



The University of Sydney

Approved by: Senate on 5 February 2007

Date of effect: 5 February 2007

Delegations of Authority – Administrative Functions

Table of Contents

Section 1 – Preliminary

Section 2 – Principles governing the exercise of delegations

Section 3 – Dictionary

Section 4 – Delegations for Specific Activities

4.1 Rights or interests in property; including gifts and bequests

4.2 Intellectual property rights

4.3 Centres and Institutes

4.4 Cooperative Research Centres

4.5 Partnerships, trusts, companies, and other incorporated bodies or joint ventures

4.6 Research agreements and grants

4.7 International, student exchange and placement agreements

4.8 Commercial Activities

4.9 Directors of commercial entities

4.10 Independent audit reports

4.11 Use of University's Coat of Arms

4.12 Affixing of Seal

4.13 Acceptance of service of court documents

4.14 Appointment of external lawyers

4.15 Fundraising

4.16 Administrative policies and procedures

4.17 Allocation of space within University property

Section 5 – Financial Delegations

- 5.1 Budgets/Allocations
- 5.2 Borrowing of money
- 5.3 Goods and services
- 5.4 Writing off salary overpayments
- 5.5 Grants and contributions (funded by the University) and refunds to external organisations
- 5.6 Fees, charges and fines
- 5.7 Student loans and bursaries
- 5.8 Bank accounts
- 5.9 Investment of funds and financial risk management

Section 6 – Human Resources Delegations

- 6.1 Establishment of Positions
- 6.2 Appointments
- 6.3 Terms of appointment – Exempt staff
- 6.4 Terms of appointment – Non-Exempt staff
- 6.5 Variation to terms of appointment
- 6.6 Conferring of titles
- 6.7 Probation and confirmation
- 6.8 Performance Bonuses
- 6.9 Promotion of Academic staff
- 6.10 Reclassification of General staff
- 6.11 Direction to take annual leave or long service leave
- 6.12 Approval of additional paid leave
- 6.13 Issuing performance warnings
- 6.14 Determining disputes and grievances
- 6.15 Disciplinary action for misconduct and unsatisfactory performance
- 6.16 Voluntary resignation and retirement
- 6.17 Voluntary early retirement schemes
- 6.18 Redundancy
- 6.19 Termination for ill-health (instigated by employer)

Section 1 – Preliminary

- 1.1 These Delegations of Authority – Administrative Functions (“Delegations of Authority”) were approved by Senate on 21 March 2005, and amended by Senate on 1 May 2006, 18 September 2006 and 5 February 2007, pursuant to section 17 of the *University of Sydney Act 1989* (as amended). These Delegations of Authority supersede and revoke the corresponding previous Delegations of Authority – Administrative Functions – 2003, and all previous delegations of authority to the extent that any such previous delegations are inconsistent with these Delegations of Authority. These Delegations of Authority also supersede and revoke all previous Delegations of Authority relating to Human Resources (including the Delegations of Authority (Human Resources) Administrative Functions approved by Senate on 1 November 2004).
- 1.2 Nothing in these Delegations of Authority has the effect of invalidating past acts validly performed by delegates under any previous delegations.
- 1.3 In exercising a delegation of authority conferred by these Delegations of Authority, a delegate must ensure that the delegate is familiar with, and complies with:
 - *The University of Sydney Act 1989* (as amended), and any delegated legislation (such as By-Laws or Rules of the University) as amended from time to time
 - applicable industrial instruments (i.e. Awards, Enterprise Agreements and Australian Workplace Agreements);
 - University policies and procedures including the Code of Conduct, and guidelines as amended from time to time (including, without limitation, the University of Sydney Guidelines Concerning Commercial Activities and the Purchasing Policy) which are accessible from Policy Online at <http://www.usyd.edu.au/policy/>
- 1.4 The University’s Enterprise Agreements provide for certain functions to be performed by the University. While these functions may not require a delegation of authority from Senate, where appropriate they are included in these Delegations of Authority for the avoidance of doubt. Further, these Delegations of Authority do not limit the Vice-Chancellor’s power to confer authority on any person to perform any function under the University’s Enterprise Agreements.

Section 2 – Principles governing the exercise of delegations

The following principles apply to a delegate's level and scope of authority under any delegation of authority (whether it appears in this document or elsewhere).

- 2.1 These Delegations of Authority constitute an important legal document (not a policy or guideline) conferring on the individual delegates specified, the authority of the Senate to perform the particular functions delegated to them.
- 2.2 Where authority is delegated in these Delegations of Authority to approve transactions, then that authority extends to the execution of all documents necessary to give effect to those transactions.
- 2.3 A delegation applies only to a delegate's accountability area unless otherwise specified.
- 2.4 A delegate of the Senate is not authorised under this document to sub-delegate (by way of an agency or in any other way) any or all of the delegate's delegated functions to another person or group of persons.
- 2.5 In the performance of a delegated function which a delegate has been authorised to perform under this document, a delegate can seek assistance from a third party provided that the Senate delegate retains and exercises a substantial degree of control over the exercise of the function entrusted to the delegate. The delegate must, in so doing, direct the delegate's own mind to the exercise of the delegated function. Some delegations include specific requirements to act on the advice of or after consultation with a named officer or body, or delegate more senior in the lines of accountability. Delegates should consult and obtain advice as appropriate on the exercise of their delegation.
- 2.6 A delegation of authority applies to the occupant of the position described in this document, and may be exercised by a staff member formally appointed on an acting or temporary basis to that position.
- 2.7 A delegation under these Delegations of Authority must be exercised by an employee of the University.
- 2.8 These Delegations of Authority apply to all University activities including foundations, centres, associations and institutes not separately incorporated.
- 2.9 In exercising a delegation with respect to a transaction, the delegate must estimate the cost of the transaction as a whole, over the term of the transaction. For the purpose of making this calculation, the following principles apply:
 - i) a transaction must not be assessed in components or parts, such as instalments, tranches, or the cost of individual items;
 - ii) the total gross cost of the transaction (including all taxes and duties) must be estimated;
 - iii) no reduction may be made in respect of any set-off, trade-in or the like.
- 2.10 Any delegation to incur expenditure must be exercised within the limits of the relevant approved budget or other approved source of funds.
- 2.11 A delegate who is ultimately subject to the direction and supervision of the Vice-Chancellor through established lines of accountability is, in the exercise of delegations, also subject to the direction and supervision of delegates more senior than the delegate in the lines of accountability. Delegates more senior in the lines of accountability to a delegate named in these Delegations of Authority, may exercise a delegation conferred on that named delegate but in accordance only with its terms.

