**DRAFT RULES FOR DELEGATION OF POWERS AND RESPONSIBILITIES**

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DRAFT RULES FOR DELEGATION OF POWERS AND RESPONSIBILITIES

1. INTRODUCTION

The power and responsibility to manage Stellenbosch University (SU) is assigned by the Higher Education Act, Act 101 of 1997, as well as by the University’s Statute, to the Rector as Chief Executive Officer. This power and responsibility entails the governance of a wide range of aspects, being the academic, administrative, financial and physical facilities, as well as the staff and students of SU.

Subject to a rule approved by the SU Council, the Rector uses a set of delegations to assist him in the execution of this extensive task and to determine an appropriate procedure.

In the use of such delegations, there should be compliance with the requirements and principles of the King III Report on Corporate Governance. Principle 2.17 of the report requires that Council compile a framework for delegation and, in particular, according to 2.17.3, that the level of materiality should be determined and a framework for the delegation of authority be approved.

In this document the following concepts have the indicated meaning, unless a different meaning is evident from the context:

**Liability:** Legally speaking, exposure to sanctions as a result of non-compliance with a responsibility

**Power:** The legally granted ability to perform a function

**Delegation:** An instruction to exercise an indicated power, carry out a duty, or in general to handle the powers and duties that are related to an indicated function or functions

**Committees and delegations:** The chairperson of a committee also serves as that committee’s delegate

**Responsibility:** A duty to perform a function

**Proxy/Power of attorney:** The power to legally enter into a contract on behalf of the University. ‘Authorisation’ and ‘signing power’ have a similar meaning.
2. PRINCIPLES AND GUIDELINES FOR DELEGATION OF POWERS AND RESPONSIBILITIES

These rules provide the foundation for the process of delegating power at SU. Delegation of power is a key element of effective control and good corporate governance, and is done in terms of a fixed framework and strong discipline.

2.1 In terms of Section 20(4) of the Higher Education Act, Act 101 of 1997 (hereafter referred to as ‘the Act’), SU is a juristic person whose purpose it is to offer study programmes and related teaching activities and to undertake research (Sections 1, 28(1) and 32(2)(b) of the Act); to establish academic, physical and support service infrastructure and financial processes, and to run all the aforementioned activities in a sustainable manner.

2.2 The power and responsibility to control and manage these activities is assigned by the Act and the SU Statute to Council (see Sections 1 and 27(1) of the Act and paragraph 11(1) of the Statute) and the Rector as Chief Executive Officer of SU (see paragraph 4(4) of the Statute and Section 30 of the Act) respectively.

2.3 Since no single organ or office-bearer can manage all the activities of a complicated organisation, provision needs to be made for powers and obligations relating to governance to be allocated to various organs and functionaries of the organisation by means of delegation (paragraph 3, Council decision of 9 December 1999).

2.4 The aim of these rules is to organise the delegation of powers and responsibilities with a view to legal decision making, operational and administrative efficiency and good corporate governance, among others by way of the following:

2.4.1 The establishment of a uniform and consistent, university-wide appropriate framework;

2.4.2 The clarification of the interrelationships between institutions and office-bearers (including lines of responsibility and reporting);

2.4.3 The passing on of decision making to the most effective management level;

2.4.4 The promotion of informed and accountable decision making and reporting;
2.4.5 The accountable and clear granting of power of attorney to enter into contracts on behalf of the University;
2.4.6 The limitation and management of risks; and
2.4.7 The establishment of mechanisms and procedures for the management of the delegation of power.

2.5 With a view to the aforementioned, it is stated that the delegation of powers and responsibilities at SU:
2.5.1 shall take place in accordance with the principles below;
2.5.2 shall be anchored in the hierarchy of the organogram of SU, as it is contained in Addendum 1 to this document;
2.5.3 shall be put into operation by means of the standard delegation documents in Section 3 of this document, in accordance with the stipulations of the delegation framework that are contained in Addendum 5 to this document; and
2.5.4 shall be managed by means of the delegation register and list of proxies.

2.6 Delegation of power in terms of these rules is subject to the stipulations of the Higher Education Act, No 101 of 1997, as amended, and any other appropriate legislation, the University’s Strategic Framework, the business plans of the University and the relevant environments of centres of responsibility, the approved budget, as well as the codes of ethics and conduct and other Council decisions.

2.7 Delegation at SU takes place in accordance with the general principles of Contract and Administrative Law, and with a view to the protection and proper use of University assets.

2.8 These rules and addenda generally apply with regard to delegation at SU as embodied in the delegation framework (Addendum 5). However, they do not prevent delegation in terms of particular policy, or ad hoc delegations or granting of proxy in specific cases.

2.9 Granting and exercising delegations and powers of attorney should take place in accordance with the following principles:
2.9.1 The delegation of a power or of a responsibility takes place when those with certain powers empower certain institutions or the holders of certain posts to carry out certain activities on behalf of the University, unless it is expressly stated that the delegation should be done without power of disposal.
2.9.2 An act of delegation does not deprive the delegator of the ability to exercise the particular powers or to carry out the specific responsibilities.

2.9.3 Only written and clearly defined acts of delegation by a qualified delegator shall be valid. The person to whom delegation has been done also has to accept the relevant delegation in writing.

2.9.4 Delegations to the holder of a post shall only be valid with regard to the sphere of responsibility of the functionary concerned, and as such are a reflection of the organisational structure. The delegated powers are associated with the office and not with the person.

