

DELEGATION BY COUNCIL OF DECISION MAKING AUTHORITY

Contents

| | |
|--|-----------|
| 1. PURPOSE AND STATUS OF DOCUMENT..... | 1 |
| 2. STATUTORY FRAMEWORK | 1 |
| 3. PROVISIONS IN RESPECT OF DELEGATIONS | 2 |
| 4. DEFINITIONS | 4 |
| 5. INSTITUTIONAL, GOVERNANCE AND MANAGEMENT OFFICES AND STRUCTURES | 8 |
| 5.1 Council and Council Committees | 8 |
| 5.2 Chancellor..... | 9 |
| 5.3 Management Committee (MANCOM) | 10 |
| 5.4 Senate..... | 10 |
| 5.5 Institutional Forum | 11 |
| 5.6 Student Representative Council | 11 |
| 5.7 Convocation..... | 12 |
| 6. INSTITUTIONAL STATUTE AND INSTITUTIONAL RULES AND OTHER GOVERNANCE INSTRUMENTS | 12 |
| 6.1 Institutional Statute and Rules..... | 12 |
| 6.2 Council Code of Conduct..... | 12 |
| 6.3 Declaration of financial interests and fiduciary roles | 13 |
| 6.4 Assessing Council’s performance | 13 |
| 6.5 Strategic Plan, Annual Institutional Performance Plan, and Risk Management Framework..... | 13 |
| 6.6 Transformation framework and other policies on institutional culture and ethos | 14 |
| 7. ACADEMIC MATTERS | 14 |
| 7.1 Academic year | 14 |
| 7.2 Academic ceremonies | 14 |
| 7.2.1 Academic dress..... | 14 |
| 7.2.2 Official welcoming ceremony..... | 15 |
| 7.2.3 Graduation ceremonies..... | 15 |
| 7.3 Annual Student Enrolment Plan | 15 |
| 7.4 Academic admission and re-admission of students | 15 |
| 7.5 Academic and administrative registration of students | 16 |
| 7.6 Recognition/exemption of courses/status recognition/RPL | 16 |

| | | |
|-----------|---|-----------|
| 7.7 | Admission: masters & doctoral students | 16 |
| 7.8 | Academic Programmes and Qualifications..... | 16 |
| 7.9 | Flexible learning systems (mode of delivery) | 16 |
| 7.10 | Examinations | 17 |
| | 7.10.1 Examination and promotion..... | 17 |
| | 7.10.2 Examinations time-tables | 17 |
| | 7.10.3 Examiners/moderators/promoters | 17 |
| | 7.10.4 Invigilation of examinations | 17 |
| 7.11 | Certification: Formal qualifications and other awards..... | 18 |
| 7.12 | Short learning programmes | 18 |
| 7.13 | Research, technology and innovation | 18 |
| 7.14 | Community engagement/services | 19 |
| 7.15 | Structuring of academic colleges/schools, departments and academic support units ... | 19 |
| 7.16 | Research units/ centres/ institutes..... | 19 |
| 7.17 | Learning centres | 20 |
| 7.18 | Teaching and learning awards: Employees..... | 20 |
| 7.19 | Research Awards: Employees | 20 |
| 7.20 | Community engagement awards: Employees | 20 |
| 7.21 | Student academic awards | 21 |
| 7.22 | Honorary doctorates and other awards | 21 |
| 8. | STUDENT MATTERS | 21 |
| 8.1 | Disciplinary code, procedures, and outcomes of hearings: Students | 21 |
| 8.2 | Allocation of bursaries and loans to students | 21 |
| 9. | FINANCIAL MATTERS | 22 |
| 9.1 | SBL financial delegations | 22 |
| 9.2 | Institutional budget..... | 22 |
| 9.3 | Auditing..... | 23 |
| 9.4 | Risk framework..... | 24 |
| 9.5 | Procurement including Tender Committee(s)..... | 24 |
| 9.6 | Approval of operational expenditures (excluding buildings and capital works) | 24 |
| 9.7 | Write-offs | 25 |
| 9.8 | Insurance | 25 |
| 9.9 | Subsistence and travelling allowances..... | 25 |
| 9.10 | Tuition and other student fees | 26 |
| 9.11 | Research funds..... | 26 |
| 9.12 | Building and capital projects..... | 26 |
| | 9.12.1 New major building and capital works exceeding R 5 000 000 | 26 |
| | 9.12.2 Alterations to existing buildings and capital works exceeding R5 000 000..... | 27 |
| | 9.12.3 Building maintenance programme..... | 28 |
| | 9.12.4 Minor capital works of less than R5 000 000 including renovations and alterations..... | 28 |
| | 9.12.5 Renaming of buildings..... | 28 |
| 9.13 | Immovable property: alienation, leasing and acquisition | 29 |
| 9.14 | Write off of movable assets | 29 |
| 9.15 | Investments | 29 |

| | |
|--|-----------|
| 10. EMPLOYEE MATTERS | 30 |
| 10.1 SBL human resource matters | 30 |
| 10.2 Organisational structure of institution | 30 |
| 10.3 Creation of new posts/scrapping of posts/freezing or unfreezing of posts within approved overall institutional structure | 30 |
| 10.4 Procedure for appointments | 31 |
| 10.5 Advertisements: vacant posts..... | 32 |
| 10.6 Approval of permanent appointments/contract appointments exceeding twelve months | 33 |
| 10.7 Appointment of academic associates* | 35 |
| 10.8 Approval of temporary, part-time and contract appointments not exceeding twelve months | 36 |
| 10.9 Appointment: acting and secondment capacity* | 37 |
| 10.10 Transfer/redeployment of employees | 38 |
| 10.11 Promotion of employees | 39 |
| 10.12 Performance management | 39 |
| 10.13 Training and development | 39 |
| 10.14 Conditions of employment: | 40 |
| 10.14.1 General conditions of employment (excluding remuneration)..... | 40 |
| 10.14.2 Remuneration of employees..... | 40 |
| 10.14.3 External work..... | 41 |
| 10.14.4 Medical aid scheme..... | 41 |
| 10.14.5 Pension fund..... | 41 |
| 10.14.6 Group life insurance..... | 42 |
| 10.14.7 Overtime | 42 |
| 10.14.8 Leave..... | 42 |
| 10.14.9 Job grading..... | 43 |
| 10.14.10 Termination of services including resignation as well as approval of 'short notice'..... | 43 |
| 10.14.11 Voluntary severance packages (VSPs) | 44 |
| 10.14.12 Employee relocation expenses..... | 44 |
| 10.14.13 Discipline of employees | 45 |
| 10.14.14 Hours of duty | 45 |
| 10.14.15 Employee organisations | 46 |
| 10.15 Long service awards..... | 46 |
| 11. CONTRACTS: APPROVALS AND SIGNING | 46 |
| 11.1 Employment contracts of already approved permanent appointments and contracts exceeding 1 year | 46 |
| 11.2 Employment contracts of already approved appointments (part-time, temporary and contracts not exceeding 1 year) | 46 |
| 11.3 Non-commercial academic, research and non-research contracts..... | 47 |
| 11.4 Major building and capital work contracts for already approved building projects exceeding R5 000 000..... | 47 |
| 11.5 Minor Building and capital work contracts for already approved projects (less than R5 000 000) | 47 |
| 11.6 Operational contracts (excluding building projects, research and HR contracts) in terms of approved institutional policies..... | 48 |
| 11.7 Commercial contracts | 48 |

12. MISCELLANEOUS MATTERS 48

- 12.1 Outsourcing 48
- 12.2 Communications and marketing 48
- 12.3 International travel 49
- 12.4 Computer services and equipment..... 49
- 12.5 Legal action 50
- 12.6 Formation of trusts and companies 50
- 12.7 Joint ventures of a commercial nature..... 51
- 12.8 University records and archives 51
- 12.9 Occupational health and safety 51
- 12.10 Intellectual Property (including copyright)..... 51
- 12.11 Delegation document..... 51

1. PURPOSE AND STATUS OF DOCUMENT

The purpose of this document is to provide for the delegation of powers and assignment of duties or functions by Council in respect of matters provided for directly in the Higher Education Act, No 101 of 1997, as amended and matters pertaining to the governance and overall management of the university in order to ensure that a common understanding and proper execution of such delegated or assigned functions for the effective functioning of the university is in place.

In this regard this policy seeks to draw a clear distinction between the governance duties and responsibilities of Council and the management duties and responsibilities of the Principal and Vice Chancellor.

In particular this policy on the delegation of decision-making authority seeks to make it clear that Council approves all UNISA governance policies while the Principal and Vice Chancellor approves management policies, usually after consultation with the Management Committee.

Delegations of the Principal and Vice Chancellor arising from his/her role as Chief Executive and Accounting Officer to other UNISA functionaries are contained in a separate document. This includes some delegations for the School of Business Leadership (SBL) not covered here in order to give effect to a new governance model for the SBL.

This document forms an integral part of the UNISA Institutional Statute (IS) and any rules/policies formulated in terms of the Institutional Statute. Any amendment to this document is subject to the approval of the Council. Where provision is made for a delegation of authority in any policy which is inconsistent with the provisions of this document, such provision shall be of no effect and shall be superseded by the provisions of this document, provided that where this document makes no provision for the matter covered in such policy, the delegation or delegations provided for in such policy may only be implemented with the prior approval of Council.

2. STATUTORY FRAMEWORK

The Higher Education Act, No 101 of 1997 in section 68 stipulates that regarding the delegation of functions by the Council, it may on such conditions as it may determine, delegate any of its powers under this Act or delegated to it in terms of subsection (1) of the mentioned section of the Act, except the following:

- a) power to make an institutional statute;
- (b) the right to enter into an agreement regarding a loan or an overdraft for the institution;
- (c) embarking on any immovable infrastructural development including purchasing or leasing such property.

The Act further specifies that the Council may 'assign any of its duties in terms of this Act or assigned to it in terms of section 68(1) of the Act to the other internal structures, principal or any other employee of the public higher education institution concerned'

The Act specifically stipulates in section 27(1) in respect of the duties of a Council of a public higher education institution, that 'the council of a public higher education must govern the public higher education institution subject to this Act and the institutional statute'.

Other duties specifically stipulated in the Act concern:

- A language policy for the institution: Section 27(2);
- A structure to advise on student support services: Section 27(3);
- A code of conduct: Section 27(7E);
- Rules and procedures for the declaration of conflicts of interest of its members: Section 27(7E) ;
- Appointing employees of the university: Section 34(1);
- Conditions of employment, disciplinary provisions and privileges and functions of employees: Section 34(3);
- Admission of students for purposes of study at the university: Section 37; and
- Keeping of records of the university: Section 41

The Act furthermore, in section 68(3) stipulates that the 'principal of a public higher education institution may, on such conditions as he or she may determine, delegate any of his or her powers under this Act and assign any of his or her duties in terms of the Act to any other employee of the public higher education institution concerned'.

The duties and responsibilities of a principal of a public higher education institution are outlined in section 30 of the Act as 'the principal of a public higher education institution is responsible for the management and administration of the public higher education institution'.

The Institutional Statute does not expressly provide for Council to delegate functions to any of its Committees or to the Principal and Vice Chancellor.

The principle of '*delegatus non potest delegare*' means that the Council cannot delegate functions to the Principal and Vice Chancellor on the understanding that he/she may then delegate these further. This would also apply to the delegations document developed by the Principal and Vice Chancellor in terms of his/her management and operational duties.

However, in terms of the Act the Council may 'assign any of its duties in terms of this Act or assigned to it in terms of section 68(1) of the Act to the other internal structures, principal or any other employee of the public higher education institution concerned'

While so-called 'blanket delegations' that can be delegated further are thus clearly not permissible, this is taken to mean that the Council, where deemed necessary may, in respect of a particular function, delegate some of that function's aspects to the Principal and Vice Chancellor, and some other aspects expressly to other listed functionaries of the institution.

While the Council has no direct responsibility for any operational and administrative matters falling in the domain of the Principal and Vice Chancellor, it should from time to time make sure that the Principal and Vice Chancellor is executing his/her duties in terms of a delegations framework approved by him/her on recommendation of the university's management committee.