2.12 The Vice-Chancellor has authority to exercise any delegations made by Senate in these Delegations of Authority, except delegations made to a member or Committee of Senate or delegations pertaining to the terms of appointment and/or resignation or retirement of the Vice-Chancellor.

Section 3 – Dictionary

Definitions: For the purposes of this document only, the following expressions have these meanings:

Academic College	Collective reference to Conservatorium of Music, Sydney College of the Arts
Academic Staff Enterprise Agreement	The University of Sydney Academic Staff Agreement 2006 - 2008
Academic staff	academic staff of the University, including teaching and research academic staff and research only academic staff, who are neither Exempt staff nor English Language Teaching Staff
Accountability area	the organisational unit (eg, an Academic college, Faculty, school, responsibility centre, administrative unit) for which a delegate is responsible and/or carries fiscal responsibility
Act	<i>The University of Sydney Act 1989</i> (as amended)
Adjunct titles	titles conferred on persons from business, the professions or external bodies who it is intended will make a substantial and regular contribution to the teaching, research, scholarship or creative work of the University
ARC	Australian Research Council
AWA	Australian Workplace Agreement
Award staff	Staff whose employment is covered by a theatre industry industrial award referred to in clause 5.1(b) of the General Staff Enterprise Agreement
Casual staff	a staff member who is engaged and paid on an hourly rate or sessional basis
CET Enterprise Agreement	The University of Sydney English Teaching Staff Agreement 2006-2008
Chair, AB	Chair, Academic Board
CIO	Chief Information Officer
Clinical academic titles	titles conferred by the University of Sydney upon persons who are not University staff who meet teaching needs, on a regular basis, which the University may not otherwise satisfy and who may also contribute to the University's research activities

Commercial Activity	A commercial activity as defined in section 26A of the Act, and in the Guidelines concerning Commercial Activities made from time to time under section 26B of the Act
Conjoint appointments	a form of appointment by the University of Sydney of employees of external bodies (such as an Area Health Service) who will contribute to the teaching or other goals of the University
COO	Chief Operating Officer and Deputy Vice-Chancellor
DCF	Director, Corporate Finance
DCPS	Director, Campus Property and Services
Dean	Dean of a Faculty or Academic College
Delegate	an employee, member or Committee of Senate to whom or to which a delegation has been made by Senate in these Delegations of Authority
DBLO	Director, Business Liaison Office
DDBLO	Deputy Director, Business Liaison Office
DFOS	Director, Financial Operations and Systems
DIAR	Director, Internal Audit and Review
DICM	Director, Investment and Capital Management
DSD&P(ICT)	Director, Information and Communication Technology Strategic Development and Planning
DVC	Collective reference to: Chief Operating Officer and Deputy Vice-Chancellor; Provost and Deputy Vice-Chancellor; Deputy Vice-Chancellor (Community); Deputy Vice-Chancellor (Infrastructure); Deputy Vice-Chancellor (International); and Deputy Vice-Chancellor (Research)
DVC(C)	Deputy Vice-Chancellor (Community)
DVC(I)	Deputy Vice-Chancellor (Infrastructure)
DVC(INT)	Deputy Vice-Chancellor (International)
DVC(R)	Deputy Vice-Chancellor (Research)
Enterprise Agreement(s)	Collective reference to the Academic Staff Enterprise Agreement, General Staff Enterprise Agreement, and CET Enterprise Agreement
Executive Dean	Executive Dean of a Faculty or group of Faculties
Exempt position	a position to be filled by an Exempt staff member

Exempt staff	staff who are 'exempt staff' as defined in the University's Enterprise Agreements
FIC	Finance and Infrastructure Committee of Senate
GC	General Counsel
General staff	employees of the University who are not Academic staff nor Exempt staff, including English Language Teaching staff to whom the CET Enterprise Agreement applies
General Staff Enterprise Agreement	The University of Sydney General Staff Agreement 2006 – 2008
HEO#	a higher education officer being a member of the General staff of the University at the level designated by the number immediately following (eg, HEO10). If that symbol is followed by a "+"symbol, then this indicates positions above the level specified by the number
HOA	an employee who is normally a HEO level 10 or above and is a head of an administrative or equivalent budget unit, whose Position Accountability Statement approved by a Principal Officer contains the designation "Head of Administrative Unit"
HOS	an employee who is a head of a School or equivalent budget unit (or the equivalent of that position for example Associate Dean or Pro Dean), formally appointed as such by the Provost
ICC	Investment and Commercialisation Committee of Senate
Level#	a level designated by the letter immediately following (eg, Level A) as the letters are used in the Academic Staff Enterprise Agreement.
NHMRC	National Health and Medical Research Council
OGC	Office of General Counsel
Principal Officer	Collective reference, for the purpose of this document to: Vice-Chancellor and Principal Deputy-Vice-Chancellor Pro-Vice-Chancellor Registrar General Counsel Vice-Principal (University Relations) University Librarian
Provost	Provost and Deputy Vice-Chancellor
PVC	collective reference to: Pro-Vice-Chancellor (International); Pro-Vice-Chancellor (Learning and Teaching); Pro-Vice-Chancellor (Research); and Pro-Vice-Chancellor (Strategic Planning)