2.9.5 If the person to whom a power has been delegated is temporarily not able to act, the delegator may act himself or appoint an observer.

2.9.6 Delegations are subject to such limitations, conditions and instructions as laid down by the delegator. Deviation from such limitations, conditions and instructions in specific cases shall only take place on the basis of permission that is granted by the delegator in relation to that case.

2.9.7 Action on the basis of a delegation takes place in accordance with all appropriate statutory requirements, and in terms of University policy and procedures. Where necessary, such compliance is recorded in writing.

2.9.8 The recipient of a delegation is not in a position to delegate his delegated powers and responsibilities to another, unless the power of subdelegation is expressly or by implication evident from the delegation instructions.

2.9.9 If a person or institution acts in accordance with a delegation, the delegator may not set such action aside, unless a different intention is evident from the delegation, but the delegation has to be revised to prevent future unacceptable outcomes.

2.9.10 A delegator may withdraw, qualify or amend a delegated power or responsibility, or instruct that the recipient of a delegation may temporarily not act.

2.9.11 All delegation instructions as well as the acceptance thereof should be recorded in writing or electronically in a delegation
register that is kept up to date on a continuous basis. In terms of this, delegations are set out according to a fixed and consistent style.

2.9.12 All delegations are revised by Council from time to time, whether at their own initiative or on the recommendation of management.

2.9.13 A delegation may not be exercised if the delegated person has conflicting interests.

2.9.14 Delegations are equally important whether in the case of teaching and learning, research, community interaction, finance, support services and operating units.

2.9.15 Delegations in terms of the Occupational Health and Safety Act, Act 85 of 1993, stand alongside ordinary delegations, and are also linked to the hierarchy of the organisational structure (as in Addendum 1). This also includes the responsibilities that the Chief Risk Officer (Rector) has determined in terms of the levels of risk management at different levels of the organisation (see Addendum 2).

2.9.16 The delegator must ensure that the delegation of power is communicated to the delegated person clearly and understandably and conveyed properly.

2.10 The consideration of levels of materiality is a very important aspect of the exercise of delegation. Council has to determine the acceptable level of materiality for the events/transactions that are divulged to Council and that have to be approved by Council, in terms of principle 2.17.3 of the King III Report on Corporate Governance.

2.10.1 There are a number of existing approval levels for different actions, as well as statutory requirements for the sale and purchase of immovable property and the negotiation of loans and overdraft agreements in terms of Sections 20 and 40 of the Higher Education Act, Act 101 of 1997, as amended.

2.10.1.1 Section 20 stipulates that the University must obtain the approval of the Minister of Higher Education and Training in advance for any form of disposal of immovable property.

2.10.1.2 Section 40(3)(a) and (b) require the approval of the Minister of Higher Education for the conclusion of
loan or overdraft agreements unless sum of the amount thereof and that of the university’s existing short and long term obligations (i) does not exceed the limit determined for the institution by the Minister, or (ii) failing such a determination, does not exceed 5% of the institution’s average income for the preceding two years.

2.10.1.3 Section 40(3) (a) and (b) require ministerial approval for the erection of buildings or infrastructural developments, the acquisition of land or the conclusion of long terms leases of land unless the value thereof exceeds 5% of the average income of the institution for the preceding two years.

2.11 The way in which the delegations are anchored in the University’s organisational structure and passed on hierarchically is set out in the delegation framework (Addendum 5) and in summary in Addendum 3.
3. STANDARD DELEGATION DOCUMENTS

EXAMPLE 1

General delegation document

MEMORANDUM

Position

Tel: 021 808XXXX
Fax: 021 808XXXX
E-mail: XXXX@sun.ac.za

TO Subordinate/delegated person
Position/post

FROM DELEGATOR
POSITION

DATE

RE DELEGATION TO .................................................................
(Fill in person’s name and job title)

Attached hereto, please find the Rules for Delegation of Powers and Responsibilities at Stellenbosch University (SU). You are kindly requested to study the attached document, sign it and return it to me without delay, but no later than XXXX. By signing the document you agree to the delegations made to you, as set out in Section XXX of the University’s delegation framework (Addendum 5 to the rules).

Please note that this document, along with your written acceptance of the delegations, shall be submitted to the next meeting of the Audit and Risk Committee of Council. If Council approves it, this document shall be included in your performance contract by way of reference.

Please note further that you may have the power, in terms of the delegation
framework, to make suitable subdelegations within your centre of responsibility. If so, you are kindly requested to check the record of such existing subdelegations that are contained in the delegation document for correctness, and to send any changes that you might make to the delegations in your environment from time to time to the Director: Legal Services for information and inclusion in the delegation framework.

Thanking you in anticipation

DELEGATOR
POSITION

Copy: Director: Legal Services
APPOINTMENT AS CHIEF EXECUTIVE OFFICER

IN ACCORDANCE WITH SECTION 16(1) OF THE OCCUPATIONAL HEALTH AND SAFETY ACT, ACT 85 OF 1993, AS AMENDED (“OHS Act”)

1. Hereby I, Prof Paul F de V Cluver, Chairperson of the Council of Stellenbosch University, appoint you, Prof H Russel Botman, as Chief Executive Officer (Occupational Health and Safety) in terms of the abovementioned act.