3. PROVISIONS IN RESPECT OF DELEGATIONS

In the delegations outlined in this document reference is made to a number of positions or institutional structures by means of the following designations and acronyms:

| Official designation | Acronym |
|--|----------------|
| Council | Council |
| Executive Committee of Council | EXCO |
| Academic and Student Affairs Committee of Council | ASACoC |
| Audit and Enterprise Risk Management Committee of Council | AERMCoC |
| Branding and Communication Committee of Council | BCCoC |
| Finance, Investment and Estates Committee of Council | FIECoC |
| Human Resources Committee of Council | HRCoC |
| Information Communication and Technology Committee of Council | ICTCoC |
| Nominations and Governance Committee of Council | NGCoC |
| Remuneration Committee of Council | REMCoC |
| Social and Ethics Committee of Council | SECoC |
| Senate | Senate |
| Executive Committee of Senate | SENEX |
| Student Representative Council | SRC |
| National Student Representative Council | NSRC |
| Regional Student Representative Council | RSRC |
| Institutional Forum | IF |
| Principal and Vice Chancellor | VCP |
| Vice Principal: Strategy, Risk and Advisory Services | VP:SRAS |
| Vice Principal: Operations and Facilities | VP:OF |
| Vice Principal : Research, Post Graduate Studies, Innovation and | VP:RPGSIC |

| | |
|--|------------|
| Commercialisation | |
| Vice Principal: Information and Communication Technology/Chief Information Officer | VP:ICT/CIO |
| Vice Principal: Institutional Development | VP:ID |
| Vice Principal: Teaching, Learning, Community Engagement and Student Support | VP:TLCESS |
| Vice Principal: Finance and UNISA Business Enterprise/Chief Financial Officer | VP:FBE/CFO |
| Registrar | Registrar |
| Executive Deans | EDeans |
| Executive Director: Institutional Advancement | ED: IA |
| Executive Director: University Estates | ED:UE |
| Executive Director: Human Resources | ED:HR |
| Executive Director: Finance | ED:F |
| Executive Director: ICT | ED:ICT |
| Executive Director: Strategy Planning, Institutional Research and Information Analysis | ED:SPIRIA |
| Executive Director: Legal Services | ED:LS |
| Chief Audit Executive | CAE |
| Head: Student Financial Aid | H:SFA |
| Terms of reference | TORs |

4. DEFINITIONS

In this document, unless the context otherwise indicates:

Academic employee means any person appointed to a teaching or research post at the University and any other employee designated as such by the Council;

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| Act | means the Higher Education Act, 1997, No. 101 of 1997 as amended; |
| Academic year | means that portion of a calendar year devoted to the academic activities of the University; |
| Administrative and support employees | mean any person appointed by the University to perform an administrative or support function, excluding academic employees; |
| After consultation with | means that consultation has taken place, however, the relevant body or person is not bound by opinions or proposals arising from such consultation; |
| Approval | means the power to make a final decision on a matter in terms of statutory powers or delegated authority, however this does not exclude the right of ratification of such decision by the body or person who delegated the power of approval, subject to any rights that may have become vested as a consequence of the decision; |
| Approver | means the body or person with the power to make a final decision on a matter in terms of statutory powers or delegated authority, as contemplated within the definition of 'approval'; |
| Charter | means a set of approved rules describing the composition, mandate and functioning of Council; |
| Convocation | means the body composed in accordance with paragraph 54 and 55 of the Institutional Statute; |
| Council | means the body composed in accordance with section 27(4) of the Higher Education Act (HEA) and paragraph 8 of the Institutional Statute; |
| Department | means the national department responsible for higher education; |
| Donor | means a person, body or entity who has made a donation to the University of the required minimum value determined by the Council from time to time; |
| Employee | means an academic or an administrative or a support employee of the University; |
| Executive dean and/or executive director | means University functionaries appointed to these positions by the Council; |
| Expulsion | means the permanent expulsion of a student from the University; |
| Functions | include powers and duties; |
| In consultation with | means that both parties must agree on the course of action or decision to be taken before the responsible party may proceed; |

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|-------------------------------|---|
| Institutional Forum | means the body composed in accordance with section 31(2) of the HEA and paragraph 36 of the Institutional Statute; |
| Governance policy | means a statement of principles and/or values approved by the Council that mandate or constrain the performance of activities in achieving institutional goals and aims to ensure compliance with applicable laws, regulations and delegation of authority and seeks to ensure sustainability and the achievement of strategic goals; |
| Management Committee (MANCOM) | means a committee comprising the Senior Management as constituted by the Vice Chancellor to assist him/her in the execution of duties in terms of paragraph 50(2) of the Institutional Statute; |
| Management policy | means an instruction approved by the Chief Executive and Accounting Officer of the University that relates to its day to day management and administration or to indicate how to perform an action or reach an institutional goal; |
| Minister | means the Minister responsible for higher education; |
| Office bearer | means a functionary provided for in the Higher Education Act, including the Principal and Vice Chancellor, the Vice Principals, the Registrar, Executive Deans and Executive Directors; |
| On recommendation of | means that a body or person can deal with a specific matter only after the input from the relevant body or person, however, it is not bound by recommendations arising from such input; |
| Principal and Vice Chancellor | means the Principal of the University as contemplated in section 30 of the Act appointed in accordance with the Institutional Statute and the Rules of the University; |
| Ratify/ratification | means to enhance or confirm a decision which has been made in terms of a delegated authority, but does not divest the body who delegated the authority of its right to overturn a decision taken in terms of such delegation subject to any rights that may have become vested as a consequence of the decision; |
| Recognised union | means an employee organisation recognised by the University and registered in accordance with the Labour Relations Act, 1995 (Act 66 of 1995), as amended; |
| Registrar | means the person appointed by Council in accordance with the Institutional Statute and the Rules for the appointment of senior management members; |

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| Rules | means the institutional rules/policies of the University approved by the Council in terms of section 32(1)(b) of the Higher Education Act; |
| Semester | means one half of the academic year of the University; |
| Senate | means the body composed in accordance with section 28(2) of the HEA and paragraph 22 of the Institutional Statute; |
| Senior Management | means the senior management of the University, consisting of the Principal and Vice Chancellor, the Vice Principals, the Registrar and other positions at these levels; |
| Statute | means the Institutional Statute of the University drafted as contemplated in section 32(1)(a) of the Act; |
| Student | means a person officially registered for a formal qualification as a student at the University; |
| Students' Representative Council (SRC) | means the body composed in accordance with paragraph 53 of the Institutional Statute and includes the NSRC and the RSRC; |
| Suspension | means the temporary expulsion of a student from the University and where applicable, from a residence of the University; |
| Terms of reference | mean a set of approved rules describing the composition, mandate and functioning of a committee of the Council, Senate or Management Committee; |
| University | means the University of South Africa; |
| Urgent matter | means a matter, which, if not addressed before the next ordinary or special meeting of the Council, a committee of Council, the Senate or MANCOM, could cause irreversible harm or prejudice to the University, its employees or students; |
| UNISA | means the University of South Africa; |
| Vice Principal | means a person appointed as such in accordance with the Institutional Statute and the Rules of the University; |
| Virement | is the process of moving money from one financial account or part of a budget to a different one ¹ ; |

¹ <https://en.oxforddictionaries.com/definition/virement> (accessed on 5 October 2018)

With concurrence of

means that the relevant bodies (by means of quorate decisions) or persons have to reach agreement on a matter.

In some cases where a certain measure of ambiguity may exist on whether a certain function falls into the governance domain or into the management domain this is indicated by means of an asterisk. Similarly other remarks that pertain to a particular functional area are also indicated in this manner.

5. INSTITUTIONAL, GOVERNANCE AND MANAGEMENT OFFICES AND STRUCTURES

5.1 Council and Council Committees

| Nature of function/activity | Approver | Regulatory reference | Initiator of action(s) |
|--|--|--|------------------------|
| Powers and functions | Council | <ul style="list-style-type: none"> • Sec 27(1) of Act, • Par 7 of IS | Registrar |
| Composition of Council | Council | <ul style="list-style-type: none"> • Sec 27(4) of Act, • Par 8 of IS | Registrar |
| Appointment of members: | | | |
| - Ministerial nominees | Appointed by the Minister of Higher Education and Training | <ul style="list-style-type: none"> • Sec 27(4)(c) of Act, • Par 8(1)(c) of IS | Registrar |
| - Principal and Vice Chancellor | Council | <ul style="list-style-type: none"> • Sec 27(4)(a) of Act, • Par 8 (1)(a) of IS | Registrar |
| - A Vice Principal | Council based on nomination by MANCOM | <ul style="list-style-type: none"> • Par 8 (1) (b) of IS | Registrar |
| - Representatives of Senate | Elected by Senate | <ul style="list-style-type: none"> • Par 8(1)(d) of IS | Registrar |
| - Representatives of students | Elected by SRC | <ul style="list-style-type: none"> • Par 8(1)(f) of IS | Registrar |
| - Representative of Convocation | Elected by Convocation | <ul style="list-style-type: none"> • Par 8(1) of IS | Registrar |
| - Representatives of local government sector | Nominated by Council | <ul style="list-style-type: none"> • Par 8(1)(j) of IS | Registrar |
| - Non-Senate academic employee | Elected by non-Senate academic employees | <ul style="list-style-type: none"> • Par 8(1)(e) of IS | Registrar |
| - Non-Senate administrative and support employee | Elected by non-Senate administrative and support employees | <ul style="list-style-type: none"> • Par 8(1)(g) of IS | Registrar |
| - Unisa Foundation | Nominated by Board of Trustees of Unisa Foundation | <ul style="list-style-type: none"> • Par 8 (1)(k) of IS | Registrar |
| - 'Expert members' | Council on recommendation of NGCoC | <ul style="list-style-type: none"> • Par 8(1)(l) of IS | Registrar |
| - Observers at meetings | Council on recommendation of NGCoC | <ul style="list-style-type: none"> • Par 8(3) of IS | Registrar |

| Nature of function/activity | Approver | Regulatory reference | Initiator of action(s) |
|--|---|--|------------------------|
| Filling of vacancies in Council membership | Council on recommendation of NGCoC, except for members appointed, nominated or elected by the specific category of membership | <ul style="list-style-type: none"> Par 9(3) of IS | Registrar |
| Elections and appointment of chairperson and deputy chairperson | Council | <ul style="list-style-type: none"> Par 10 of IS | Registrar |
| Establishment of committees of Council (including composition and functions) | Council | <ul style="list-style-type: none"> Par 19 and 20, Par 7(2)(c) of IS Sec 29 of Act | Registrar |
| Joint committees: Council and Senate | | | |
| - Establishment of joint committees and appointment of members | Council in consultation with Senate | <ul style="list-style-type: none"> Par 20(2) Par 7(2)(e) of IS Sec29(3) of Act | VCP and/or Registrar |
| - Dissolution of joint committees | Council in consultation with Senate | <ul style="list-style-type: none"> Sec 29(4) of Act | VCP and/or Registrar |
| Dissolution of committees of Council | Council on recommendation of NGCoC | <ul style="list-style-type: none"> Sec 29(4) of Act | VCP and/or Registrar |
| Induction of members of Council | Council on recommendation of NGCoC | <ul style="list-style-type: none"> Par 4.3(v)(c) and Par 4.1(iii)(h) of Charter of Council | Registrar |
| Institutional Rules of Council (governance policies) | Council | <ul style="list-style-type: none"> Sec 32 of Act Par 7(2)(b) of IS | Registrar |
| Assessment of performance of Council | Council | <ul style="list-style-type: none"> Par 4.1(iii)(c) and (d) of Charter of Council | Registrar |
| Application of Code of Conduct for Council | Council and NGCoC | | Registrar |

* The composition of Council makes provision for a number of structures and organisations to nominate persons for appointment to Council. This process of nomination does not however divest Council from its duty to appoint (or not to appoint) such nominated persons, where the exercise of such duty is required by law.

5.2 Chancellor

| Nature of functions/activity | Approver | Regulatory reference | Initiator of action (s) |
|------------------------------------|---|--|-------------------------|
| Election and appointment procedure | Council after consultation with the IF and Senate | <ul style="list-style-type: none"> Par 5 of IS Sec 26(1) of Act | Registrar |
| Functions | Council on recommendation of NGCoC | <ul style="list-style-type: none"> Sec 26(1) of Act, Par 4 of IS | Registrar |

5.3 Management Committee (MANCOM)

| Nature of function/activity | Approver | Regulatory reference | Initiator |
|---|--|--------------------------------------|------------------------|
| Powers and functions | As determined by the IS | • Par 50 of IS | VCP and Registrar |
| Composition | As determined by the IS | • Par 50 of IS | VCP |
| Determination of critical performance areas of members of MANCOM: | | | |
| - VCP | Council on recommendation of EXCO | • Par 3.1.3(g) of Charter of Council | Chairperson of Council |
| - Other members of MANCOM | EXCO on recommendation of VCP | • Par 49(1) of IS | VCP |
| Appointment of Acting VC and Acting Chairperson of MANCOM | | | |
| - Acting period exceeding 30 days | Chairperson of Council on recommendation of EXCO | | VCP |
| - Acting period less than 30 days | VCP | • Par 48(1) of IS | VCP |

* The VCP after consultation with MANCOM determines the functions of the Extended Management Committee as per par 52 of the Institutional Statute

5.4 Senate

| Nature of function/activity | Approver | Regulatory reference | Initiator of action(s) |
|--|--|---|------------------------------------|
| Powers and functions | As determined by the Act and IS | • Par 21 of IS, • Part 1 par 4 of Senate Rules | Registrar |
| Resolution of Senate on: | | | |
| - Academic structure of institution | Council after consultation with Senate | • Par 7(2)(i) of IS | VP:TLCESS and VP:RPGSIC |
| - Academic functions of the institution (incl. research) | Council with concurrence of Senate | • Par 21 of IS | VP:TLCESS, VP:RPGSIC and Registrar |
| Composition of Senate | As determined by Act and IS | • Sec 28(2) of Act, • Par 22 of IS | Registrar |
| Appointment of members: | | | |
| Representatives of Council, elected by Council | Council | • Par 22(1)(p) of IS | Registrar |
| Appointment of Deputy Chairperson | VCP | • Par 25(1) & (2) of IS | Registrar |
| Joint committees: Council and Senate: | | | |
| - Establishment of committees and appointment of members | Council in consultation with Senate | • Par 20(2) of IS • Sec29(3) of Act | VCP and Registrar |

Approved – Council – 23.11.2017
Revised – approved – Exco of Council – 10.12.2018

-10-

| Nature of function/activity | Approver | Regulatory reference | Initiator of action(s) |
|-----------------------------|-------------------------------------|----------------------|------------------------|
| - Dissolution of committees | Council in consultation with Senate | • Sec 29(4) of Act | VCP and Registrar |

* Council is not involved in the establishment, composition and functions of committees of Senate including its SENEX which are the responsibility of Senate itself.