PVC(LT)	Pro-Vice-Chancellor (Learning and Teaching)
Remuneration	annual salary and other monetary benefits, including loadings, allowances and performance bonus payments, but excluding employer superannuation contributions and shift penalty rates.
School	an organisational unit or equivalent budget unit reporting through an Academic college or a Faculty, or unit with equivalent standing as designated by the Provost
Senate Chair Appointments Committee	the Chair Appointments Committee established by resolution of the Senate as constituted from time to time
Senate Remuneration Committee	the Remuneration Committee established by resolution of the Senate as constituted from time to time
Senior Executive Group	the Senior Executive Group as appointed by the Vice-Chancellor from time to time.
Standard rate	The rate of pay (excluding loadings and allowances) applicable to a current or prospective staff member's classification or level (as specified in the relevant enterprise agreement or award) or, in the case of general staff in roles at or above HEO10, the rate specified in the General Staff Enterprise Agreement for HEO 10
UL	University Librarian
V-C	Vice-Chancellor and Principal
VP-UR	Vice Principal (University Relations)
Written Down Value	Total acquisition cost of an asset less depreciation charges (net book value in the Asset Management System)

Section 4 – Delegations for Specific Activities

As stated in clause 2.2 of the principles governing the exercise of delegations, where authority is delegated in these Delegations of Authority to approve transactions, then that authority extends to the execution of all documents necessary to give effect to those transactions.

4.1 Rights or interests in property; including gifts and bequests

Authority to perform the following functions is delegated to:

FUNCTION	DELEGATED TO
<p>Approve the acquisition by gift, bequest or devise of property (including money) for the purpose of the Act, and agree to carry out the conditions of any such gift, bequest or devise</p> <ul style="list-style-type: none"> ▪ for an estimated value over \$10 million ▪ for an estimated value up to \$10 million ▪ for Chair Sponsorships ▪ for an estimated value up to \$5 million, other than Chair Sponsorships ▪ for an estimated value up to \$1 million, other than Chair Sponsorships ▪ for an estimated value up to \$500,000, other than Chair Sponsorships 	<p>FIC</p> <p>VC; VP-UR</p> <p>VC</p> <p>DVC</p> <p>Principal Officer</p> <p>Executive Dean, Dean</p>
(Without derogating from the above delegations) approve the acquisition of property	
<ul style="list-style-type: none"> ▪ for an estimated value over \$10 million 	FIC
<ul style="list-style-type: none"> ▪ for an estimated value up to \$10 million 	VC after consultation with the COO and the Chair of FIC
<p>Control and manage all property (including money) vested in, held or acquired by the University, with the approval of the Minister, where required, following review of the documentation by the OGC, including, without limitation, carry out the conditions of any gift, bequest or devise pursuant to which any property is vested in, held by or acquired; and, where moneys are held pursuant to the conditions of any gift, bequest or devise, to approve expenditure of part or</p>	DVC

all of those moneys.	
Approve of the disposal of property; consistently with Division 2 of the Act, with the approval of the Minister where required, and following review of the documentation by the OGC	DVC(I)
Approve leases (other than leases of property vested in the Crown or a Minister of the Crown) and licences whether as tenant or landlord; in accordance with Division 2 of the Act where applicable, and following review of the documentation by the OGC	DVC(I); DCPS
Control, manage and maintain property used for the conduct of the University which is vested in the Crown or a Minister of the Crown,	DVC(I); DCPS

FUNCTION	DELEGATED TO
consistently with section 19 of the Act where applicable and in particular with the control and direction of the Minister, and following review of the documentation by the OGC	
Approve leases of property used for the conduct of the University which is vested in the Crown or a Minister of the Crown, consistently with Section 19 of the Act, and in particular subject to the control and direction of the Minister, and following review of the documentation by the OGC	DVC(I); DCPS

4.2 Intellectual property rights

Authority to perform the following functions is delegated to:

FUNCTION	DELEGATED TO
4.2.1 Approve applications, maintenance, prosecution (including abandonment) and registration of intellectual property rights (including copyright, circuit layouts, know how, patents, trademarks, business names and plant breeders rights)	DBLO; DDBLO
4.2.2 Approve the assignment or granting of any right in or to intellectual property rights (including copyright, circuit layouts, know how, patents, trademarks, business names and plant breeders' rights).	DBLO; DDBLO
4.2.3 Approve publishing agreements which provide for the assignment or licence of copyright.	UL
4.2.4 Approves any confidentiality agreements imposing obligations on third parties to protect confidential information which is owned or held by the University.	DVC: GC; DBLO; DDBLO

4.2.5 Approve any confidentiality agreements imposing obligations on the University to protect confidential information which is owned or held by third parties.	DVC; GC; DBLO
4.2.6 Approve confidentiality agreements: (a) imposing obligations on third parties to protect confidential information which is owned or held by the University; and/or (b) imposing obligations on the University to protect confidential information which is owned or held by third parties, in a form of agreement which has been approved by the OGC.	HOS; HOA

4.3 Centres and Institutes

Authority to approve the establishment or dis-establishment of a Centre or Institute of the University is delegated to the Provost.

4.4 Cooperative Research Centres

Authority to approve agreements for the establishment of Cooperative Research Centres or equivalent is delegated to the DVC(R) after consultation with the COO and the Chair of FIC or the Chair of Audit and Risk Management Committee. In accordance with 4.2 above, the intellectual property provisions of agreements relating to the establishment of Cooperative Research Centres or equivalent require approval from the DBLO.

4.5 Partnerships, trusts, companies and other incorporated bodies or joint ventures

Authority to promote, establish or participate in (whether by means of debt, equity, contribution of assets or by other means) partnerships, trusts, companies and other incorporated bodies, or joint ventures (whether or not incorporated) is delegated to the COO, after consultation with the Vice-Chancellor and the Senior Executive Group.

Authority to promote, establish or participate in (whether by means of debt, equity, contribution of assets or by other means) partnerships, trusts, companies and other incorporated bodies or joint ventures (whether or not incorporated) for the purposes of or in consideration for the assignment or grant of any right in or to intellectual property, where the University's equity share in the partnerships, trusts, companies and other incorporated bodies or joint ventures is less than 20% and there is no direct monetary costs to the University, is delegated to DBLO.