2. This appointment shall be in force for the duration of your term of office as Rector and Vice-Chancellor of Stellenbosch University.

3. Your centre of responsibility shall be the respective functional areas on the University’s Stellenbosch Campus, as well as on the satellite campuses.

4. In terms of this appointment, you are entrusted with the following duties and responsibilities:

   4.1 You have overall responsibility and accountability for the implementation and maintenance of the provisions and stipulations of the Occupational Health and Safety Act, as amended.

   4.2 You shall familiarise yourself with the provisions and stipulations of the amended Occupational Health and Safety Act. For your convenience, a copy of Sections 8, 9, 13, 16 and 37 is attached.

   4.3 You shall comply with all the statutory requirements at all times.

Prof PF de V Cluver  Date
Chairperson: Council of Stellenbosch University

ACCEPTANCE

I, Prof H Russel Botman, hereby accept the abovementioned appointment, and declare that I understand all the implications thereof.

Signature of nominee  Date
APPOINTMENT AS ASSISTANT TO THE CHIEF EXECUTIVE OFFICER

ACCORDING TO SECTION 16(2) OF THE OCCUPATIONAL HEALTH AND SAFETY ACT, ACT 85 OF 1993, AS AMENDED (“OHS Act”) (Appointment at the level of head of centre of responsibility and of dean)

1. Hereby I, Prof H Russel Botman, Chief Executive Officer in terms of Section 16(1) of the abovementioned act, appoint you, .........................................................., as my assistant in terms of abovementioned act.

2. This appointment shall be in force for the duration of your term of office as ..........................................................

3. Your centre of responsibility shall be the respective functional areas of the Faculty of/Division for........................................................................................................ on the Stellenbosch Campus of the University and, where appropriate, on the satellite campuses.

4. In terms of this appointment, you are entrusted with the following duties and responsibilities:

   4.1 You shall have complete responsibility for the implementation and maintenance of the provisions and stipulations of the Occupational Health and Safety Act, as amended.

   4.2 You shall familiarise yourself with the provisions and stipulations of the amended Occupational Health and Safety Act. For your convenience, a copy of Sections 8, 9, 13, 16 and 37 is attached.

   4.3 You shall comply with all the statutory requirements at all times.

5. You shall report to me on all matters related to occupational health and safety in your functional area for the duration of this appointment, via the Risk Management Committee of Stellenbosch University.

6. To provide you with assistance, you may make further appointments in your functional environment in terms of Section 16(2) of the Occupational Health and Safety Act. Such people should assist you in matters of occupational health and safety in specifically allocated areas in your functional environment. These people may not in turn make further appointments in terms of the Occupational Health and Safety Act. If you should make such further appointments, these should be done on the appointment form provided. All forms relating to further appointments shall be filed by you, and you shall submit a register of such further appointments to the secretary of the abovementioned Risk Management Committee.

Chief Executive Officer: Occupational Health and Safety
Rector and Vice-Chancellor
Stellenbosch University

ACCEPTANCE

I, ........................................................................, hereby accept the abovementioned appointment, and declare that I understand all the implications thereof.

Signature of nominee Date
APPOINTMENT AS AIDE TO THE ASSISTANT TO THE CHIEF EXECUTIVE OFFICER

IN ACCORDANCE WITH SECTION 16(2) OF THE OCCUPATIONAL HEALTH AND SAFETY ACT, ACT 85 OF 1993, AS AMENDED (“OHS Act”)

(Further appointments by heads of centres of responsibility or deans)

1. Hereby I, .........................................................., Assistant to the Chief Executive Officer in terms of Section 16(2) of the abovementioned act, appoint you,.........................................................., as my aide in terms of the abovementioned act.

2. This appointment shall be in force for the duration of my term of office as ..........................................................

3. Your area of responsibility shall be the specific functional area(s), .........................................................., of the Faculty of/Division for .........................................................., on the Stellenbosch Campus of the University and, where appropriate, on the satellite campuses.

4. In terms of this appointment, you are entrusted with the following duties and responsibilities:

4.1 You shall have complete responsibility for the implementation and maintenance of the provisions and stipulations of the Occupational Health and Safety Act, as amended.

4.2 You shall familiarise yourself with the provisions and stipulations of the amended Occupational Health and Safety Act. For your convenience, a copy of Sections 8, 9, 13, 16 and 37 is attached.

4.3 You shall comply with all the statutory requirements at all times.

5. This responsibility may not be delegated further.

Assistant to the Chief Executive Officer: .......................................................... Date
Occupational Health and Safety
Stellenbosch University

----------------------------------------

ACCEPTANCE

I, .........................................................., hereby accept the abovementioned appointment, and declare that I understand all the implications thereof.

----------------------------------------
Signature of nominee Date

11
General acceptance document

Please print the acceptance letter on the letterhead of your environment/division

Date

DELEGATOR
POSITION
STELLENBOSCH UNIVERSITY

Dear XXXX

ACCEPTANCE OF DELEGATIONS

In the capacity below, I hereby confirm that I agree with the content of the Stellenbosch University delegation framework (Addendum 5 to the University’s rules for delegation), and confirm that I accept the delegations that have been entrusted to me in terms of Section xxx thereof.

I further confirm that the subdelegations to managers in the respective environments that report to me, as set out in Section XXX of the delegation framework, are correct; that I have allocated them to those involved; and that it is my responsibility to keep the document updated at all times as I change delegations, assign them anew or recall them. I have conveyed the responsibilities and implications of the subdelegations in full to each of my managers.