5.5 Institutional Forum

| Nature of functions/activity | Approver | Regulatory reference | Initiator of action (s) |
|---|---|---|-------------------------|
| Powers and functions | Council | <ul style="list-style-type: none"> • Sec 31(1) of Act, • Par 35 of IS | Registrar |
| Composition | Council | <ul style="list-style-type: none"> • Sec 31(2) of Act, • Par 36 of IS | Registrar |
| Representative of Council on IF, elected by Council | Council | <ul style="list-style-type: none"> • Par 36(1)(d) of IS | Registrar |
| External members of IF | Council on recommendation of VCP as Chairperson of MANCOM | <ul style="list-style-type: none"> • Par 36(1)(j) of IS | Registrar |

5.6 Student Representative Council

| Nature of function/activity | | Approver | Regulatory reference | Initiator of action(s) |
|--|--|--|---|------------------------------------|
| Powers and Functions | | Council on recommendation of ASACoC | <ul style="list-style-type: none"> • Par 53(1) of IS | Registrar and/or Dean of Students |
| Election of NSRC and RSRC members | | Council on recommendation of ASACoC | <ul style="list-style-type: none"> • Par 5.1.1 of the SRC Constitution | Registrar and/or Dean of Students |
| Privileges/benefits of NSRC and RSRC members | | VCP after consultation with NSRC and on recommendation of MANCOM | <ul style="list-style-type: none"> • Sec 35 of the Act • Par 1, 2, 4 of the Guidelines on SRC Support | Registrar and /or Dean of Students |
| Budget of SRC (part of main budget) | | Council on recommendation of FIECoC | <ul style="list-style-type: none"> • Par 6 of the Guidelines on SRC Support | VP:FBE/CFO |
| Dissolution of SRC | | Council on recommendation of ASACoC | <ul style="list-style-type: none"> • Par 13 of SRC Constitution | Registrar and/or Dean of Students |

5.7 Convocation

| Nature of functions/activity | Approver | Regulatory reference | Initiator of action (s) |
|------------------------------|----------|--|-------------------------|
| Powers and functions | Council | <ul style="list-style-type: none"> Par 55 of IS | Registrar |
| Composition | Council | <ul style="list-style-type: none"> Par 56 of IS | Registrar |

6. INSTITUTIONAL STATUTE AND INSTITUTIONAL RULES AND OTHER GOVERNANCE INSTRUMENTS

6.1 Institutional Statute and Governance Policies

| Nature of function/activity | Approver | Regulatory reference | Initiator of action(s) |
|--|-------------------------------------|---|-----------------------------------|
| Making/amending of Institutional Statute and Institutional Rules (governance policies) | Council on recommendation of EXCO | <ul style="list-style-type: none"> Sec 32(1) of Act , Par 7(2)(b) of IS, Par 6.2(c) & 6.2(b) of the Charter of Council | Registrar |
| Making/amending of Institutional Statute or Institutional Rules (governance policies) relating to: | | | |
| - Academic functions (studies; examinations; research etc.) | Council with concurrence of Senate | <ul style="list-style-type: none"> Sec 32 (2)(b) of Act, Par 4.2(j) of the Charter of Council, Par 4.1 of Senate Rules, Par 21(1) of IS | Registrar |
| - Composition of SRC | Council after consultation with SRC | <ul style="list-style-type: none"> Sec 32(2)(c) of Act | Registrar and/or Dean of Students |
| Process for drafting/updating of Institutional Statute and Institutional Rules (governance policies) | VCP on recommendation of MANCOM | | Registrar |

6.2 Council Code of Conduct

| Nature of function/activity | Approver | Regulatory reference | Initiator of action(s) |
|--|---|---|------------------------|
| Approval of Council Code of Conduct | Council on recommendation of NGCoC and after consultation with IF | <ul style="list-style-type: none"> Sec 27 (7E)(a) of Act | Registrar |
| Amending of Council Code of Conduct | Council on recommendation of NGCoC and after consultation with IF | <ul style="list-style-type: none"> Sec 27 (7E)(a) of Act Par 6.6 of terms of reference of NGCoC | Registrar |
| Process for drafting/updating of Council Code of Conduct | VCP on recommendation of MANCOM | | Registrar |

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-12-

6.3 Declaration of financial interests and fiduciary roles by members of Council and Council committees

| Nature of function/activity | Approver | Regulatory reference | Initiator of action(s) |
|---|------------------------------------|--|------------------------|
| Approval of rules and procedures for declaration of interest | Council on recommendation of NGCoC | <ul style="list-style-type: none"> • Sec 27(7E)(b) of Act • Par 2.2.2.5 of Code of Conduct of members of Council • Par 6.7 of terms of reference of NGCoC | Registrar |
| Amending of declaration of interest rules and procedures for declaration | Council on recommendation of NGCoC | <ul style="list-style-type: none"> • Sec 27(7E)(b) of Act • Par 6.6 of terms of reference of NGCoC | Registrar |
| Process for drafting/updating of declaration of interest rules and procedures | VCP on recommendation of MANCOM | | Registrar |

6.4 Assessing Council's performance

| Nature of function/activity | Approver | Regulatory reference | Initiator of action(s) |
|--|------------------------------------|--|------------------------|
| Approval of instrument and process for assessing Council's performance | Council on recommendation of NGCoC | <ul style="list-style-type: none"> • Par 6.6 of terms of reference of NGCoC | VP:SRAS |
| Amending of instrument and process for assessing Council's performance | Council on recommendation of NGCoC | <ul style="list-style-type: none"> • Par 6.6 of terms of reference of NGCoC | VP:SRAS |

6.5 Strategic Plan, Annual Institutional Performance Plan and Risk Management Framework

| Nature of function/activity | Approver | Regulatory reference | Initiator of action(s) |
|---|--|--|------------------------|
| Approval of Strategic Plan | Council on recommendation of EXCO and after consultation with Senate | <ul style="list-style-type: none"> • Reporting Regulations in terms of HE Act | ED:SPIRIA |
| Monitoring of Strategic Plan | EXCO on recommendation of VCP | | ED:SPIRIA |
| Approval of Annual Institutional Performance Plan | Council on recommendation of EXCO and after consultation with Senate | | ED:SPIRIA |
| Process for drafting of Annual Institutional Performance Plan | VCP on recommendation of MANCOM | | ED:SPIRIA |
| Approval of institutional risk management framework | Council on recommendation of AERMCoC | <ul style="list-style-type: none"> • Terms of reference of AERMCoC, par 6.6.22(a) | VP:SRAS |
| Approval of annual institutional risk register | Council on recommendation of AERMCoC | | VP:SRAS |

| | | | |
|---|---------------------------------|--|---------|
| Approval and monitoring of risk mitigating strategies and plans | VCP on recommendation of MANCOM | | VP:SRAS |
|---|---------------------------------|--|---------|

6.6 Transformation framework and other policies on institutional culture and ethos

| Nature of function/activity | Approver | Regulatory reference | Initiator of action(s) |
|---|--|---|------------------------|
| Approval of institutional transformation plan | Council after consultation with Senate and IF and on recommendation of SECoC | | VP:ID |
| Monitoring of Transformation Plan | EXCO on recommendation of VCP | | VP:ID |
| Approval of employment equity policies | Council after consultation with Senate and IF and on recommendation of SECoC and HRCoC | <ul style="list-style-type: none"> • Sec 31(1)(a)(ii) of Act | VP:ID and ED:HR |
| Approval of institutional harassment policy | Council after consultation with Senate and IF and on recommendation of SECoC and HRCoC | | VP:ID and ED:HR |
| Approval of institutional Code of Ethics | Council after consultation with IF and on recommendation of SECoC and HRCoC | | VP:ID |

7. ACADEMIC MATTERS

7.1 Academic year

| Nature of function/activity | Approver | Regulatory reference | Initiator of action(s) |
|-----------------------------|---------------------------------|----------------------|-----------------------------------|
| Academic Calendar | VCP on recommendation of Senate | | Registrar's Office and VP: TLCESS |

7.2 Academic ceremonies

7.2.1 Academic dress

| Nature of function/activities | Approver | Regulatory reference | Initiator of action(s) |
|---|---|---|--------------------------|
| Policy on academic dress including design and colours | Council on recommendation of Senate and BCCoC | <ul style="list-style-type: none"> • Policy on Graduation Ceremonies | Registrar |
| Policy: Occasions requiring academic dress | VCP on recommendation of Senate | | Registrar |
| Policy: Purchase/rental of academic dress | VCP on recommendation of MANCOM | <ul style="list-style-type: none"> • Policy on Graduation Ceremonies | Registrar and VP:FBE/CFO |

7.2.2 Official welcoming ceremony (or official opening of academic year)

| Nature of function/activity | Approver | Regulatory reference | Initiator of action(s) |
|-----------------------------------|------------------------------------|----------------------|------------------------|
| Determination of time, venue etc. | VCP on recommendation of MANCOM | | Registrar |
| Organisational arrangements | VCP on recommendation of Registrar | | ED: IA and Registrar |

7.2.3 Graduation ceremonies, determination number of graduation ceremonies and places

| Nature of function/activity | Approver | Regulatory reference | Initiator of action(s) |
|---|------------------------------------|---|------------------------|
| Determination of time, venue etc. | VCP after consultation with MANCOM | <ul style="list-style-type: none"> Policy on Graduation Ceremonies | Registrar |
| Designation of guest speaker(s); and honorary guests | VCP after consultation with MANCOM | | ED:IA and/or Registrar |
| Determination of policies and procedures applicable to ceremony | VCP on recommendation of Senate | | Registrar and ED: IA |
| Invitations: Honorary guests | VCP | | ED: IA |
| Media statements on graduation ceremonies | VCP | | ED: IA |

7.3 Annual student enrolment plan

| Nature of function/activity | Approver | Regulatory reference | Initiator of action(s) |
|---|--|--|------------------------|
| Approval of Annual Enrolment Plan | Council after consultation with Senate and on recommendation of ASACoC | <ul style="list-style-type: none"> Reporting Regulations in terms of HE Act | ED:SPIRIA |
| Monitoring of enrolments in terms of Enrolment Plan | VCP after consultation with MANCOM | | ED:SPIRIA |

7.4 Academic admission and re-admission of students

| Nature of function/activity | Approver | Regulatory reference | Initiator of action(s) |
|--|--|---|-------------------------|
| Policy with regard to admission of students | Council after consultation with Senate | <ul style="list-style-type: none"> Sec 37 of Act | VP:TLCESS and Registrar |
| Policy with regard to re-admission of students | Council in concurrence with Senate | <ul style="list-style-type: none"> Sec 37(4)(c) & (d) of Act | VP:TLCESS and Registrar |

7.5 Academic and administrative registration of students

| Nature of function/activity | Approver | Regulatory reference | Initiator of action(s) |
|---|---------------------------------|----------------------|------------------------|
| Determination of dates, venues and modes of registration etc. (incorporated in academic calendar) | VCP on recommendation of Senate | | Registrar's Office |

7.6 Recognition/exemption of courses/status recognition/RPL

| Nature of function/activity | Approver | Regulatory reference | Initiator of action(s) |
|---|--|---|-------------------------|
| Policy: Recognition/exemption of courses/status recognition/RPL | Council after consultation with Senate | <ul style="list-style-type: none"> • Sec 37 of Act • Admission Policy • Recognition of Prior Learning Policy | VP:TLCESS and Registrar |

7.7 Admission: Masters & Doctoral Students

| Nature of function/activity | Approver | Regulatory reference | Initiator of action(s) |
|---|-------------------------------------|--|------------------------|
| Policy on admission to masters and doctoral study | Council on recommendation of Senate | <ul style="list-style-type: none"> • Sec 37 of Act • Admission Policy, Chapter 4 | VP:RPGSIC |