Authority to exercise any power of appointment of trustee(s) is delegated to the Vice-Chancellor.

4.6 Research agreements and grants

This delegation applies to agreements for the provision of funding or other support of research which do not fall within the definition of “commercial activities” in the Act. Agreements which do relate to commercial activities (being, broadly, agreements for the commercial exploitation or development of University facilities, resources or property, including intellectual property) must be approved in accordance with the delegations relating to Commercial Activities in Section 4.6.

Authority to perform the following functions to the following limits is delegated to:

FUNCTION & LIMIT	DELEGATED TO
4.6.1 Approve research agreements for a value of \$10 million or more, or for a period in excess of three years.	V-C after consultation with DVC(R) *
4.6.2 Approve industry research agreements up to a value of \$10 million, and for a maximum research period of three years.	COO*
4.6.3 Approve research agreements with non-industrial and/or non-commercial partners (including those with granting bodies and those with funding bodies established by the Commonwealth Government from time to time such as NHMRC and ARC) up to a value of \$10 million and for a maximum research period of three years.	DVC(R)*
4.6.4 Approve industry research agreements up to a value of \$2 million, and for a maximum research period of three years.	DBLO
4.6.5 Approve research agreements with non-industrial and/or non-commercial partners (including those with granting bodies and those with funding bodies established by the Commonwealth Government from time to time such as NHMRC and ARC) up to a value of \$1 million and for a maximum research period of three years.	Director Research Office*

*In accordance with 4.2, the intellectual property sections in these agreements require approval of the DBLO.

4.7 International, student exchange and placement agreements

This includes documents recording the intentions of the parties, such as memoranda of understanding.

Authority to perform the following functions to the following limits is delegated to:

FUNCTION & LIMIT	DELEGATED TO
Approve agreements having University-wide application or relevance, with: <ul style="list-style-type: none"> ▪ international institutions or international universities; ▪ student exchange or study abroad agreements with any other universities; and ▪ student placement agreements with private or public providers 	Provost; DVC(INT)

Approve agreements with international institutions or international universities; student exchange or study abroad agreements with any other universities; and student placement agreements with private or public education providers relating specifically to a Faculty or Academic College	Executive Dean	Dean,
Approve placement agreements with other institutions (eg, a teaching hospital) or private providers to enable Faculty and Academic College undergraduate or postgraduate students to undertake training or fieldwork related to their course	Executive Dean	Dean,

4.8 Commercial Activities

Delegates must refer to the Guidelines Concerning Commercial Activities (“Guidelines”), which contains the definition of “Commercial Activity”.

Note that:

- o a Sponsor (as defined in the Guidelines) must not assess or approve a Commercial Activity, and
- o a person carrying out the assessment of a Commercial Activity under clause 3.3 of the Guidelines must not approve the Commercial Activity.

Authority to perform the following functions is delegated to:

FUNCTION	DELEGATED TO
Approve Commercial Activities under the Guidelines;	
(a) if the COO has assessed the proposed Commercial Activities as either high risk (particularly risk of loss or damage to the University’s reputation) or of particular significance to the University in respect of any other relevant factors and has recommended the undertaking of such Commercial Activities or has considered that, taking into account such high risk or significance, the undertaking of the proposed Commercial Activities is justified	VC
(b) if the COO has otherwise assessed the proposed commercial activity under clause 3.3 of the Guidelines	DICM; DBLO
Maintain a Register of Commercial Activities	COO

4.9 Directors of commercial entities

Authority to appoint directors or other representatives of the University to controlled or affiliated commercial entities is delegated to the COO after consultation with DVC, and to the Chair of the ICC after consultation with the COO.

4.10 Independent audit reports

Authority to obtain independent audit reports of entities in which the University has an interest but which it does not control or with which it has entered into a joint venture, is delegated to the COO after consultation with DVC, and to the Chair of the Audit and Risk Management Committee after consultation with the COO.

4.11 Use of University's Coat of Arms

Section 18 of the University of Sydney (Amendment Act) Rule 1999 (as amended) provides that the Arms may only be used by a person, body or organisation in accordance with this Rule.

Authority to consent to the use or reproduction of the University's Arms is delegated to the V-C; DVCC; Director, Community Engagement.

4.12 Affixing of Seal

Section 17(2) of the University of Sydney (Amendment Act) Rule 1999 (as amended) provides that any document to which the Seal is affixed must be signed by the Chancellor, or the Deputy Chancellor, or the VC; and countersigned by the Registrar.

Authority to affix the Seal of the University to any document is delegated to the VC; DVC; Registrar; GC.

4.13 Acceptance of service of court documents

The COO is the "public officer" of the University pursuant to the *Income Tax Assessment Act* 1936 and in that capacity is authorised to accept service of documents in relation to taxation matters.

Authority to accept service of court process on behalf of the University, other than court service relating to taxation matters, is delegated to the Registrar; GC.

4.14 Appointment of external lawyers

In the exercise of its powers and functions under the Act and By-Laws, the Senate may seek advice from external lawyers if it considers it appropriate to do so.

The Chancellor, in the exercise of the functions of Chancellor and Chair of the Senate, may also seek advice from external lawyers in respect of issues relating to the University, its constitution and governance or the exercise by the Senate of its functions, powers and duties under the Act and By-Laws. This function is delegated to the Chancellor with power to approve, in consultation with GC, all cost agreements for any such engagement of external lawyers.

Authority to appoint external lawyers to advise in relation to matters relevant to the University or any aspect of its operations or to act on behalf of the University in relation to any matter is delegated to VC. This function is delegated to the VC with power to approve, in consultation with GC, all costs agreements for any such engagement of external lawyers.

Authority to appoint external lawyers for matters relevant to their accountability areas is delegated to DVC; Registrar. This function is delegated to the DVC; Registrar with power to approve, in consultation with GC, all costs agreements for any such engagement of external lawyers.