I further take note that Section XXX of the delegation framework shall be included in my performance contract by way of reference to it.

Yours faithfully

......................................................
POSITION (       )
Delegations with regard to entering into research contracts

TO: Vice-Rector (Research)  
   *Copy to: Senior Director: Research Development*

FROM: Dean: Faculty of ...........................................

RE: Delegation of powers to enter into research contracts

DATE: ..........................................................

In accordance with the documents on the delegation of power to enter into research contracts (document titled "The management of research funds at SU", Addendum A 5.6, Addendum B), I hereby provide information on the delegations in the Faculty of ........................................... for XXXX:

(Circle (b) or (c) depending on the circumstances)

a) By my signature I confirm that I, as Dean, accept the delegation in terms of Addendum B above: .................................(signature)

b) I (initially) prefer not to grant any delegated power for the signing of research contracts.

c) I hereby provide the list of delegations, with the signature of each delegated person, as a sign of acceptance of the delegation concerned:

<table>
<thead>
<tr>
<th>Department/institute, etc.</th>
<th>Name of delegated person (and position, such as departmental chairperson)</th>
<th>Period of delegation</th>
<th>Maximum contract value</th>
<th>Signature of delegated person</th>
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Levels of Safety and Risk Management at SU

Embedded in existing structures for systemic safety and risk evaluation and integrated management

**LEVEL 1**

**LEVEL 2**
- Overall responsibility for risk plans and processes. Evaluate institutional risk register for RMC. Identify strategic, as well as residual and outstanding inherent risks. Make decisions. Advise Rector. Report to ARC.

**LEVEL 3**
- Evaluate risks and interventions, consolidate, advise heads of responsibility centres on line management of risks. Report. Communicate institutional risks to RMT.

**LEVEL 4**
- Identify risks and deviations from statutory requirements at level of responsibility centres. Evaluate, consolidate, provide guidance and support in line function. Report to RMC.

**LEVEL 5**
- Identify, handle and report risks in the specific functional environment and the allocated workplace by means of Safety and Risk Committees.

* Central Database for Oversight and Coordination at Head: Risk and Protection Services

**RR = Risk Register**

**DELEGATIONS**
(in terms of Occupational Health and Safety Act and “Ordinary” delegations)

**OPERATIONAL**
- Workplace, Functional Area

**STRATEGIC**
- Institutional, Policy
FRAMEWORK OF DELEGATIONS WITH LEVELS OF POWERS AND RESPONSIBILITIES

LEVEL 1
- SU COUNCIL
  - RECTOR & VICE-CHANCELLOR
  - COUNCIL COMMITTEES

LEVEL 2
- VICE-RECTOR
  - (TEACHING)
  - (RESEARCH)
  - (COMMUNITY INTERACTION & PERSONNEL)
  - EXECUTIVE DIRECTOR: OPERATIONS & FINANCE

LEVEL 3
- DEANS
  - COMMITTEES
  - CHIEF DIRECTOR: STRATEGIC INITIATIVES & HUMAN RESOURCES

LEVEL 4
- DIVISION HEADS
  - Heads: C, B, I
    - Registrar
    - SD: Student- & Academic Support
    - SD: Institutional Research & Planning
  - DIVISION HEADS
    - Heads: C, B, I
      - SD: Library & Information Services
      - SD: Research Development
      - D: Postgraduate and International Office
  - DIVISION HEADS
    - Heads: C, B, I
      - CD: Strategic Initiatives & Human Resources
      - SD: Community Interaction
      - SD: Campus Health Services
      - D: Maties Sport
      - D: Legal Services
      - D: SU Museum
      - Manager: HIV/AIDS
      - Line heads: Corporate Entities
  - DIVISION HEADS
    - Heads: C, B, I
      - CD: Finance
      - CD: Facilities Management
      - SD: Informasielteknologie
      - SD: Interactive Telematic Services
      - D: Innovation & Business Development
      - D: Projects
  - DEPARTMENTAL CHAIRPERSONS
    - Heads: C, B, I

LEVEL 5
- Further environment-specific delegations
- Further environment-specific delegations
- Further environment-specific delegations
- Further environment-specific delegations
- Further environment-specific delegations

Addendum 3

4 March 2011
STELLENBOSCH UNIVERSITY COUNCIL AND SENATE COMMITTEES

May 2011

Group A: COUNCIL COMMITTEES
That report directly to Council
- Executive Committee (Council)
- Audit and Risk Committee
- Human Resources Committee
- Remuneration Committee

Group B: Joint COUNCIL and SENATE COMMITTEES
- Honorary Degrees Committee

Group C: Senate Committees
- Executive Committee (Senate)
- Senate Representative Council
- Appointments Committee
- Interpretation of Act and Statute Committee
- Senate Research Ethics Committee
- Senate Research Ethics Committee
- Timetable Committee
- Constitutions Committee
- Bursaries & Loans Committee
- Programme Advisory Committee
- Enrolment Planning & Management Committee
- Human Research (Non-health) 1
- Human Research (Non-health) 2
- Human Research and Clinical Trials
- Animal Care and Use Ethics
- Environment and Bio-safety

Group D: Senate Subcommittees
- Academic Programme Committees & other faculty committees
- First Year Academy Committee

Executive Committee
Submit decisions to Council & Senate

Convocation
Submit decisions to Council & Senate

Senate

Students’ Representative Council

Institutional Forum

Addendum 4
# DELEGATION FRAMEWORK

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The delegation of powers and responsibilities in this register takes place on the basis of the **Rules for Delegation of Powers and Responsibilities**. Delegations at Stellenbosch University (SU), and thus also the structure of this delegation register, are anchored in the hierarchy of the SU organogram.