7.8 Academic programmes and qualifications

| Nature of function/activity | Approver | Regulatory reference | Initiator of action(s) |
|--|---|--|-----------------------------------|
| Introduction and termination of academic programmes and qualifications | Council on recommendation of Senate and of ASACoC | | VP:TLCESS and VP:RPGSIC |
| Content of and amendments to curricula and syllabi | VCP in concurrence with Senate | <ul style="list-style-type: none"> • Senate Rules, part 1 par 4.2.1 | EDeans of Colleges and EDean: SBL |

7.9 Flexible learning systems (mode of delivery)

| Nature of function/activity | Approver | Regulatory reference | Initiator of action(s) |
|--|--|--|--------------------------------------|
| Policy on modes of educational delivery | Council on recommendation of Senate and ASACoC | <ul style="list-style-type: none"> • Open Distance Learning Policy • Policy: Experiential Learning | VP:TLCESS and VP:RPGSIC |
| Approval of specific modes of delivery for specific programmes | EDeans and EDean: SBL after consultation with Senate | | Chairpersons of academic departments |

7.10 Examinations

7.10.1 Examination and promotion

| Nature of function/activity | Approver | Regulatory reference | Initiator of action(s) |
|--|--|---|------------------------|
| Policy: Approval of regulations on examination and promotion | Council after consultation with Senate and on recommendation of ASACoC | <ul style="list-style-type: none"> Assessment Policy | Registrar |
| Deviation from policy | VCP on recommendation of VP:TLCESS and/or VP:RPGSIC and Registrar | | EDeans |

7.10.2 Examinations time-tables

| Nature of function/activity | Approver | Regulatory reference | Initiator of action(s) |
|-------------------------------------|--------------------------------|----------------------|------------------------|
| Approval of examination time-tables | VCP in concurrence with Senate | | Registrar's Office |

7.10.3 Examiners/moderators/promoters

| Nature of function/activity | Approver | Regulatory reference | Initiator of action(s) |
|---|---|--|------------------------|
| Policy on appointment and compensation of examiners, moderators and promoters | Council on recommendation of Senate and of ASACoC | <ul style="list-style-type: none"> Assessment Procedures Manual | Registrar |
| Deviation from policy (appointment) | VCP after consultation with SENEX | | Registrar's Office |
| Deviation from policy (compensation) | VCP after consultation with MANCOM | | Registrar's Office |

7.10.4 Invigilation of examinations

| Nature of function/activity | Approver | Regulatory reference | Initiator of action(s) |
|---|---|--|------------------------|
| Policy on invigilation (including appointment and compensation of invigilators) | Council on recommendation of Senate and of ASACoC | <ul style="list-style-type: none"> Assessment Procedures Manual | Registrar |
| Deviation from policy on invigilation | VCP after consultation with MANCOM | | Registrar |

7.11 Certification: Formal qualifications and other awards

| Nature of function/activity | Approver | Regulatory reference | Initiator of action(s) |
|--------------------------------------|-------------------------------------|---|------------------------|
| Policy on certification and awards | Council on recommendation of Senate | <ul style="list-style-type: none"> Sec 65B(1) of Act | Registrar |
| Approval of awarding of certificates | EDeans and EDean: SBL | | Registrar's Office |
| Approval of awards | VCP in concurrence with Senate | | Registrar's Office |
| Signing of certificates | VCP, Registrar and EDeans | <ul style="list-style-type: none"> Policy: Issuing of Certificates for Formal Qualifications and Short Learning Programmes (par 3.2.3) | Registrar's Office |

7.12 Short learning programmes

| Nature of function/activity | Approver | Regulatory reference | Initiator of action(s) |
|--|--|---|---------------------------|
| Policy on short learning programmes | Council on recommendation of Senate and ASACoC | <ul style="list-style-type: none"> Policy: Short Learning Programmes (Non-formal Tuition) | VP:TLCESS |
| Introduction/termination | | | |
| - Credit-bearing short learning programmes | VCP in concurrence with Senex | <ul style="list-style-type: none"> Policy: Short Learning Programmes (Non-formal Tuition) (par 6.1.9, 6.3.5) | EDeans |
| - Non-credit bearing short learning programmes (Non SBL) | Senex | <ul style="list-style-type: none"> Policy: Short Learning Programmes (Non-formal Tuition) (par 6.1.9, 6.3.5) | EDeans |
| - Non-credit bearing short learning programmes (SBL) | Senex | <ul style="list-style-type: none"> Policy: Short Learning Programmes (Non-formal Tuition) (par 6.1.9, 6.3.5) | Chairperson of Department |

7.13 Research, Technology and Innovation

| Nature of function/activity | Approver | Regulatory reference | Initiator of action(s) |
|---|-------------------------------------|--|------------------------|
| Policy on RTI including building research capacity | Council on recommendation of Senate | <ul style="list-style-type: none"> Research and Innovation Policy | VP:RPGSIC |
| Approval of research and innovation projects outside policy | VCP on recommendation of MANCOM | | VP:RPGSIC |
| Policy on research incentives for | Council on recommendation | <ul style="list-style-type: none"> Policy: Chancellor's | VP:RPGSIC |

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-18-

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|---|---------------------------------|--|-----------|
| employees | of Senate | and Principal's Prizes for Excellence in Research <ul style="list-style-type: none"> • Policy: Chairperson of Council's Award for Excellence | |
| Approval of incentives and rewards outside policy | VCP on recommendation of MANCOM | | VP:RPGSIC |

7.14 Community engagement/services

| Nature of function/activity | Approver | Regulatory reference | Initiator of action(s) |
|---|--|---|------------------------|
| Policy on community engagement/services | Council after consultation with IF and on recommendation of Senate | <ul style="list-style-type: none"> • Sec 31(1)(a)(v) and 32(2)(b) of Act • Community Engagement and Outreach Policy | VP:TLCESS |
| Approval of projects outside of policy | VCP on recommendation of VP:TLCESS | | VP:TLCESS |

7.15 Structuring of academic colleges, schools, departments and academic support units

| Nature of function/activity | Approver | Regulatory reference | Initiator of action(s) |
|---|--|---|-------------------------|
| Establishment and restructuring including change in designations and discontinuance of: | | | |
| - Academic departments, schools and colleges | Council on recommendation of Senate and ASACoC | <ul style="list-style-type: none"> • Par 7(2)(h) of IS • Par 6.2(j) of the Charter of Council | VP:TLCESS and VP:RPGSIC |
| - Academic support units | VCP on recommendation of SENEX | | VP:TLCESS and VP:RPGSIC |

7.16 Research institutes

| Nature of function/activity | Approver | Regulatory reference | Initiator of action(s) |
|---|--|---|------------------------|
| Policy on academic units/institutes/centres | Council after consultation with Senate and on recommendation of ASACoC | Policy on Research Institutes and Bureaux | VP:RPGSIC |
| Establishment/dissolution of institutes | Council on recommendation of Senate | <ul style="list-style-type: none"> • Policy on Research Institutes and Bureaux – par 4.3.3 | VP:RPGSIC |
| Deviations from policy | VCP on recommendation of MANCOM and SENEX | | VP:RPGSIC |

7.17 Learning centres

| Nature of function/activity | Approver | Regulatory reference | Initiator of action(s) |
|--|---|----------------------|---------------------------------|
| Policy on establishment of off-campus learning centres | Council on recommendation of Senate and of ASACoC | | VP:TLCESS, VP:OF and Registrar |
| Functions and powers | VCP on recommendation of MANCOM | | VP:TLCESS, VP:OF and Registrar |
| Approval of establishment of new learning centres | Council on recommendation of FIECoC | | VP:TLCESS, VP:OF and VP:FBE/CFO |

7.18 Teaching and learning awards: Employees

| Nature of function/activity | Approver | Regulatory reference | Initiator of action(s) |
|---|---------------------------------|--|---------------------------------------|
| Policy on teaching and learning awards to employees | VCP on recommendation of Senate | <ul style="list-style-type: none"> Policy on Awards for Excellence in Teaching and Learning | VP:TLCESS |
| Deviations from policy | VCP on recommendation of MANCOM | | VP:TLCESS on recommendation of MANCOM |

7.19 Research Awards: Employees

| Nature of function/activity | Approver | Regulatory reference | Initiator of action(s) |
|-----------------------------|---------------------------------|---|------------------------|
| Policy on research awards | VCP on recommendation of Senate | <ul style="list-style-type: none"> Policy: Chancellor's and Principal's Prizes for Excellence in Research Policy: Chairperson of Council's Award for Excellence | VP:RPGSIC |
| Deviations from policy | VCP on recommendation of MANCOM | | VP:RPGSIC |

7.20 Community Engagement Awards: Employees

| Nature of function/activity | Approver | Regulatory reference | Initiator of action(s) |
|-----------------------------|---------------------------------|----------------------|------------------------|
| Policy on engagement awards | VCP on recommendation of Senate | | VP:TLCESS |
| Deviations from policy | VCP on recommendation of MANCOM | | VP:TLCESS |

7.21 Student academic awards

| Nature of function/activity | Approver | Regulatory reference | Initiator of action(s) |
|--|-----------------------------------|------------------------------------|---------------------------------------|
| Policy on academic awards for students | VCP on recommendation of Senate | Policy: Graduate Excellence Awards | VP:TLCESS on recommendation of Senate |
| Deviations from policy | VCP on recommendation from MANCOM | | VP:TLCESS on recommendation of MANCOM |

7.22 Honorary doctorates and other awards

| Nature of function/activity | Approver | Regulatory reference | Initiator of action(s) |
|--|-------------------------------------|---|------------------------|
| Policy on honorary doctoral awards | Council in concurrence with Senate | Policy: Honorary Degrees and Awards for Meritorious Service | Registrar |
| Decisions on candidates to be awarded honorary doctorates | Council on recommendation of Senate | | Registrar |
| Policy on other prestigious UNISA awards to members of society | Council on recommendation of EXCO | <ul style="list-style-type: none"> Policy: Honorary Degrees and Awards for Meritorious Service | VCP |
| Decisions on candidates to be honoured | Council on recommendation of EXCO | | VCP |

8. STUDENT MATTERS

8.1 Disciplinary code, procedures, and outcomes of hearings: Students

| Nature of function/activity | Approver | Regulatory reference | Initiator of action(s) |
|--|---|---|------------------------|
| Policy and procedures | Council after consultation with Senate and NSRC | <ul style="list-style-type: none"> Sec 32(2)(d) of Act Par 53(3) of IS Student Disciplinary Code | Dean of Students |
| Appeals on outcomes of individual disciplinary cases | Student Disciplinary Appeals Committee | Student Disciplinary Code | Dean of Students |

8.2 Allocation of bursaries and loans to students

| Nature of function/activity | Approver | Regulatory reference | Initiator of action(s) |
|--|-------------------------------------|---|------------------------|
| Policy on all forms of student financial aid including NSFAS and post graduate study | Council on recommendation of FIECoC | <ul style="list-style-type: none"> Policy on Financial Assistance to Students Directive for | VP:FBECFO |

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-21-

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| | | Awarding of Merit Bursaries to Undergraduate Students | |
| Awarding of loans and bursaries within policy | Head: Student Financial Aid in consultation with Student Funding Committee | | Student Financial Aid Office |
| Awarding of loans and bursaries outside of prescribed policy | VP:FBE/CFO on recommendation of H:SFA | | Student Financial Aid Office |

9. FINANCIAL MATTERS

Note: Concerning financial expenditure the following distinct steps have to be distinguished from one another:

- i) Budget approval for all expenditure, either as part of the original institutional budget or as part of an amended budget is a **prerequisite** for any institutional expenditure;
- ii) Once budget approval has been given, **authorisation** or **approval** of the actual expenditure, normally in the form of a requisition has to be given. Such authorisation is subject to:
 - a) Funds being available for the expenditure being envisaged; and
 - b) Where applicable the concluding of a formal contract between the institution and the service provider, or formal Tender Committee approval where applicable;
- iii) Finally a **procedural action** is undertaken on the basis of such authorisation for transmitting the authorised payment – this latter action is typically undertaken within the VP:FBE/CFO's division in terms of procedures governing financial control such as the making of electronic transfer payments etc.