Authority to appoint external lawyers to advise in relation to matters relevant to the University or any aspect of its operations or to act on behalf of the University in relation to any matter is delegated to GC. This function is delegated to GC with power to approve all costs agreements for any engagement of external lawyers. Authority to approve payment of external lawyers is delegated to the GC.

4.15 Fundraising

The University has an Authority to fundraise issued by the NSW Department of Gaming and Racing under the *Charitable Fundraising Act 1991* (NSW). All fundraising activities must be conducted in accordance with the Act and the code of regulations established by the NSW Department of Gaming and Racing, both of which are available at <http://www.dgr.nsw.gov.au/>. The University must also comply with all the conditions of the Authority available at <http://www.usyd.edu.au/legal/>.

Authority to perform the following functions is delegated to

FUNCTION	DELEGATED TO
Approve fundraising activities undertaken on behalf of the University, including by foundations, centres and institutes	V-C; DVC(C) after consultation with VP-UR
Approve fundraising activities proposed by the VP-UR	V-C

4.16 Administrative policies and procedures

Refer to the University's Policy Online website (<http://www.usyd.edu.au/policy/>) for all approved University administrative policies and procedures.

Authority to perform the following functions is delegated to:

FUNCTION	DELEGATED TO
Approve administrative policy with University wide application	V-C
Approve administrative policy with University wide application relating to their accountability area	DVC
Approve investment of funds policy	ICC

4.17 Allocation of space within University property

Authority to perform the following functions is delegated to:

FUNCTION	DELEGATED TO
----------	--------------

Approve allocation of all space within the University	DVC(I)
Approve allocation of space within their accountability areas (Note: this does not include authority to lease space to third parties)	Principal Officer; Executive Dean; Dean; HOS; HOA

Section 5 – Financial Delegations

Authority to incur expenditure also includes authority to accept payments on behalf of the University to the same limit.

Refer to the University's Finance and Accounting Manual for the Purchasing Policy and other financial policies and procedures available at <http://www.finance.usyd.edu.au/account/index.htm>

5.1 Budgets/Allocations

Authority to perform the following functions is delegated to:

FUNCTION	DELEGATED TO
Determine and approve budgets/allocations, including Capital Program, Repairs and Maintenance Program and Capital Development Plan – Information Technology and Research revenue	FIC
Revise approved budgets if the total allocation across the University would change as a result of the revision	V-C; COO
Revise approved budgets if the change is between Academic and/or Administration portfolios	V-C; COO
Revise approved budgets if the change is within an Academic or Administration portfolio	DVC
Revise approved budgets if the change is within the delegate's accountability area, subject to the conditions of the relevant budgets	Principal Officer; Executive Dean; Dean; HOS; HOA

5.2 Borrowing of money

FUNCTION	DELEGATED TO

Borrow money and raise capital, including securities or debentures, within such limits, to such extent and on such conditions as to security or otherwise as the Governor on the recommendations of the Treasurer may approve	FIC
---	-----

5.3 Goods and services

This delegation applies to the acquisition, disposal and write off of goods and services (excluding payroll system transactions) and must be read in conjunction with the Purchasing Policy. Reference must also be made to the Purchasing Policy for quotation, tender, waiver and selective tendering requirements.

Authority to perform the following functions at the following limits is delegated to:

FUNCTION & LIMIT	DELEGATED TO
Determine policy about the procurement of goods and services and oversight of the application of the policy	The University officers and Fellow collectively acting as the Tender Board, with advice to the FIC
Approve the acquisition of goods and/or services valued at \$200,000 and above	The University officers and Fellow collectively acting as the Tender Board
Approve the acquisition of goods and/or services valued at \$200,000 and above, provided prior approval of the tender waiver has been given by the Manager, Shared Services	Principal Officer; Executive Dean; Dean; DCPS; DSD&P(ICT); DICM; DFOS; DCF; CIO, on the advice of the Director, Recruitment Services in respect of services provided by a named individual under a consultancy agreement.
Approve the acquisition of goods and/or services valued at up to \$200,000	Principal Officer; Executive Dean; Dean; DCPS; DSD&P(ICT); DICM; DFOS; DCF; CIO, on the advice of the Director, Recruitment Services in respect of services provided by a named individual under a consultancy agreement.
Approve the acquisition of goods and/or services valued at up to \$100,000	HOS; HOA, on the advice of the Director, Recruitment Services in respect of services provided by a named individual under a consultancy agreement.

Approve the sale of farm produce valued at up to \$500,000	DCPS
Approve the writing off or disposal of goods valued at over \$250,000 (Written Down Value)	FIC
Approve the writing off or disposal of goods valued at up to \$250,000 (Written Down Value)	V-C
Approve the writing off or disposal of goods valued at up to \$100,000 (Written Down Value)	DVC;
Approve the writing off or disposal of goods valued at up to \$50,000 (Written Down Value)	Principal Officer; Executive Dean; Dean; DCPS; CIO
Approve the writing off or disposal of goods valued at up to \$10,000 (Written Down Value)	HOS; HOA

5.4 Writing off salary and related overpayments

Authority to write off overpayments of salaries, loadings, allowances and other employment-related benefits, if it is not reasonable to recover them by legal action or by other means, is delegated to the DVC(I) after reporting to DIAR and COO as to the reason and steps taken to avoid repetition.