1. **COUNCIL DELEGATIONS**

1.1 **TO THE RECTOR**

   Hereby the Council of Stellenbosch University, in terms of Section 68(2) of the Higher Education Act of 1997, as amended, delegates the following duties and powers, including full power of disposal, to the Rector, along with the power to delegate such powers to specific members of his or her management team and to members of the general managers’ meeting of SU as he or she deems fit and on such conditions as he or she determines:

   1.1.1 The power to take management decisions for the execution of predetermined Council policy (paragraph 1, Council decision of 2 December 1999).

   1.1.2 In the absence of an express Council policy on a matter, the Rector may take the necessary decisions in urgent cases, provided that a report on material decisions shall serve at the next meeting of the Executive Committee of Council or of the Council itself, and furthermore provided that the Rector shall consult the Chairperson of Council on potentially sensitive decisions.

   1.1.3 In the absence of an express Council policy on a matter, and when it is not an urgent case, the Rector shall refer material decisions to the Executive Committee of Council, while he/she shall not take material decisions him/herself.

   1.1.5 Such powers that Council and Council committees delegate to the Rector from time to time.

   1.1.6 In terms of the Occupational Health and Safety Act, Act 85 of 1993 ("OHS Act"), the Rector is the Chief Risk Officer, and risk management is delegated to him/her as such.
1.2 TO COMMITTEES OF COUNCIL AND OF SENATE

Hereby the Council of Stellenbosch University delegates those powers that Council may delegate according to the mentioned legislation and Statute to committees of Council, to such committees, in terms of Section 68(2) of the Higher Education Act, Act 101 of 1997, as amended, and in terms of paragraphs 17(2)(a), 11(2),31(g) and 32(2) of the Statute:

1.2.1 Executive Committee (Council)
All matters in terms of paragraph 17(2)(a) of the Statute, as well as such supervisory functions and other delegations that the Council may allocate from time to time.

1.2.2 Human Resources Committee (Council)
Staff matters that have to be referred to the committee in terms of the relevant rules or at the discretion of the Rector.

1.2.3 Audit and Risk Committee (Council)
All matters that have to be submitted to the Audit and Risk Committee (Council) according to the mandate from Council.

1.2.4 Honorary Degrees Committee (Council)
All matters regarding the awarding of honorary degrees by SU, in accordance with Chapter 11 of the Statute.

1.2.5 Investment Committee (Council)
All powers that are conferred by Council in accordance with the mandate.

1.2.6 Executive Committee (Senate)
All matters in terms of paragraph 32(2) of the Statute, as well as such supervisory functions and other delegations that Council may confer from time to time.

1.2.7 Appointments Committee (Senate)
Staff matters relating to permanent academic appointments and promotions.
2. DELEGATIONS BY THE RECTOR TO MEMBERS OF THE SENIOR MANAGEMENT

2.1 In terms of Section 68(3) of the Higher Education Act, Act 101 of 1997, as amended, and in so far as appropriate in terms of the delegation of powers to him/her by Council in terms of Section 68(2) of the Act, the Rector delegates the decision-making powers and power of disposal to the functionaries in paragraphs 2.2 to 2.7 below (level 3 in Addendum 3) that are related to the respective indicated spheres of responsibility, provided that attention is paid throughout to:

2.1.1 the existing, valid service contract of the functionary concerned and the relevant business plan;
2.1.2 changes (whether oral or in writing) that are made to the functionary’s service contract from time to time;
2.1.3 portfolios that are allocated to him/her in an acting capacity;
2.1.4 ad hoc delegations that are conferred from time to time;
2.1.5 delegations by the Rector in terms of any other applicable legislation; and
2.1.6 relevant decisions by Senate and committees of Senate.

2.2 The Rector delegates to the Vice-Rector (Teaching and Learning) powers and responsibilities with regard to:

2.2.1 overarching management and promotion of undergraduate and postgraduate teaching and learning;
2.2.2 overarching academic planning (which includes enrolment planning, institutional research and quality assurance);
2.2.3 academic support to students and lecturers;
2.2.4 academic administration;
2.2.5 student affairs;
2.2.6 management of the overarching language policy and planning; and
2.2.7 student accommodation.
2.3 The Rector delegates to the Vice-Rector (Research) powers and responsibilities with regard to:

- 2.3.1 overarching research management;
- 2.3.2 overarching research development;
- 2.3.3 research management with regard to research students and postdoctoral fellows;
- 2.3.4 the library function; and
- 2.3.5 internationalisation of the University’s academic platform, including co-operative agreements with foreign institutions as well as fundraising.

2.4 The Rector delegates to the Vice-Rector (Community Interaction and Personnel) powers and responsibilities with regard to:

- 2.4.1 overarching management of human resources;
- 2.4.2 overarching management of community interaction and partnerships;
- 2.4.3 overarching management of campus health;
- 2.4.4 overarching management of sport;
- 2.4.5 overarching management of legal services, which includes student discipline;
- 2.4.6 overarching management of museum facilities;
- 2.4.7 overarching co-ordination of HIV/AIDS management; and
- 2.4.8 overarching management of corporate entities.