9.1 SBL financial delegations

SBL financial delegations from Council are indicated where applicable. Other SBL financial delegations are covered in separate operational delegations from the VCP.

| Nature of function/activity | Approver | Regulatory reference | Initiator of action(s) |
|---|--|----------------------|------------------------|
| Approval of SBL specific financial systems and policies | FIECoC on recommendation of VCP as Chairperson of MANCOM | SBL Charter | VP:FBE/CFO and ED:SBL |

9.2 Institutional budget

| Nature of function/activity | Approver | Regulatory reference | Initiator of action(s) |
|---|-------------------------------------|---|------------------------|
| Budget policy and priorities including policies on virement | Council on recommendation of FIECoC | <ul style="list-style-type: none"> • Sec 41 of Act • Financial Resource Allocation and Budget Policy | VP:FBE/CFO |
| Approval of annual institutional budget | Council on recommendation of FIECoC | <ul style="list-style-type: none"> • Sec 41 of Act, • Par 7(2)(l) of IS, • Par 6.2(n) of the | VP:FBE/CFO |

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-22-

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| | | <ul style="list-style-type: none"> Charter of Council Terms of reference: Finance, Investment and Estates Committee, par 6.1.1(c) | |
| Amendments to approved institutional budget where no virement is allowed or is insufficient | | | |
| - Amendments amounting to a change of up to R5 million | Management, through the authority of the VCP | | VP: FBE/CFO |
| - Amendments amounting to a change of above R5 million and less than R20 million | FIECoC on recommendation of VCP as Chairperson of MANCOM | | VP:FBE/CFO |
| - Amendments amounting to change of more than R20 million | Council on recommendation of FIECoC | | VP:FBE/CFO |
| External loans including overdrafts | Council on recommendation of FIECoC | <ul style="list-style-type: none"> Sec 40 (2) (b) Act, Par 7(2)(m) of IS | VP:FBE/CFO |

9.3 Auditing

| Nature of function/activity | Approver | Regulatory reference | Initiator of action(s) |
|--|--------------------------------------|---|------------------------|
| Appointment of external auditors | Council on recommendation of AERMCoC | Terms of reference of AERMCoC, par 6.1.1 | VP:FBE/CFO |
| Approval of annual audited financial statements | Council on recommendation of AERMCoC | Terms of reference of Finance, Investment and Estates Committee, par 6.1.3(b) | VP:FBE/CFO |
| Approval of the annual report/integrated report | Council on recommendation of AERMCoC | | VP:FBE/CFO |
| Evaluation of audit report/management letter | Council on recommendation of AERMCoC | Terms of reference of AERMCoC, par 6.1.6 & 6.1.10 | VP:FBE/CFO |
| Approval of external audit charter and external audit plan | AERMCoC | Terms of reference of AERMCoC, par 6.1.3(b) | VP:FBE/CFO |
| Approval of internal audit charter and internal audit plan | AERMCoC | Terms of reference of AERMCoC, par 6.5.4 & 6.5.5 | CAE |
| Evaluation of internal audit and external audit services | AERMCoC | Terms of reference of AERMCoC, par 6.1.3(c) & 6.5.6 | CAE and VP:FBE/CFO |
| Evaluation of external and/or internal audit reports | AERMCoC | | CAE and VP:FBE/CFO |

9.4 Risk framework

| Nature of function/activity | Approver | Regulatory reference | Initiator of action(s) |
|--|--------------------------------------|---|------------------------|
| Enterprise Risk Management Framework | Council on recommendation of AERMCoC | Terms of reference of AERMCoC, par 6.6.22 | VP: SRAS |
| Compliance Risk Management (to comply with applicable legislation, regulations, internal policies, etc.) | Council on recommendation of AERMCoC | | VP: SRAS |

9.5 Procurement including Tender Committee(s)

| Nature of function/activity | Approver | Regulatory reference | Initiator of action(s) |
|-------------------------------|-------------------------------------|--|------------------------|
| General policy on procurement | Council on recommendation of FIECoC | <ul style="list-style-type: none"> Policy on Supply Chain Management Terms of reference of Finance, Investment and Estates Committee, par 6.1.1(a) | VP:FBE/CFO |

9.6 Approval of operational expenditures (excluding buildings and capital works)

Note: Where approval is in the form of a legally binding contract between the institution and the service provider, the delegations regarding the signing of contracts must be taken into account. In addition all provisions of the institution's Supply Chain Management Policy including Tender Committee approval where applicable must be adhered to.

| Nature of function/activity | Approver | | Regulatory reference | Initiator of action(s) |
|--|---|--|-----------------------------------|------------------------|
| Approval of expenditure within budget and funds being available including the transfer of budgeted funds where virement is allowed | | | Policy on Official Signing Powers | |
| Up to R100 000 | Individual RC manager | | | Budget holder's unit |
| From R100 001 to R 500 000 | EDean or EDirector on recommendation of ED:F | | | Individual RC manager |
| From R500 001 to R 1 000 000 | Relevant MANCOM line function manager or EDean: SBL on recommendation of VP:FBE/CFO | | | VP:FBE/CFO |
| From R1 000 001 to R5 000 000 | VCP on recommendation of MANCOM and/or VP:FBE/ CFO | | | VP:FBE/CFO |
| | | | | VP:FBE/CFO |

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-24-

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| From R5 000 001 to R20 000 000 | FIECoC on recommendation of VCP as Chairperson of MANCOM | | | VP:FBE/CFO |
| From R20 000 001 upwards | Council on recommendation of FIECoC | | | |

9.7 Write-offs

| Nature of function/activity | Approver | Regulatory reference | Initiator of action(s) |
|---|--|--------------------------------------|------------------------|
| Write-off policies (Policy on bad debt, Policy on Asset Write-off, Policy on Inventory Write-off) | Council on recommendation of FIECoC | Policy on Student and Sundry Debtors | VP:FBECFO |
| Writing off of bad debt | | | |
| - Individual amounts below R50 001 | MANCOM line function member or EDean on recommendation of VP:FBE/CFO | | ED:F |
| - Individual amounts of R50 001 to R200 000 | VCP on recommendation of VP:FBE/CFO | | ED:F |
| - Individual amounts of R200 001 or more | FIECoC on recommendation of VCP as Chairperson of MANCOM | | ED:F |

9.8 Insurance

| Nature of function/activity | Approver | Regulatory reference | Initiator of action(s) |
|---|--|----------------------|------------------------|
| Appointment of brokers | VCP in concurrence with Tender Committee | | VP:FBE/CFO |
| Short and long-term insurance contracts | VCP in concurrence with Tender Committee | | VP:FBE/CFO |

9.9 Subsistence and travelling allowances

| Nature of function/activity | Approver | Regulatory reference | Initiator of action(s) |
|--------------------------------------|---|--|------------------------|
| Approval of S&T policy | Council on recommendation of FIECoC | Policy on Travel, Accommodation and Related Expenses | VP:FBE/CFO |
| Approval of S&T claims within policy | RC managers | | Individual employees |
| Deviations from policy | EDeans and EDirectors on recommendation of ED:F | | ED:F |

9.10 Tuition and other student fees

| Nature of function/activity | Approver | Regulatory reference | Initiator of action(s) |
|--|--|----------------------|--------------------------|
| Policy on tuition and other student fees | Council on recommendation of FIECoC after consultation with NSRC | Tuition Fee Policy | CFO and VP:TLCESS |
| Determination of annual fees | Council on recommendation of FIECoC after consultation with NSRC | | VP:FBE/CFO and VP:TLCESS |

9.11 Research funds

| Nature of function/activity | Approver | Regulatory reference | Initiator of action(s) |
|--|---|--------------------------------------|--|
| Policy on research study and research travel grants | Council after consultation with Senate and on recommendation VCP as Chairperson of MANCOM | Policy on Grants from Research Funds | VP:RPGSIC |
| Approvals within budget | | | |
| Amounts up to R100 000 | Relevant EDean and EDean: SBL on recommendation of VP:FBE/CFO | | Director of school or chair department |
| Amounts between R100 001 and R250 000 | VP:RPGSIC or VP:TLCESS on recommendation of VP:FBE/ CFO | | Relevant EDean |
| Amounts between R250 001 and R1 000 000 | VCP on recommendation of VP:RPGSIC or VP:TLCESS and VP:FBE/CFO | | VP:RPGSIC and relevant EDean |
| Amounts larger than R1 000 000 | FIECoC on recommendation of VCP as Chairperson of MANCOM | | VP:RPGSIC |
| Approval of research grants, research or study travel outside policy | VCP on recommendation of VP:RPGSIC | | VP:RPGSIC |

9.12 Building and capital projects

NOTE: The institution's Supply Chain Management Policy regulates these approvals. For example, where this policy requires Tender Committee approval to be obtained first, the authorisation can only occur after such Tender Committee approval has been granted.

9.12.1 New major building and capital works exceeding R 5 000 000

| Nature of function/activity | Approver | Regulatory reference | Initiator of action(s) |
|--|-------------------------------------|----------------------|------------------------|
| Determination of priorities/approval of projects and associated cost estimates | Council on recommendation of FIECoC | Sec 40(3) of Act, | VCP and VP:OF |
| Method of financing | VCP on recommendation of MANCOM | Sec 40 (3) of Act | VP:FBE/CFO |

| | | | |
|--|---|--|----------------------|
| Appointment of panel of professional service providers | VCP on recommendation of MANCOM | | VP:OF |
| Appointment of professional team from panel of service providers | VCP on recommendation of MANCOM | | VP:OF |
| Acceptance of tenders | FIECoC on recommendation of VCP acting in concurrence with Tender Committee | | VP:OF |
| Amendments to approved new capital project budgets | | | |
| - Amendment 5% or less of approved project budget | VCP on recommendation of MANCOM | | VP:OF and VP:FBE/CFO |
| - Amendment of more than 5% of approved project budget | FIECoC on recommendation of VCP as Chairperson of MANCOM | | VP:OF and VP:FBE/CFO |
| Approval of expenditure on the erection of new buildings | | | |
| - Between R 5 000 001 and R10 000 000 | VCP on recommendation of MANCOM | | VP:FBE/CFO |
| - Between R10 000 001 and R20 000 000 | FIECoC on recommendation of VCP as Chairperson of MANCOM | | VP:FBE/CFO |
| - Above R20 000 000 | Council on recommendation of FIECoC | | VP:FBE/CFO |

9.12.2 Alterations to existing buildings and capital works exceeding R5 000 000

| Nature of function/activity | Approver | Regulatory reference | Initiator of action(s) |
|--|---|----------------------|------------------------|
| Determination of priorities/approval of projects and associated cost estimates | Council on recommendation of FIECoC | Sec 40(3) of Act, | VP:OF |
| Method of financing | VCP on recommendation of MANCOM | | VP:FBE/CFO |
| Appointment of panel of professional service providers | VCP on recommendation of MANCOM | | VP:OF |
| Appointment of professional team from panel | VCP on recommendation of MANCOM | | VP:OF |
| Acceptance of tenders | FIECoC on recommendation of VCP acting in concurrence with the Tender Committee | | VP:OF |
| Amendments to approved capital project budgets for alterations to buildings | | | |
| - Amendment 5% or less of approved project budget | VCP on recommendation of MANCOM | | VP:OF and VP:FBE/CFO |
| - Amendments of more than 5% of approved budget | FIECoC on recommendation of VCP as Chairperson of MANCOM | | VP:OF and VP:FBE/CFO |

| | | | |
|---------------------------------------|--|--|----------------------|
| Approval of expenditure | | | |
| - Between R5 000 001 and R10 000 000 | VCP on recommendation of MANCOM | | VP:OF and VP:FBE/CFO |
| - Between R10 000 001 and R20 000 000 | FIECoC on recommendation of VCP as Chairperson of MANCOM | | VP:OF and VP:FBE/CFO |
| - Above R20 000 000 | Council on recommendation of FIECoC | | VP:OF and VP:FBE/CFO |

9.12.3 Building maintenance programme

| Nature of function/activity | Approver | Regulatory reference | Initiator of action(s) |
|-----------------------------|---------------------------------------|----------------------|------------------------|
| Approval of programme | VP:OF on recommendation of VP:FBE/CFO | | ED: University Estates |

9.12.4 Minor capital works of less than R5 000 000 including renovations and alterations

NOTE: The institution's Supply Chain Management Policy regulates these expenditure approvals. For example, where this policy requires Tender Committee approval to be obtained first, the authorisation can only occur after such Tender Committee approval has been granted.

| Nature of function/activity | Approver | Regulatory reference | Initiator of action(s) |
|-----------------------------------|---------------------------------------|----------------------|------------------------|
| Determination of priorities | VP:OF on recommendation of VP:FBE/CFO | | ED: University Estates |
| Approval of expenditure | | | |
| Less than R1 000 000 | VP:OF on recommendation of VP:FBE/CFO | | ED: University Estates |
| Between R1 000 001 and R5 000 000 | VCP on recommendation of MANCOM | | ED: University Estates |

9.12.5 Renaming of buildings

| Nature of function/activity | Approver | Regulatory reference | Initiator of action(s) |
|--|------------------------------------|---|------------------------|
| Policy on naming and renaming of buildings | Council on recommendation of BCCoC | Policy: Naming and Renaming of UNISA Buildings and Other Properties | VP:ID |
| Approval of names of buildings | VCP on recommendation of MANCOM | | VP:ID |