5.5 Grants and contributions (funded by the University) and refunds to external organisations

Authority to perform the following functions at the following limits is delegated to:

FUNCTION & LIMIT	DELEGATED TO
Approve payments to external organisations of research grants or contributions	DVC(R); Director Research Office, with confirmation from the Research Office that funds are available, and notification to the DCF prior to payment
Approve payments to external organisations of grants and contributions (excluding research grants and contributions), valued up to \$500,000	Principal Officer; Executive Dean; Dean;
Approve payments to external organisations of grants and contributions (excluding research grants and contributions), valued up to \$100,000	HOS; HOA

Approve the release of funds to external organisations of grants and contributions	DCF
Approve the refunding of unexpended grant funds to the funding body	DVC(R); Director, Research Office

5.6 Fees, charges and fines

The authority to determine (which includes approve, waive, exempt or refund) fees, charges and fines, at the limits specified, is delegated to:

FUNCTION	DELEGATED TO
Determine all undergraduate and postgraduate tuition fees for local and international students enrolling in award courses and the times such fees must be paid; consistently with any Guidelines issued by the Commonwealth Department of Education Science and Training, from time to time	Provost, on advice of COO
Determine library fees, charges and fines	UL
Determine information communication technology charges	DVC(I); CIO
Determine parking and traffic charges and fines	DVC(I); DCPS
Determine fees and charges to be levied or charged by or for: <ul style="list-style-type: none"> ▪ Centre for Continuing Education; ▪ Staff Support and Development Unit; ▪ Centre for English Teaching; ▪ the museums; ▪ Communications and Community Affairs; ▪ Student Services and Centre; ▪ Careers Centre 	DVC; PVC(LT); Registrar; HOA
Determine all fees and charges for non-award courses	Provost, on advice of COO
Determine rents for university properties and space	DCPS
Approve the writing off of fees, charges, fines and rent over \$50,000	V-C; after reporting to DIAR and COO as to the reason for the writing off, and steps taken to avoid repetition
Approve the writing off of fees, charges, fines and rent up to \$50,000	DVC
Approve the writing off of fees, charges, fines and rent up to \$10,000	Principal Officer

5.7 Student loans and bursaries

Authority to perform the following functions at the following limits, is delegated to:

FUNCTION	DELEGATED TO
Approve or write off student loans and bursaries over \$10,000	DVC(C)
Approve or write off student loans or bursaries up to \$10,000	Registrar; Dean; Director, Student Services

5.8 Bank accounts

Authority to perform the following function is delegated to:

FUNCTION	DELEGATED TO
Approve all arrangements with respect to the University's banking accounts (eg, opening and closing, styles, cheque signatories, payment and receipting processes, arrangements involving any financial institution)	COO

5.9 Investment of funds and financial risk management

The Delegations under this section must be exercised in accordance with Schedule 2 of the Act.

Authority to perform the following functions at the following limits is delegated to:

FUNCTION	DELEGATED TO
Oversee and approve the investment strategy under which investments are managed (eg, mandates, policies, asset allocations, earning targets and spending goals, financial risk)	ICC
Approve the investment of funds of the University in a manner approved by the Minister, by order in writing with the concurrence of the Treasurer	COO;DICM
Engage an approved funds manager, with the written approval of the Treasurer and in accordance with that approval to act in relation to the management of the funds of the University	ICC

FUNCTION	DELEGATED TO
Establish one or more investment common funds and exercise the powers set out in clause 3 of Schedule 2, section 3 of the Act, in relation to those common funds	COO; DICM
Approve the implementation of operational aspects of investment management, including management of external fund managers	COO; DICM
Write off commercial and investment assets above \$100,000	V-C; COO
Write off commercial and investment assets below \$100,000	DICM;

Section 6 – Human Resources Delegations

6.1 Establishment of Positions

The authority to establish positions includes the authority to approve applications for conversion from fixed term to continuing employment, and from casual to fixed term or continuing employment.

Authority to establish positions at the following levels is retained by Senate: V-C; DVC; PVC; Dean

Authority to establish positions at the following levels is delegated to:

Level	DELEGATED TO
Exempt positions other than V-C, DVC, PVC, Dean	V-C
Level E	Provost; Executive Dean
Level D and below	Dean
HEO 10 and non-Exempt Senior General Staff positions	Principal Officer; Executive Dean; Dean;
Below HEO 10 English Language Teachers Award staff	HOS; HOA

6.2 Appointments

Authority to appoint staff at the following levels is retained by Senate: V-C; DVC

Authority to appoint staff at the following levels is delegated to:

APPOINTMENT OF	DELEGATED TO
PVC Dean University Chair Level E	Senate Chair Appointments Committee
Exempt staff	V-C
HOS	Provost; Executive Dean
Level D and below	Executive Dean; Dean
All general staff	V-C; Principal Officer; Executive Dean; Dean;
Below HEO10	HOA; HOS
Casual academic staff – all levels	V-C; DVC; PVC; Executive Dean; Dean; Registrar; HOS; Director, Student Services; Head, Learning Centre; Head, Mathematics Learning Centre.

Casual general staff – all levels	Principal Officer; Executive Dean; Dean; HOA; HOS
-----------------------------------	---

6.3 Terms of appointment – Exempt staff

Authority to determine all terms of appointment for the V-C, other than remuneration package, is retained by Senate in accordance with the Appointment Agreement with the V-C, from time to time; and, if provided for in that Agreement, the Chancellor may agree with the V-C the duration, timing and support to be given for any overseas study and development or sabbatical leave and advise the Senate accordingly; and the Chancellor may otherwise approve timing or issues in relation to annual, long service and sick leave.

Authority to determine terms and conditions of appointment and employment for Exempt staff at the following levels is delegated to:

TERMS OF APPOINTMENT	LEVEL OF STAFF	DELEGATED TO
Remuneration package	V-C	Senate Remuneration Committee, or in accordance with the Appointment Agreement with the V-C from time to time, with the approval of Senate, following annual review by the Senate Remuneration Committee
Remuneration package only	DVC PVC University Chair	Senate Remuneration Committee
Non-remuneration terms of appointment	DVC PVC University Chair	VC
All terms of appointment	Dean and below All general staff	V-C
All terms of appointment	Level E and below Senior general staff level 8 and below	DVC; Executive Dean

6.4 Terms of appointment – Non-Exempt staff

The authority to determine terms and conditions of appointment and employment includes authority to determine the terms and conditions of Academic staffing flexibility contracts (pre-retirement contracts).