2.5 The Rector delegates to the Executive Director: Operations and Finance, powers and responsibilities with regard to the following:

2.5.1 Facilities Management

- 2.5.1.1 Overarching strategy and policy with regard to land, physical facilities, infrastructure and supporting infrastructure services as enablers of the University’s core activities, support environments, sport facilities and student accommodation;
- 2.5.1.2 Overarching strategy for the planning, utilisation and development of land, physical facilities and infrastructure;
2.5.1.3 Overarching strategy for the maintenance of land, physical facilities and infrastructure;
2.5.1.4 Overarching strategy for supporting facility services;
2.5.1.5 Overarching strategy for risk and protection services at SU for safeguarding the institution’s assets and the campus community; and
2.5.1.6 Overarching planning and management by objectives for the Division for Facilities Management.

2.5.2 Information Technology
2.5.2.1 Overarching strategy and policy with regard to the establishment and use of information and communication technology (ICT) for the core activities, supporting environments and student accommodation of the University; and
2.5.2.2 Overarching planning and management by objectives for the Division for Information Technology.

2.5.3 Finance
2.5.3.1 Overarching strategy and policy for SU’s financial planning and management;
2.5.3.2 Overarching financial governance;
2.5.3.3 Overarching financial planning for SU, including the budget process;
2.5.3.4 Overarching financial reporting; and
2.5.3.5 Overarching planning and management by objectives for the Division for Finance.

2.5.4 Telematic services
2.5.4.1 Overarching strategy and policy with regard to telematic services; and
2.5.4.2 Overarching planning and management by objectives for the Division for Telematic Services.

2.5.5 Innovation and Business Development (InnovUS)
2.5.5.1 Overarching strategy and policy with regard to the use of intellectual property, and the commercialisation of SU’s knowledge base and discoveries; and

2.5.5.2 Overarching planning and management by objectives for technology transfer, innovation and commercialisation, including short courses.

2.5.6 Project Office

2.5.6.1 Overarching strategic and operational leadership for projects, both within and outside of the centre of responsibility, directed at greater efficiency between environments, the integration of service delivery, and better communication; and

2.5.6.2 Overarching planning, development, co-ordination and distribution of management information characteristic of the centre of responsibility for Operations and Finance.

2.5.7 Sustainability at SU

2.5.7.1 Overarching strategy and policy with regard to the assurance of sustainability at SU as concerns the institution’s core activities, finance, physical facilities and waste management; and

2.5.7.2 Overarching planning and management by objectives for sustainability.

2.5.8 Committees

2.5.8.1 Chairpersonship of the Investment Committee (Council);

2.5.8.2 Chairpersonship of the Risk Management Committee (committee offers advice to the Rector); and

2.5.8.3 Chairpersonship of the Facilities Management Committee (committee offers advice to Rector).

2.5.9 Strategic reconciliation of each of the above functions with each other as well as with the University’s core activities in order to support the core activities in an integrated and empowering
2.6 In terms of the Occupational Health and Safety Act, Act 85 of 1993, the Rector delegates the powers and responsibilities regarding safety and risk management to a number of heads of environments, in terms of Addendum 2.

2.7 The Rector delegates the following functions to the Chief Director:

Strategic Initiatives and Human Resources:

**2.7.1 Without power of disposal:**

- **2.7.1.1** Strategic planning of the University’s development function and of the compilation of an integrated development plan for SU;
- **2.7.1.2** Development of appropriate policies and protocols to guide the development function;
- **2.7.1.3** Compilation and management of a consolidated budget for the SU development function;
- **2.7.1.4** Negotiation and compilation of appropriate contracts (e.g. with marketing agencies); and
- **2.7.1.5** Determining the scope of and undertaking time-constrained, approved ad hoc strategic initiatives.

**2.7.2 With power of disposal:**

- **2.7.2.1** Comprehensive operational management in the development function and of apportioned strategic initiatives;
- **2.7.2.2** The overarching management of the University’s development office;
- **2.7.2.3** The overarching management of Communication and Liaison;
- **2.7.2.4** The undertaking and appropriate submission of strategic initiative projects;
- **2.7.2.5** The initiation of possible further strategic initiatives; and
- **2.7.2.6** Planning and facilitating the University’s opportunities for planning (as in the IPF).
2.8 The Rector delegates the functions of the Council secretary directly to the Registrar.

2.9 The delegations in paragraphs 2.2 to 2.8 above are entrusted to the abovementioned functionaries, provided that they shall have the right to assign their delegations to their subordinate managers at their discretion.
3. **SUBDELEGATIONS BY SENIOR MANAGEMENT (level 3–4)**

The senior management comprises the three Vice-Rectors and the Executive Director, who assign the necessary subdelegations (level 3 in *Addendum 3*) to their respective heads of divisions. The specific accountability for a function determines whether it is delegated **with** or **without** power of disposal.

