council that includes recommendations for new delegations and for amendment or rescission of existing delegations.

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1.2 General expenditure

The following delegates have authority to commit funds up to the limit specified below within their areas of responsibility and within the approved annual budget, subject to the availability of funds and to the exceptions specified below. This authority includes the execution of related documents in accordance with the Protocol for Execution of Documents and the Procurement Policy and Directives.

Exceptions:

Capital works: see delegation 1.3
Sale, purchase or lease of real property: see delegation 1.4
Facilities management: see delegation 1.5
Library acquisitions: see delegation 1.6
Insurance: see delegation 1.16
Commercial Activities: see delegation 1.17
Recruitment of staff: see delegation 2.1
Travel: see delegation 2.5
Engagement of external lawyers: see delegation 3.8
External research grants: see delegation 5.1

Delegation Band [<i>defined below</i>]	Proposed Limit
Finance Committee of Council [documents executed by the Vice-Chancellor]	\$5,000,000
Vice-Chancellor and either the Chancellor or the Chair of the Finance Committee, acting jointly [documents executed by the Vice-Chancellor]	\$2,000,000
1	\$1,000,000
2	\$250,000
3	\$75,000
4	\$50,000

The following delegates have authority to approve the incurring of expenditure up to the limit specified below, within the approved annual budget, subject to the availability of funds

Delegate	Limit
Director, Financial Services	\$150,000
Finance Manager	\$60,000
Financial Accountant	\$20,000

DELEGATION BANDS

Band 1

Vice Chancellor

Band 2

Deputy Vice-Chancellor (Resources)

Senior Deputy Vice-Chancellor

Deputy Vice-Chancellor (Research)
Deputy Vice-Chancellor (International)
Deputy Vice-Chancellor (Teaching, Learning and Equity)
Deputy Vice-Chancellor (Corporate Services)
Deputy Vice-Chancellor (External Relations) and Registrar

Band 3

Deans and Director, Institute for International Studies
University Librarian
Director, Facilities Management Unit
Director, Financial Services
Director, Human Resources Unit
Director, Information Technology Division

Band 4

Other Directors
Associate Deans
Heads of School
Heads of Department (except Faculty of Science)
Faculty Managers
General Manager (Technical Services) (Faculty of Science)
Manager, Technical Services (Faculty of Information Technology)
Manager, Audio Visual Services (Information Technology Division)
Divisional Administrator (Information Technology Division)