Authority to determine terms and conditions of appointment and employment for non-Exempt staff at the following levels is delegated to:

TERMS OF APPOINTMENT	LEVEL OF STAFF	DELEGATED TO
Remuneration of more than 33.3 % above the Standard rate	Level E HOS HEO 10	DVC; Executive Dean
All terms of appointment other than remuneration of more than 33% above the Standard rate (including setting the period of and conditions for probation/confirmation)	Level E HOS	DVC; PVC; Executive Dean
Remuneration of more than 33.3 % above the Standard rate	Level D HEO 9	DVC; PVC; Executive Dean
All terms of appointment other than remuneration of more than 33% above the Standard rate (including setting the period of and conditions for probation/confirmation)	Level D and below	PVC; Executive Dean; Dean
Remuneration of up to 33.3% above the Standard rate	All staff	DVC; PVC; Executive Dean; Dean
All terms of appointment other than remuneration of more than the Standard rate (including setting the period of and conditions for probation, and in the case of Academic staff, setting the period of and conditions for confirmation)	All staff	Principal Officer; Executive Dean; Dean;
All terms of appointment other than remuneration of more than the Standard rate (including setting the period of and conditions for probation)	HEO 10 and below	HOA; HOS

6.5 Variations to terms of appointment

Variations to terms and conditions of appointment and employment not covered in this section are exercisable by delegates in accordance with sections 6.3 and 6.4.

Authority to vary the terms of appointment excluding probation and confirmation conditions for staff at the following levels is delegated to:

VARIATION	LEVEL OF STAFF	DELEGATED TO
Hours of work (including conversion from full-time to part-time and vice-versa) Temporary internal transfer External secondment or exchange	All staff	Principal Officer; Executive Dean; Dean; HOA; HOS
Appointment in a temporary or acting capacity	Academic staff	Principal Officer; Executive Dean; Dean; HOS
Appointment in a temporary or acting capacity	General staff	Principal Officer; Executive Dean; Dean; HOA; HOS

6.6 Conferring of titles

Authority to confer academic titles at the following levels is delegated to:

LEVEL	DELEGATED TO
Academic titles for non-professorial staff who occupy the positions of DVC PVC Dean Other senior executive positions as approved by Senate	Senate Chair Appointments Committee
Emeritus Professor Conjoint Professor Visiting Professor (12 months or more) Adjunct Professor (12 months or more) Clinical Professor (12 months or more) Senior Principal Research Fellow for non staff members (12 months or more) Professor to holders of NHMRC, ARC and other nationally competitive fellowships	Senate Chair Appointments Committee

<p>Conjoint Associate Professor</p> <p>Adjunct Associate Professor (12 months or more)</p> <p>Clinical Associate Professor (12 months or more)</p> <p>Principal Research Fellow for non staff members (12 months or more)</p> <p>Associate Professor to holders of NHMRC, ARC and other nationally competitive fellowships</p>	<p>Dean after consultation with Provost or Executive Dean</p>
<p>Adjunct Professor (less than 12 months)</p> <p>Adjunct Associate Professor (less than 12 months)</p> <p>Adjunct Senior Lecturer</p> <p>Adjunct Lecturer</p> <p>Adjunct Associate Lecturer</p> <p>Clinical Professor (less than 12 months)</p> <p>Clinical Associate Professor (less than 12 months)</p> <p>Clinical Senior Lecturer</p> <p>Clinical Lecturer</p> <p>Clinical Associate Lecturer</p> <p>Conjoint Senior Lecturer</p> <p>Conjoint Lecturer</p> <p>Conjoint Associate Lecturer</p> <p>Senior Lecturer to holders of NHMRC, ARC and other nationally competitive fellowships</p> <p>Lecturer to holders of NHMRC, ARC and other nationally competitive fellowships</p> <p>Associate Lecturer to holders of NHMRC, ARC and other nationally competitive fellowships</p> <p>Senior Principal Research Fellow for non staff member (less than 12 months)</p> <p>Principal Research Fellow for non staff member (less than 12 months)</p> <p>Senior Research Fellow for non staff member</p> <p>Research Fellow for non staff member</p> <p>Postdoctoral Fellow for non staff member</p> <p>Honorary Professor</p> <p>Honorary Associate Professor</p> <p>Honorary Reader</p> <p>Honorary Senior Lecturer</p> <p>Honorary Lecturer</p> <p>Honorary Associate Lecturer</p> <p>Honorary Senior Principal Research Fellow</p> <p>Honorary Principal Research Fellow</p> <p>Honorary Senior Research Fellow</p> <p>Honorary Research Fellow</p> <p>Visiting professor (less than 12 months)</p> <p>Visiting scholar</p>	<p>Executive Dean; Dean</p>

6.7 Probation and confirmation

Authority to determine the following aspects of probation and confirmation is delegated to:

Function	LEVEL OF STAFF	DELEGATED TO
Approve progression from probation to confirmation period	All Exempt academic staff	VC; Provost
Approve progression from probation to confirmation period	All academic staff	HOS
Confirm appointment following probation	All Exempt general staff	Principal Officer; Executive Dean
Confirm appointment following probation	All general staff	HOS; HOA
Extend the period of probation	All Exempt staff	Principal Officer
Extend the period of probation	All academic staff	HOS
Extend the period of probation	All general staff	HOS; HOA
Terminate appointment during or at the conclusion of the probation period	All Exempt staff	VC
Terminate appointment during or at the conclusion of the probation period	Level E and below	DVC; Executive Dean
Terminate appointment during or at the conclusion of the probation period	Level D and below	PVC; Executive Dean; Dean
Terminate appointment during or at the conclusion of the probation period	All general staff	HOS; HOA
Continue confirmation (at annual confirmation review)	All Exempt academic staff	VC; Provost
Continue confirmation (at annual confirmation review)	All academic staff	HOS in consultation with the Dean prior to the review meeting with the staff member
Confirm appointment	All Exempt academic staff	VC; Provost
Confirm appointment	All academic staff	DVC; PVC; Executive