3.1 **SUBDELEGATIONS BY THE VICE-RECTOR (TEACHING AND LEARNING)**

3.1.1 On the basis of a delegation (with a right to subdelegation) of powers and responsibilities by the Rector in terms of Section 68(3) of the Higher Education Act, Act 101 of 1997, the Vice-Rector (Teaching and Learning) is responsible for:

3.1.1.1 overarching management and promotion of undergraduate and postgraduate teaching and learning;
3.1.1.2 overarching academic planning, which includes enrolment planning, institutional research and quality assurance;
3.1.1.3 academic support to students and lecturers;
3.1.1.4 academic administration;
3.1.1.5 student affairs;
3.1.1.6 overarching language policy and planning; and
3.1.1.7 student accommodation.

3.1.2 The Vice-Rector (Teaching and Learning) delegates the following functions to the Registrar, **with power of disposal**:

3.1.2.1 The comprehensive management of the academic administration of SU, including the Stellenbosch, Tygerberg, Bellville Park and Saldanha Campuses as well as the Cape Institute for Agricultural Training, Elsenburg, which includes, among others:

3.1.2.1.1 applications and admission of prospective and current students (undergraduate and postgraduate);
3.1.2.1.2 student registration and enquiries;
3.1.2.2.3 maintenance of the student information system;
3.1.2.2 The secretariat of faculty committees and boards, the SU Council, Council committees, Senate and Senate committees

3.1.2.3 The management of the language implementation plan of the Division for Academic Administration.

3.1.3 The Vice-Rector (Teaching and Learning) delegates the following functions to the Senior Director: Student and Academic Support, with power of disposal:

3.1.3.1 The comprehensive management and co-ordination of the Division and of the following centres:

3.1.3.1.1 The Centre for Student Counselling and Development
3.1.3.1.2 The Centre for Prospective Students
3.1.3.1.4 The Centre for Teaching and Learning
3.1.3.1.5 The Language Centre
3.1.3.1.6 The Centre for Student Communities
3.1.3.1.7 The Centre for Student Affairs
3.1.3.1.8 The Tracking Unit

3.1.3.2 The management of the language implementation plan of the Division for Student and Academic Support

3.1.4 The Vice-Rector (Teaching and Learning) delegates the following functions to the Senior Director: Institutional Research and Planning, with power of disposal:

3.1.4.1 The management and co-ordination of the University’s
academic planning

3.1.4.2 The management and co-ordination of the University’s quality assurance system

3.1.4.3 The management and co-ordination of institutional research, HEMIS reporting and management information

3.1.4.4 The institutional co-ordination of the University’s enrolment planning and management

3.1.4.5 The interpretation of legislation and policies that are applicable to higher education (as concerns the issues in 3.1.4.1–3.4.1.4)

3.1.4.6 Liaising with the Council on Higher Education, the Higher Education Quality Committee, and the Ministry of Higher Education and Training (as concerns the issues in 3.1.4.1–3.4.1.4) as well as with HESA

3.1.4.7 The management of the language implementation plan of the Division for Institutional Research and Planning

3.1.5 The Vice-Rector (Teaching and Learning) delegates the following functions to the deans of faculties, with power of disposal:

3.1.5.1 The management of the faculty’s approved business plan

3.1.5.2 The planning and management of student enrolment

3.1.5.3 The management of the teaching and learning portfolio in the context of the specific faculty in which the dean is appointed

3.1.5.4 The planning and management of academic programmes

3.1.5.5 The assurance of academic quality in the specific faculty

3.1.5.6 The management of relationships with the students of the specific faculty

3.1.5.7 The development and management of a language implementation plan for the faculty concerned
3.2 SUBDELEGATIONS BY THE VICE-RECTOR (RESEARCH)

3.2.1 On the basis of a delegation (with a right to subdelegation) of powers and responsibilities by the Rector in terms of Section 68(3) of the Higher Education Act, Act 101 of 1997, the Vice-Rector (Research) is responsible for:

3.2.1.1 postgraduate research students and postdoctoral fellows;
3.2.1.2 research support to students, postdoctoral fellows and lecturers;
3.2.1.3 the establishment and maintenance of international academic, government and industry networks;
3.2.1.4 academic support regarding the provision of information and information literacy by the Library and Information Service;
3.2.1.5 the acquisition, provision and management of information sources in accordance with the needs of the faculties;
3.2.1.6 the reconciliation of research content with the institutional objectives in accordance with international ethical practices;
3.2.1.7 the negotiation of research contracts with outside parties in accordance with the University’s financial policy and policy on commercialisation; and
3.2.1.8 the consolidation of, and reporting on, research outputs.

3.2.2 The Vice-Rector (Research) delegates the following functions to the Senior Director: Library and Information Service, with power of disposal:

3.2.2.1 Academic support regarding the provision of information and information literacy in terms of the needs of the student, academic and research community of the University;
3.2.2.2 The acquisition, provision and management of information sources in accordance with the needs of the faculties, and within the prescribed budget framework of the University;
and

3.2.3 The Vice-Rector (Research) delegates the following functions to the Senior Director: Research, **with power of disposal**:

3.2.3.1 Research support (skills development, fundraising and career development) to postdoctoral fellows and lecturers;

3.2.3.2 The establishment and maintenance of international government and industry networks;

3.2.3.3 The acquisition and judicious use of research equipment by the Research Committee;

3.2.3.4 The reconciliation by the respective committees of research content with the institutional objectives in accordance with international ethical practices;

3.2.3.5 The negotiation of research contracts with outside parties in accordance with the University’s financial policy and policy on commercialisation; and

3.2.3.6 The subdelegation of the management of research money in accordance with the document, “The management of research funds at SU: An integrated system”.