9.13 Immovable property: Alienation, leasing and acquisition

| Nature of function/activity | Approver | Regulatory reference | Initiator of action(s) |
|--|---------------------------------------|--|------------------------|
| Alienation of property | Council on recommendation of FIECoC | <ul style="list-style-type: none"> • Sec 40(3) of Act • Sec 20(5) of Act | ED: University Estates |
| Long term lease of property (more than 3 years) | Council on recommendation of FIECoC | Sec 40(3) of Act | ED: University Estates |
| Short term lease of property (between 1 and 3 years) | VCP on recommendation of MANCOM | | ED: University Estates |
| Less than 1 year | VP:OF on recommendation of VP:FBE/CFO | | ED: University Estates |
| Acquisition of property | Council on recommendation of FIECoC | Sec 40(3) of Act | ED: University Estates |

9.14 Write off of movable assets

| Nature of function/activity | Approver | Regulatory reference | Initiator of action(s) |
|--|---------------------------------------|--|------------------------|
| Repair: Being non-economical | VP:OF on recommendation of VP:FBE/CFO | Policy on the Management of Movable Assets | VP:FBE/CFO Office |
| Outdated equipment: Disposing of items | VP:OF on recommendation of VP:FBE/CFO | | VP:FBE/CFO Office |
| Stock losses | VP:OF on recommendation of VP:FBE/CFO | | VP:FBE/CFO Office |

9.15 Investments

| Nature of function/activity | Approver | Regulatory reference | Initiator of action(s) |
|--|--|----------------------|------------------------|
| Investment policy | Council on recommendation of FIECoC | Investment Policy | VP:FBE/CFO |
| Appointment of investment brokers and advisors | FIECoC on recommendation of Operational Investment Committee | | VP:FBE/CFO |
| Changes/amendments of investment mandate | <ul style="list-style-type: none"> - FIECoC on recommendation of Operational Investment Committee (if outside the approved Strategic Asset Allocation) - Operational Investment Committee and MANCOM (if within the approved Strategic Asset Allocation) | | VP:FBE/CFO |
| Approval of terms of reference of Operational Investment Committee | FIECoC on recommendation of VCP | | VP:FBE/CFO |

10. EMPLOYEE MATTERS

10.1 SBL human resource matters

The Council delegations to the EDean: SBL are covered in the various subsections following next. VCP delegations to the EDean: SBL are covered separately in a set of VCP delegations.

| Nature of function/activity | Approver | Regulatory reference | Initiator of action(s) |
|--|------------------------------------|----------------------|------------------------|
| Approval of SBL specific HR systems and policies | Council on recommendation of HRCoC | SBL Charter | EDean: SBL |

10.2 Organisational structure of institution

| Nature of function/activity | Approver | Regulatory reference | Initiator of action(s) |
|--|--|----------------------|------------------------|
| Approval of senior management organisational structure for post levels 1-2 | Council on recommendation of HRCoC | | VCP |
| Approval of organisational structure for post levels 3-4 | VCP on recommendation of MANCOM and Senate where applicable | | ED:HR |
| Approval of organisational structure for post level 5 and lower: | | | ED:HR |
| With no additional financial implications | VP:ID on recommendation of Senex (academic positions) or on recommendation of ED:HR (professional and support positions) | | ED:HR |
| With additional financial implications | VCP on recommendation of Senex (academic positions) or on recommendation of MANCOM (professional and support positions) | | ED:HR |

10.3 Re-organisation of posts within an approved institutional structure

| Nature of function/activity | Approver | Regulatory reference | Initiator of action(s) |
|--|----------|----------------------|------------------------|
| Approval of new posts or scrapping of existing posts | | | |

| Nature of function/activity | Approver | Regulatory reference | Initiator of action(s) |
|--|---|----------------------|------------------------|
| - Post levels 1- 2 | Council on recommendation of HRCoC | | VCP and ED:HR |
| - Post levels 3-4 | VCP on recommendation of Senate where applicable and MANCOM | | ED:HR |
| - Post levels 5 and lower | Relevant MANCOM line function member and EDean: SBL where applicable on recommendation of ED:HR | | ED:HR |
| Non-academic posts | | | |
| Academic posts | VCP on recommendation of SENEX or EDean:SBL | | EDeans and EDean:SBL |
| Approval: Freezing/unfreezing of posts | | | |
| - Post levels 1-2 | EXCO on recommendation of HRCoC | | VCP and ED:HR |
| - Post levels 3-4 | VCP on recommendation of MANCOM | | ED:HR |
| Post levels 5 and lower | | | |
| - Academic posts | EDean or EDean: SBL where applicable on recommendation of ED:HR | | ED:HR |
| - Non-academic posts | Relevant MANCOM line function member and EDean: SBL where applicable on recommendation of ED:HR | | ED:HR |

10.4 Process for appointments (application to fill vacancy/application to appoint contractor)

| Nature of function/activity | Approver | Regulatory reference | Initiator of action(s) |
|-----------------------------|---|---|------------------------|
| Approval of procedure | | | |
| Post level 1 - 2 | Council after consultation with Senate and IF | Sec 34 of Act; Par 47 & 49(3) of IS | ED:HR |
| Post levels 3-4 | Relevant MANCOM line function manager | Procedure for the Appointment of Employees on P3 and P4 level | ED:HR |

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-31-

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|-----------------------------------|--|---|----------------|
| Post levels 4-6 Academic posts | Relevant EDean on recommendation of line function manager | Policy on the Recruitment, Selection, Appointment and Related Matters for Permanent Employees on Levels P5 to P18 | ED:HR |
| Non-academic posts | Relevant EDirector on recommendation of line function member | | ED:HR |
| Post levels 7-10 | Relevant EDean/E Director on recommendation of Line function manager | | Department: HR |
| Post level 11 and below | Relevant EDean/EDirector on recommendation of line function manager | | Department: HR |

10.5 Advertisements: Vacant posts

| Nature of function/activity | Approver | Regulatory reference | Initiator of action(s) |
|--|---|----------------------|------------------------|
| Approval of content of advertisement and its placing | | | |
| Post levels 1-2 | HRCoC on recommendation of Selection Committee | Par 47(7) of IS | ED:HR |
| Post levels 3-4 | P3 - VCP P4 – MANCOM line function member on recommendation of selection committee | | ED:HR |
| Post levels 5-6 Academic posts | VP:TLCESS or VP:RPGSIC on recommendation of selection committee | | Department: HR |
| Non-academic posts | Relevant MANCOM line function member on recommendation of selection committee | | Department: HR |
| Post levels 7-10 | Relevant EDean and EDirector on recommendation of selection committee | | Department: HR |
| Post level 11 and below | ED:HR or EDean on recommendation of selection committee | | Department: HR |

10.6 Approval of permanent appointments/contract appointments exceeding twelve months

For the signing of contracts/appointment letters etc see Section 11

| Nature of function/activity | Approver | Regulatory reference | Initiator of action(s) |
|--|------------------------------------|---|------------------------|
| Policy on recruitment and appointment (including policy on composition of Selection Committees and shortlisting of candidates) | Council on recommendation of HRCoC | <ul style="list-style-type: none"> • Par 47 of IS • Policy on the Recruitment, Selection, Appointment and Related Matters for Permanent Employees on Levels P5 to P18 | ED:HR |

| Nature of function/activity | Approver | Regulatory reference | Initiator of action(s) |
|---|--|---|------------------------|
| Appointment of Selection Committees | | | |
| Post levels 1-2 | Council on recommendation of HRCoC | Par 47 of IS | ED:HR |
| Post levels 3-4 | P3 - VCP P4 - Relevant MANCOM function manager | | ED:HR |
| Post levels 5 -6 | | | |
| Academic posts | VP:TLCESS or VP:RPGSIC or EDean: SBL on recommendation of EDean | Policy on the Recruitment, Selection, Appointment and Related Matters for Permanent Employees on Levels P5 to P18 | Department: HR |
| Non-academic posts | Relevant MANCOM line function manager including EDean: SBL on recommendation of EDirector | | Department: HR |
| Post levels 7 -10 | Relevant EDean or EDirector on recommendation of relevant line function manager | | Department: HR |
| Post level 11 and lower | Relevant EDean/EDirector on recommendation of line function manager | | Department: HR |
| Shortlisting of candidates | | | |
| Post levels 1-2 | Selection Committee | Par 47 of IS | ED:HR |
| Post levels 3-4 | Selection Committee | | ED:HR |
| Post levels 5-6 | Selection Committee | | Department: HR |
| Academic posts | Relevant MANCO line function manager or EDean: SBL on recommendation of ED:HR | Policy on the Recruitment, Selection, Appointment and Related Matters for Permanent Employees on Levels P5 to P18 | Department: HR |
| Non-academic posts Post levels 7 and lower | Relevant line function EDean or EDirector on recommendation of ED:HR | | Department: HR |
| Approval of appointments VCP | Council on recommendation of selection committee and after consultation with Senate and IF | Par 47 of IS | ED:HR |

| Nature of function/activity | Approver | Regulatory reference | Initiator of action(s) |
|-----------------------------------|--|---|------------------------|
| Post level 2 | Council on recommendation of selection committee and after consultation with Senate and IF | Par 49(3) read with par 47 of IS | VCP and ED:HR |
| Post level 3 | Council on recommendation of HRCoC | | ED:HR |
| Post level 4 | Council on recommendation of MANCOM on recommendation of selection committee | | ED:HR |
| Post levels 5-6 Academic posts | SENEX on recommendation of selection committee | Policy on the Recruitment, Selection, Appointment and Related Matters for Permanent Employees on Levels P5 to P18 | Department: HR |
| Non-academic posts | Relevant MANCOM line function manager on recommendation of selection committee | | Department: HR |
| Post levels 7 -10 | Relevant line function EDean or EDirector on recommendation of selection committee | | Department: HR |
| Post level 11 and lower | ED:HR or EDean: SBL on recommendation of line function manager | | Department: HR |

10.7 Appointment of academic associates*

* Includes Professor Extraordinary, Honorary Professor, Emeritus Professor, Post Doctoral or Research Fellow

| Nature of function/activity | Approver | Regulatory reference | Initiator of action(s) |
|--|---|--|-------------------------|
| Policy on appointment of academic associates | Council on recommendation of Senate and ASACoC | <ul style="list-style-type: none"> • Policy on Academic Associates • Policy on Awarding the Title of Emeritus Professors • Policy on Postdoctoral Fellows | VP:TLCESS and VP:RPGSIC |
| Appointment of academic associates | VP:TLCESS or VP:RPGSIC or ED:SBL on recommendation of SENEX | | EDean |

10.8 Approval of temporary (TES), part-time and contract appointments not exceeding twelve months

| Nature of function/activity | Approver | Regulatory reference | Initiator of action(s) |
|---|--|----------------------|---|
| Policy on recruitment and appointment | Council on recommendation of HRCoC | | ED:HR |
| Appointment of employee Post levels 1-2 | EXCO on recommendation of HRCoC | | ED:HR |
| Post levels 3-4 Post levels 5-6 Post levels 7 -10 Post level 11 and lower | VCP on recommendation of relevant MANCOM line function manager Relevant MANCOM line function manager or EDean: SBL on recommendation of EDean/EDirector Relevant EDean, EDirector and EDean: SBL on recommendation of line function manager Relevant EDean, EDirector and EDean: SBL on recommendation of line function manager | | ED:HR Department: HR Department: HR Department: HR |
| <p>Independent contractors</p> <p>Independent contractors are appointed to assist permanent employees in predetermined tasks and functions to fulfil the operational needs of the University. They include but are not limited to all tutors, invigilators, Master's and doctoral supervisors, markers, examiners, teaching assistants, external examiners, online mentors and moderators, etc.</p> <p>Independent contract means a person who performs certain specified work or produces a specific result or task. An independent contractor is not an employee</p> | | | |
| Above R500 000 per 12 months | Relevant MANCOM line function manager on recommendation of EDean/EDirector | | EDirector |
| Less than R500 000 per 12 months | Relevant EDean or EDirector on recommendation of line function manager | | Line function manager |

10.9 Appointment: Acting and secondment capacity*

* For periods shorter than 1 month the relevant line function manager appoints an employee on the same of higher post level in an acting or secondment capacity

| Nature of function/activity | Approver | Regulatory reference | Initiator of action(s) |
|---|---|---|------------------------|
| Policy on acting appointments | Council on recommendation of HRCoC | <ul style="list-style-type: none"> • Par 48 of IS • Acting and Secondment Policy for Directors and Above • Policy on the Recruitment, Selection, Appointment and Related Matters for Permanent Employees on Levels P5 to P18 | ED:HR |
| Approval: Acting in supervisory/management position for periods longer than 1 month | | | |
| VCP | Chairperson of Council on recommendation of EXCO | | ED:HR |
| Post level 2-4 | VCP on recommendation of relevant MANCOM line function manager (P2 - P3) Relevant MANCOM line function manager on recommendation of EDean/EDirector (P4) | | ED:HR |
| Post levels 5-6 | Relevant MANCOM line function manager on recommendation of EDean/EDirector | | Department: HR |
| Post levels 7-10 | Relevant EDean, EDean: SBL or EDirector on recommendation of line function manager | | Department: HR |
| Post level 11 and lower | EDirector or EDean: SBL on recommendation of line function manager | | Department: HR |
| Approval: Acting in supervisory/management position for periods less than 30 days/one month | | | |
| Post level 4 and lower | Relevant EDean/EDirector on recommendation of line function manager | | Line function manager |