		Dean; Dean
Extend the period of confirmation	All Exempt academic staff	VC; Provost
Extend the period of confirmation	All academic staff	HOS in consultation with the Dean prior to the review meeting with the staff member
Terminate appointment during or at the conclusion of the confirmation period	All Exempt academic staff	VC
Terminate appointment during or at the conclusion of the confirmation period	Level E and below	DVC, Executive Dean;
Terminate appointment during or at the conclusion of the confirmation period	Level D and below	PVC; Executive Dean; Dean

6.8 Performance Bonuses

Authority to approve payment of performance bonuses to the following staff is delegated to:

LEVEL	DELEGATED TO
V-C	Senate Remuneration Committee, with advice to Senate of the payment (if made) and confirmation of processes used (and otherwise in accordance with the Appointment Agreement with the V-C from time to time)
DVC PVC	Senate Remuneration Committee
Exempt academic staff: Dean All Exempt general staff	V-C
Level E Exempt academic staff	DVC
All non-Exempt academic staff	DVC, Executive Dean
HEO10	DVC; PVC; Executive Dean

6.9 Promotion of Academic staff

Authority to approve the promotion of academic staff to the following levels is delegated to:

PROMOTION OF ACADEMIC STAFF	DELEGATED TO
To level E	Senate Chair Appointments Committee
To levels D, C and B	Provost

6.10 Reclassification of General staff

Authority to reclassify general staff to the following levels, on advice from the Manager, Remuneration and Benefits, is delegated to:

RECLASSIFICATION	DELEGATED TO
To all HEO levels	V-C; Principal Officer; Executive Dean
To HEO 9 and below	Dean; HOS; HOA

6.11 Direction to take annual leave or long service leave

Authority to direct staff to take annual leave or long service leave is delegated to: Principal Officer; Dean; HOS; HOA

6.12 Approval of additional paid leave

Authority to exercise the functions of the Delegated Officer (Staffing) referred to in the Enterprise Agreements in respect of additional paid leave is delegated to the DVC(I).

6.13 Issuing performance warnings

Authority to issue a performance warning (as defined in the University's Enterprise Agreements) is delegated to: Principal Officer; Dean; HOS; HOA

6.14 Determining disputes and grievances

The V-C and DVC(I) have authority to determine any unresolved issues or disputes in connection with human resource matters, including industrial disputes and grievances. The VC and DVC(I) have authority to make offers in settlement of employment-related disputes, including court and tribunal proceedings, after consultation with the relevant Dean, HOS or HOA.

The DVC(I) has authority to exercise the functions of the Delegated Officer (Staffing) in respect of grievances referred to the Delegated Officer (Staffing) in accordance with an Enterprise Agreement.

The DVCs have authority to determine grievances referred to them under an AWA.

6.15 Disciplinary action for misconduct and unsatisfactory performance

Authority to terminate the appointment of the V-C is retained by Senate in accordance with the Appointment Agreement with the V-C from time to time.

Authority to implement the following forms of disciplinary action including demotion and termination is delegated to:

DISCIPLINARY ACTION	LEVEL	DELEGATED TO
Termination	DVC; PVC; GC; Registrar; DIAR	V-C, subject to confirmation by Senate

All forms other than termination	DVC; PVC	V-C
Termination	Exempt staff other than DVC; PVC; GC; Registrar; DIAR	V-C
All forms other than termination	Exempt staff	DVC
Demotion or termination	All academic staff	V-C
All forms other than demotion or termination	All academic staff	DVC; PVC; Executive Dean; Dean
Termination	All general staff	DVC; PVC; Executive Dean
All forms other than termination	All general staff	Principal Officer; Executive Dean; Dean;

6.16 Voluntary resignation and retirement

Authority to accept resignations and notice of retirement, including medical retirement, from staff at the following levels is delegated to:

LEVEL	DELEGATED TO
V-C	Chancellor on behalf of Senate with notification to the Senate Remuneration Committee and Senate
DVC; PVC; Dean	V-C with notification to the Senate Remuneration Committee and Senate
All staff	DVC; PVC
All academic staff	Dean; HOS
All general staff	Principal Officer; Dean; HOA; HOS

6.17 Voluntary early retirement schemes

Authority to approve voluntary early retirement schemes is delegated to:

- the V-C with respect to schemes for academic staff;
- the V-C and DVCI with respect to schemes for general staff.

6.18 Redundancy

Authority to carry out all functions relating to redundancy, including authority to declare positions redundant and terminate the employment of staff at the following levels, on the ground of redundancy is delegated to:

LEVEL	DELEGATED TO
DVC; PVC; Registrar; GC; DIAR	V-C after consultation with the Senate Remuneration Committee and subject to final reporting to Senate, before termination takes effect
Exempt staff (other than DVC; PVC; Registrar; GC; DIAR) Dean All academic staff	V-C
All general staff	Principal Officer; Executive Dean; Dean;

Authority to carry out the functions referred to in the provisions of the Academic Staff Enterprise Agreement relating to staff redundancies (except the authority to declare a position redundant and terminate employment) is delegated to: Principal Officer; Executive Dean; Dean; HOS

Authority to carry out the functions referred to in the provisions of the General Staff Enterprise Agreement relating to staff redundancies (except the authority to declare a position redundant and terminate employment) is delegated to: HOS; HOA

6.19 Termination for ill-health (instigated by employer)

Authority to terminate the employment of the V-C on the grounds of ill health is retained by Senate (in accordance with the Appointment Agreement with the V-C from time to time).

Authority to terminate employment on the grounds of ill health at the following levels is delegated to:

LEVEL	DELEGATED TO
Exempt staff	V-C
All academic staff	DVC; PVC; Executive Dean
All general staff	Principal Officer; Executive Dean; Dean

Authority to carry out the functions referred to in the provisions of the Enterprise Agreements relating to termination on the grounds of ill health (except the authority to terminate employment) is delegated to: Principal Officer; Dean; HOS; HOA