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-37-

10.10 Transfer/redeployment of employees

| Nature of function/activity | Approver | Regulatory reference | Initiator of action(s) |
|--|--|---|------------------------|
| Policy on transfer/deployment of employees | Council on recommendation of HRCoC | <ul style="list-style-type: none"> Acting and Secondment Policy for Directors and Above Policy on the Recruitment, Selection, Appointment and Related Matters for Permanent Employees on Levels P5 to P18 | ED:HR |
| Approval of transfer/redeployment | | | |
| Post level 1 | Council on recommendation of HRCoC | | ED:HR |
| Post level 2 | HRCoC on recommendation of VCP | | ED:HR |
| Post level 3 - 4 | VCP on recommendation of relevant MANCOM line function manager | | ED:HR |
| Post levels 5 - 6 Academic posts | Senex on recommendation of VP:TLCESS or VP:RPGSIC | | Line function manager |
| Non-academic posts | Relevant MANCOM line function manager on recommendation of EDirector | | Line function manager |
| Post levels 7 -10 | Relevant EDean/EDirector on recommendation of relevant line function manager | | Line function manager |
| Post level 11 and lower | Relevant EDean/EDirector on recommendation of relevant line function manager | | Line function manager |

10.11 Promotion of employees

| Nature of function/activity | Approver | Regulatory reference | Initiator of action(s) |
|-------------------------------|--|----------------------|------------------------|
| Policy on employee promotions | Council on recommendation of HRCoC | | VP:ID |
| Approval of promotions | | | |
| Post levels 5 - 9 | | | ED:HR |
| Academic posts | Senex on recommendation of selection committee | | Department: HR |

10.12 Performance management

| Nature of function/activity | Approver | Regulatory reference | Initiator of action(s) |
|--|--|--|------------------------|
| Determination of system of performance management including payment of merit bonuses | Council on recommendation of HRCoC | <ul style="list-style-type: none"> • Performance Management Policy for Extended Management and Directors • Integrated Performance Management System Policy (P5-18) • Performance Bonus Policy (P5-19) | VP:ID and/or ED:HR |
| Approval of merit/performance bonus within budget | | | |
| Post Levels 1-2 | Council on recommendation of REMCoC | Remuneration Policy for Extended Management and Directors | ED:HR |
| Post Levels 3-4 | REMCoC | Remuneration Policy for Extended Management and Directors | ED:HR |
| Post Levels 5-6 | MANREM (Management Remuneration Committee) | | Department: HR |
| Post levels 7-10 | MANREM | | Department: HR |
| Post levels 11 and lower | MANREM | | Department: HR |

10.13 Training and development

| Nature of function/activity | Approver | Regulatory reference | Initiator of action(s) |
|---|------------------------------------|---------------------------------|------------------------|
| Policy on training and employee development | Council on recommendation of HRCoC | Human Resources Training Policy | VP:ID and/or ED:HR |

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-39-

| Nature of function/activity | Approver | Regulatory reference | Initiator of action(s) |
|---|------------------------------------|----------------------|------------------------|
| Approval of attendance by employees of training opportunities | Line function manager (RC manager) | | Line function manager |

10.14 Conditions of employment

10.14.1 General conditions of employment (excluding remuneration)

| Nature of function/activity | Approver | Regulatory reference | Initiator of action(s) |
|---|------------------------------------|--|------------------------|
| Policy on general conditions of employment: Post Levels 1-4 | Council on recommendation of HRCoC | <ul style="list-style-type: none"> • Sec 34 of Act, • Par 46(1) of IS • Remuneration Policy for Extended Management and Directors | VP:ID and/or ED:HR |
| Policy on general conditions of employment: Post Levels 5 and lower | Council on recommendation of HRCoC | <ul style="list-style-type: none"> • Sec 34 of Act, • Par 7(2)(f) of IS | ED:HR |

10.14.2 Remuneration of employees

| Nature of function/activity | Approver | Regulatory reference | Initiator of action(s) |
|--|--|--|------------------------|
| Remuneration policy | Council on recommendation of REMCoC | <ul style="list-style-type: none"> • Remuneration Policy • Remuneration Policy for Extended Management and Directors | VP:ID and VP:FBE/CFO |
| Salary ranges for post levels and salary benchmarking levels | REMCoC | | VP:ID and VP:FBE/CFO |
| Annual salary increase for employees | P1 –P4 – REMCoC P5 - P19 - MANREM | | VP:ID and VP:FBE/CFO |
| Salary for individual appointments | | | |
| Post level 1-2 | REMCoC | Terms of reference: Remuneration Committee of Council | ED:HR |
| Post level 3-4 | VCP on recommendation of ED:HR | Terms of reference of Remuneration Committee of Council, par 6.2(a) of | ED:HR |
| Post level 5-6 | VP:ID on recommendation of ED:HR | Terms of reference of Management Remuneration Committee, par 4.1 | Department: HR |
| Post level 7-10 | ED:HR on recommendation of relevant HR line function manager (Rem) | Terms of reference of Management Remuneration Committee, par 4.1 | Department: HR |

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-40-

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|-------------------------|--|--|----------------|
| Post level 11 and lower | ED:HR on recommendation of relevant HR line function manager (Rem) | | Department: HR |
|-------------------------|--|--|----------------|

10.14.3 External work

| Nature of function/activity | Approver | Regulatory reference | Initiator of action(s) |
|---|---|--|------------------------|
| Policies and procedures | Council on recommendation of HRCoC | Policy on Approval of Outside Work During UNISA Official Hours for Academic and Professional Employees | ED:HR |
| Approval of applications (within approved policy): Post levels 2-4 | VCP on recommendation of MANCOM line function manager and recommendation of HR Department | | ED:HR |
| Post levels 5-6 | EDean/EDirector on recommendation of HR Department | | ED:HR |
| Post Levels 7-10 | EDean or EDirector on recommendation of HR Department | | Line function manager |
| Post levels 11 and below | EDean/EDirector on recommendation of HR Department | | Line function manager |
| Applications: Deviation from policy | EDean/EDirector on recommendation of HR Department | | Line function managers |

10.14.4 Medical aid scheme

| Nature of function/activity | Approver | Regulatory reference | Initiator of action(s) |
|---|------------------------------------|----------------------|------------------------|
| Approval of scheme and determination of contributions | Council on recommendation of HRCoC | | VP:ID and/or ED:HR |

10.14.5 Pension fund

| Nature of function/activity | Approver | Regulatory reference | Initiator of action(s) |
|---|------------------------------------|----------------------|-------------------------|
| Approval of fund and determination of contributions | Council on recommendation of HRCoC | | VP:FBE/CFO and/or ED:HR |

10.14.6 Group life insurance

| Nature of function/activity | Approver | Regulatory reference | Initiator of action(s) |
|---|------------------------------------|----------------------|-------------------------|
| Approval of scheme and determination of contributions | Council on recommendation of HRCoC | | VP:FBE/CFO and/or ED:HR |

10.14.7 Overtime

| Nature of function/activity | Approver | Regulatory reference | Initiator of action(s) |
|---|---|----------------------|------------------------|
| Policy on overtime work | Council on recommendation of HRCoC | Policy on Overtime | ED:HR |
| Approval of application (within policy) | HR Department on recommendation of ED line function manager | | Line function manager |
| Approval of application (outside of policy) | VP:ID on recommendation of MANCOM line function manager | | Department: HR |

10.14.8 Leave

| Nature of function/activity | Approver | Regulatory reference | Initiator of action(s) |
|---|---|--|------------------------|
| Policy with regard to leave (all types) and leave benefits | Council on recommendation of HRCoC | <ul style="list-style-type: none"> Policy on Leave Policy: Executive Development Leave for Members of Senior and Extended Management Policy on Study and Examination Assistance for Formal Qualifications | ED:HR |
| Approval of leave applications: | | | |
| - All types of leave for post level 1 | Chairperson of Council or of HRCoC | | VCP |
| - All types of leave for post level 2 | VCP | | Members of MANCOM |
| - Vacation, special and examination leave, etc. for all other employees | Relevant line function managers | | Relevant employee |
| - Sabbatical and research leave for all other employees | VP:RPGSIC on recommendation of relevant EDean/EDirector | <ul style="list-style-type: none"> Policy on Research and Development Leave for Professional Employees Policy on Research and Development Leave for Academic Employees | EDeans/EDirectors |

10.14.9 Job grading

| Nature of function/activity | Approver | Regulatory reference | Initiator of action(s) |
|---|---|--|------------------------|
| Determination of system of job grading and evaluation | Council on recommendation of HRCoC | Job Evaluation Policy | ED:HR |
| Approval of job evaluation results: | | | |
| - Post level 1 | HRCoC | Terms of reference: Human Resources Committee of Council | ED:HR |
| - Post levels 2 | HRCOC on recommendation of VCP | Terms of reference: Human Resources Committee of Council | ED:HR |
| - Post levels 3-4 | HRCoC on recommendation of VCP on recommendation of ED:HR | Terms of reference: Management Remuneration Committee | ED:HR |
| - Post levels 5-6 | Relevant MANCOM line function member on recommendation of ED:HR | Job Evaluation Policy, par 5.11.4 | Department: HR |
| - Post levels 7-10 | Relevant MANCOM line function member on recommendation of ED:HR | Job Evaluation Policy, par 5.11.4 | Department: HR |
| - Post levels 11 and lower | Relevant MANCOM line function member on recommendation of ED:HR | | Department: HR |
| - Appeal of job evaluation outcomes | | | |
| - Post levels 2 | EXCO on recommendation of VCP | | ED:HR |
| - Post levels 3-4 | EXCO on recommendation of VCP | | ED:HR |
| - Post levels 5-6 | VCP on recommendation of MANCOM line function | | Department: HR |
| - Post levels 7-10 | VCP on recommendation of MANCOM line function | | Department: HR |
| - Post level 11 and lower | VCP on recommendation of MANCOM line function | | Department: HR |

10.14.10 Termination of services including resignation and retirements as well as approval of 'short notice'

| Nature of function/activity | Approver | Regulatory reference | Initiator of action(s) |
|---|------------------------------------|---|------------------------|
| Policy on termination of service including short term resignation | Council on recommendation of HRCoC | Policy for Termination of Employment by Employees | VP:ID |
| Approval: Termination of Service | | | |
| - Within policy: | | | |
| - Post level 1 | EXCO on recommendation of HRCoC | | ED:HR |

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-43-

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|----------------------------|--------------------------------------|--|----------------|
| - Post level 2 | VCP | | |
| - Post level 3-4 | Relevant MANCOM line function member | | ED:HR |
| - Post levels 5-6 | EDean or EDirector | | Department: HR |
| - Post levels 7-10 | EDean or EDirector | | Department: HR |
| - Post Levels 11 and lower | EDean/EDirector | | Department: HR |

10.14.11 Voluntary severance packages (VSPs)

| Nature of function/activity | Approver | Regulatory reference | Initiator of action(s) |
|-----------------------------|--|----------------------|---|
| Policy on VSPs | Council on recommendation of HRCoC (P1 - P4) Collective agreement (P5 – P19) | | ED:HR and ED:F |
| Approval: VSP | | | |
| Within policy: | | | |
| - Post Levels 1-2 | Council on recommendation of HRCoC | | ED:HR and ED:F |
| - Post Level 3 – 4 | Council on recommendation of VCP on recommendation of relevant MANCOM line function member | | ED:HR and ED:F |
| - Post Levels 5-6 | MANCOM | | Department: HR and Department: Finance |
| - Post levels 7-10 | MANCOM | | Department: HR and Department: Finance |
| - Post level 11 and below | MANCOM | | Department: HR and Department: Finance |
| Outside policy | | | |
| - Post levels 3-6 | Council on recommendation of VCP on recommendation of relevant MANCOM line function member | | ED:HR |
| - Post level 7-10 | MANCOM | | Department: HR |
| - Post level 11 and lower | MANCOM | | Department: HR |

10.14.12 Employee relocation expenses

| Nature of function/activity | Approver | Regulatory reference | Initiator of action(s) |
|-----------------------------|---|--|--------------------------------|
| Policy | Council on recommendation of HRCoC | Policy on Transfer and Relocation Assistance | VP:ID and CFO |
| Application for relocation | Director: Remuneration and Administration | | Relevant line function manager |
| Relocation claims | Deputy Director: Salary Administration | | Relevant line function manager |

10.14.13 Discipline of employees

| Nature of function/activity | Approver | Regulatory reference | Initiator of action(s) |
|--|--|----------------------------|------------------------|
| Policy and procedures | Council on recommendation of HRCoC | Employee Disciplinary Code | ED:HR |
| Individual disciplinary cases: Outcome of hearing | | | |
| Post levels 1-2 | EXCO on recommendation of HRCoC | | ED:HR |
| Post levels 3-4 | MANCOM line function member on recommendation of VP:ID | | ED:HR |
| Post levels 5-6 | Relevant MANCOM line function member including EDean: SBL on recommendation by ED:HR | | ED:HR |
| Post levels 7-10 | Relevant EDean/EDirector on recommendation of ED:HR | | Department: HR |
| Post Levels 11 and below | Relevant line function manager on recommendation of Department: HR | | Department: HR |
| Appeals on outcomes of individual disciplinary cases | | | |
| Post levels 1-2 | Council on recommendation of HRCoC | | VCP or VP:ID |
| Post levels 3-4 | HRCoC on recommendation of VCP | | ED:HR |
| Post levels 5-6 | VCP on recommendation of ED:HR | | Department: HR |
| Post levels 7-10 | Relevant MANCOM line function member including EDean:SBL on recommendation of ED:HR | | Department: HR |
| Post levels 11 and lower | Relevant EDean/EDirector on recommendation of HR Office | | Department: HR |

10.14.14 Hours of duty

| Nature of function/activity | Approver | Regulatory reference | Initiator of action(s) |
|---|--|----------------------------------|------------------------|
| Policy on work presence and office hours | EXCO on recommendation of HRCoC | Policy on Official Working Hours | ED:HR |
| Deviations from policy on work presence and on office hours | EDean/EDirector on recommendation of line function manager | | Line function employee |

10.14.15 Employee organisations

| Nature of function/activity | Approver | Regulatory reference | Initiator of action(s) |
|--|------------------------------------|----------------------|------------------------|
| Policy on recognition of employee organisations | Council on recommendation of HRCoC | | VP:ID |
| - Official recognition of employee organisations | EXCO on recommendation of HRCoC | | VP:ID |
| - Collective agreements | VCP on recommendation of MANCOM | | VP:ID and ED:LS |

10.15 Long service awards

| Nature of function/activity | Approver | Regulatory reference | Initiator of action(s) |
|----------------------------------|--|-------------------------------|------------------------|
| Policy on long service awards | Council on recommendation of HRCoC | Policy on Long Service Awards | ED:HR |
| Approval of awards within policy | Automated process based on appointment date | | ED:HR |
| Awards in deviation from policy | VCP on recommendation of relevant MANCOM line function manager | | ED:HR |

11. CONTRACTS: APPROVALS AND SIGNING

11.1 Employment contracts of already approved permanent appointments and contracts exceeding 1 year (Policy on Official Signing Powers, par 8.3)

| Post level | Main signatories | Initiator of action(s) |
|--------------------------|------------------------|------------------------|
| Post levels 1-2 | Chairperson of Council | VCP and/or VP:ID |
| Post levels 3-4 | VCP | ED:HR |
| Post Levels 5-6 | ED: HR | Department: HR |
| Post Levels 7-10 | ED:HR | Department: HR |
| Post Levels 11 and lower | ED:HR | Department: HR |

11.2 Employment contracts of already approved appointments (part-time, temporary and contracts not exceeding 1 year)

| Employee component | Main signatories | Initiator of action(s) |
|--------------------------|------------------------|------------------------|
| Post level 1 | Chairperson of Council | VCP and/or VP:ID |
| Post level 2-3 | VCP | ED:HR |
| Post level 4-6 | VP:ID | Department: HR |
| Post levels 7-10 | ED:HR | Department: HR |
| Post levels 11 and lower | ED:HR | Department: HR |

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-46-

11.3 Non-commercial academic, research and non-research contracts

| Nature of agreement | Main signatories | Co-signatories | Initiator of action(s) |
|---|---|-----------------------|----------------------------|
| Policies on non-academic academic, research and non-research contracts | Council on recommendation of EXCO | | VP:RPGSIC and VP:TLCESS |
| Establishing student exchange partnerships | VP:RPGSIC | VP:TLCESS | EDeans |
| External research contracts | VCP | VP:RPGSIC | VP:RPGSIC |
| Internal research contracts (students and employees) | Relevant MANCOM line function manager | Line function manager | Line function manager |
| Intellectual property agreement in respect of a particular research contracts | VP:RPGSIC | ED:LS | Department: Legal Services |
| Non-disclosure (secrecy) agreement | VP:RPGSIC | ED: LS | Department: Legal Services |
| Agreements with international parties or other institutions: | | | |
| - Memorandum of Understanding | VCP on recommendation of MANCOM and ED:LS | VP:RPGSIC | Department: Legal Services |
| - Employee exchange agreements | VP:RPGSIC | ED:HR | Department: HR |
| - Student exchange agreements | VP:TLCESS | EDeans | EDeans |

11.4 Major building and capital work contracts for already approved building projects exceeding R5 000 000 (Policy on Official Signing Powers, par 6.2)

| Contract amount | Main signatories | Co-signatories | Initiator of action(s) |
|---|--|----------------|------------------------|
| More than R 5 000 000 but not exceeding R10 000 000 | Relevant MANCOM line function manager on recommendation of ED:LS | VP:OF | VP:OF |
| Exceeding R10 000 000 | VCP on recommendation of VP:OF and ED: LS | VP:OF | VP:OF |

11.5 Minor building and capital work contracts for already approved projects (less than R5 000 000)

| Contract amount | Main signatories | Co-signatories | Initiator of action(s) |
|---|--|----------------|------------------------|
| Not exceeding R1 000 000 | Relevant MANCOM line function manager on recommendation of ED:LS | VP:OF | VP:OF |
| Exceeding R1 000 000 but less than R5 000 000 | VCP on recommendation of VP:OF and ED:LS | VP:OF | VP:OF |

11.6 Operational contracts (excluding building projects, research and human resources contracts) in terms of approved institutional policies

| Contract amount | Main signatories | Co-signatories | Initiator of action(s) |
|-----------------------------------|--|---------------------------------------|------------------------|
| Not exceeding R1 000 000 in value | Relevant MANCOM line function manager on recommendation of ED:LS | Relevant line function manager | Line function manager |
| Exceeding R1 000 000 in value | VCP on recommendation of ED:LS | Relevant MANCOM line function manager | Line function manager |

11.7 Commercial contracts

| Contract amount | Main signatories | Co-signatories | Initiator of action(s) |
|---|---|---|---------------------------------------|
| Not exceeding R1 million in value | Relevant EDean/EDirector including EDean: SBL | ED:LS | Line function manager |
| Exceeding R1 000 000 in value but less than R5 000 000 | MANCOM line function manager | Relevant EDean or Executive Director and ED:LS | Relevant EDean or Executive Director |
| Exceeding R5 000 000 in value but less than R10 000 000 | VCP | Relevant MANCOM line function manager and ED:LS | Relevant MANCOM line function manager |
| Exceeding R10 000 000 but less than R20 000 000 | VCP after approval by FIECoC | VP:OF and ED:LS | Relevant MANCOM line function manager |
| Exceeding R20 million | VCP after approval by Council | VP:OF and ED:LS | Relevant MANCOM line function manager |

12. MISCELLANEOUS MATTERS

12.1 Outsourcing

| Nature of function/activity | Approver | Regulatory reference | Initiator of action(s) |
|---|--|----------------------|------------------------|
| Approval of policies regarding outsourcing | Council on recommendation of HRCoC and FIECoC | | VP: ID and VP: FBE/CFO |
| Awarding of outsourcing tenders and contracts | VCP, in concurrence with the Tender Committee and on recommendation of ED:LS | | VP: FBE/CFO |

12.2 Communications and Marketing

| Nature of function/activity | Approver | Regulatory reference | Initiator of action(s) |
|-----------------------------|---------------------------|---|------------------------|
| Policy on corporate | Council on recommendation | <ul style="list-style-type: none"> Policy: Use of the University Coat of | VP:ID |

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-48-

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|--------------------------------|--|---|-------|
| identity/marketing plan | of BCCoC | Arms and other Brand Images • Student Marketing Protocol | |
| Student recruitment procedures | VCP on recommendation of MANCOM line function member | | VP:ID |
| Fundraising procedures | VCP on recommendation of MANCOM line function member | | VP:ID |

12.3 International travel

| Nature of function/activity | Approver | Regulatory reference | Initiator of action(s) |
|---|---|--|--|
| Policy on international travel | Council on recommendation of FIECoC | Policy on Travel, Accommodation and Related Expenses | VP:FBE/CFO |
| Approval of individual overseas visits funded by the institution: | | | |
| - VCP | Chairperson of Council | | VCP |
| - Post levels 2-4 | VCP | | Member of MANCOM and individual employee |
| - Employees: Post levels 5-6 | Relevant MANCOM line function manager or EDean: SBL | | Individual employee |
| - Employees: Post levels 7-10 | EDean or EDirector | | Individual employee |
| - Employees: Post level 11 and lower | Relevant line function manager | | Individual employee |
| Approval of individual overseas visits fully funded by an external party: | | | |
| - VCP | Chairperson of Council | | VCP |
| - Post level 2 | VCP | | Member of MANCOM |
| Other employees | Line function manager | | Individual employee |

12.4 Computer services and equipment

| Nature of function/activity | Approver | Regulatory reference | Initiator of action(s) |
|-----------------------------|-------------------------------------|----------------------|------------------------|
| Approval of ICT policies | Council on recommendation of ICTCoC | | ED:ICT Governance |

| Nature of function/activity | Approver | Regulatory reference | Initiator of action(s) |
|--|--|----------------------|------------------------|
| Approval of ICT control frameworks including disaster recovery | ICTCoC on recommendation of VCP as Chairperson of MANCOM | | ED:ICT Governance |
| Annual determination of guidelines for ICT services and equipment specifications | VCP on recommendation of VP:ICT | | ED:ICT Governance |
| Deviations from policy | VCP on recommendation of VP:ICT | | ED:ICT |

12.5 Legal action

| Nature of function/activity | Approver | Regulatory reference | Initiator of action(s) |
|--|---|----------------------|---------------------------------------|
| Legal action: | | | |
| Summons or other legal action on non-payment of monies owed to institution | VCP on recommendation of ED:LS | | Relevant MANCOM line function manager |
| Defending legal action instituted against the institution | VCP on recommendation of ED:LS | | ED:LS |
| Other legal action to be instituted by the institution | VCP after consultation with Chairperson of Council and on recommendation of ED:LS | | ED:LS |
| Appointment of mediator or arbitrator on behalf of the University | VCP on recommendation of ED:LS | | ED:LS |
| Appointment of legal advisors | VCP on recommendation of ED:LS and Tender Committee | | ED:LS |

12.6 Formation of trusts and companies

| Nature of function/activity | Approver | Regulatory reference | Initiator of action(s) |
|---|-----------------------------------|----------------------|------------------------|
| Policy on formation of trusts and/or university companies | Council on recommendation of EXCO | | ED:LS |
| Establishment of trusts or companies within policy | VCP on recommendation of MANCOM | | ED:LS |
| Establishment of trusts or companies outside of policy and/or business plan | Council on recommendation of EXCO | | ED:LS |

12.7 Joint ventures of a commercial nature

| Nature of function/activity | Approver | Regulatory reference | Initiator of action(s) |
|--|---|----------------------|------------------------|
| Policy on commercial joint ventures | Council on recommendation of EXCO | | VP:RPGSIC |
| Establishment of joint ventures within policy | VCP on recommendation of MANCOM and ED:LS | | VP:RPGSIC |
| Establishment of joint ventures outside policy | Council on recommendation of EXCO | | VP:RPGSIC |

12.8 University records and archives

| Nature of function/activity | Approver | Regulatory reference | Initiator of action(s) |
|---|--------------------------------------|---------------------------|------------------------|
| Policy on records and archives | Council on recommendation of EXCO | Records Management Policy | Registrar |
| Access to university records and archives | Registrar on recommendation of ED:LS | | Registrar's Office |

12.9 Occupational health and safety

| Nature of function/activity | Approver | Regulatory reference | Initiator of action(s) |
|--|-----------------------------------|--|------------------------|
| Policy on occupational health and safety | Council on recommendation of EXCO | Policy: Occupational Health and Safety | VP:OF |

12.10 Intellectual Property (including copyright)

| Nature of function/activity | Approver | Regulatory reference | Initiator of action(s) |
|-----------------------------|---|------------------------------|------------------------|
| Policy on IP | Council on recommendation of VCP and Senate | Intellectual Property Policy | VP:RPGSIC and ED: LS |

12.11 Delegation document

| Nature of function/activity | Approver | Regulatory reference | Initiator of action(s) |
|-----------------------------|-----------------------------------|----------------------|------------------------|
| Approval of document | Council on recommendation of EXCO | | VCP and Registrar |