3.2.4 The Vice-Rector (Research) delegates the following functions to the Director: Postgraduate and International Office, **with power of disposal**:

3.2.4.1 The implementation and management of a support platform for postgraduate and international students;

3.2.4.2 The management of postgraduate bursaries and skills development for postgraduate students according to an approved policy; and

3.2.4.3 The establishment and maintenance of international academic networks, and the co-ordination of academic visitors and institutional academic delegations.
3.3 SUBDELEGATIONS BY THE VICE-RECTOR (COMMUNITY INTERACTION AND PERSONNEL)

3.3.1 On the basis of a delegation (with a right to subdelegation) of powers and responsibilities by the Rector in terms of Section 68(3) of the Higher Education Act, Act 101 of 1997, the Vice-Rector (Community Interaction and Personnel) is responsible for:

3.3.1.1 overarching human resource management;
3.3.1.2 overarching management of community interaction and community partnerships;
3.3.1.3 overarching management of campus health;
3.3.1.4 overarching management of sport;
3.3.1.5 overarching management of legal services;
3.3.1.6 overarching management of museum facilities;
3.3.1.7 overarching co-ordination of HIV/Aids management;
3.3.1.8 overarching management of corporate entities; and
3.3.1.9 the compilation of a business plan for the centre of responsibility.

3.3.2 The Vice-Rector (Community Interaction and Personnel) delegates the following functions to the Chief Director: Strategic Initiatives and Human Resources:

3.3.2.1 Without power of disposal
3.3.2.1.1 The compilation of a business plan; and
3.3.2.1.2 The compilation of a staff plan.

3.3.2.2 With power of disposal
3.3.2.2.1 Provision of the appropriate staff corps according to an approved organogram and within the constraints of the available budget for the division to achieve strategic and operational objectives; and
3.3.2.2.2 Development and implementation of policy, processes, procedures and strategies in relation to important human resource management functions.
The Vice-Rector (Community Interaction and Personnel) delegates the following functions to the Senior Director: Community Interaction:

3.3.3.1 **Without power of disposal**
- 3.3.3.1.1 The compilation of a business plan; and
- 3.3.3.1.2 The compilation of a staff plan.

3.3.3.2 **With power of disposal**
- 3.3.3.2.1 Policy development;
- 3.3.3.2.2 Implementation of appropriate strategies;
- 3.3.3.2.3 Development of appropriate internal and external partnerships;
- 3.3.3.2.4 The overarching responsibility for the promotion of service learning;
- 3.3.3.2.5 The overarching responsibility for the reconciliation of community interaction activities among the students and in the mainstream;
- 3.3.3.2.6 The overarching responsibility for the integration of community interaction with the other core functions of the University; and
- 3.3.3.2.7 The overarching responsibility for the appropriate celebration of national days.

3.3.4 The Vice-Rector (Community Interaction and Personnel) delegates the following functions to the Senior Director: Campus Health Services:

3.3.4.1 **Without power of disposal**
- 3.3.4.1.1 The compilation of a business plan; and
- 3.3.4.1.2 The compilation of a staff plan.

3.3.4.2 **With power of disposal**
- 3.3.4.2.1 Provision of appropriate health services to the students and staff;
- 3.3.4.2.2 Preventative action to ensure optimal health; and
3.3.4.2.3 The determination and management of health-related risks.

3.3.5 The Vice-Rector (Community Interaction and Personnel) delegates the following functions to the Director: Maties Sport:

3.3.5.1 **Without power of disposal**
- 3.3.5.1.1 The compilation of a business plan; and
- 3.3.5.1.2 The compilation of a staff plan.

3.3.5.2 **With power of disposal**
- 3.3.5.2.1 The management of club and residence sport;
- 3.3.5.2.2 Making sports facilities available for both internal and external use;
- 3.3.5.2.3 The exploitation of sport as a strategic asset; and
- 3.3.5.2.4 The commercialisation of sport assets.

3.3.6 The Vice-Rector (Community Interaction and Personnel) delegates the following functions to the Director: Legal Services:

3.3.6.1 **Without power of disposal**
- 3.3.6.1.1 The compilation of a business plan; and
- 3.3.6.1.2 The compilation of a staff plan.

3.3.6.2 **With power of disposal**
- 3.3.6.2.1 The provision of general legal services;
- 3.3.6.2.2 The handling and management of student discipline;
- 3.3.6.2.3 The handling of investigations in relation to staff and students; and
- 3.3.6.2.4 The assurance of compliance with the law.

3.3.7 The Vice-Rector (Community Interaction and Personnel) delegates the following functions to the Director: SU Museum:

3.3.7.1 **Without power of disposal**
- 3.3.7.1.1 The compilation of a business plan; and
- 3.3.7.1.2 The compilation of a staff plan.
3.3.7.2  **With power of disposal**

3.3.7.2.1 Maximisation of the SU Museum as a strategic asset so as to promote art in the context of corporate entities.

3.3.8  The Vice-Rector (Community Interaction and Personnel) delegates the following functions to the Manager: Office for Institutional HIV/Aids Co-ordination:

3.3.8.1  **Without power of disposal**

3.3.8.1.1 The compilation of a business plan; and

3.3.8.1.2 The compilation of a staff plan.

3.3.8.2  **With power of disposal**

3.3.8.2.1 Development of policy;

3.3.8.2.2 Putting appropriate strategies into operation; and

3.3.8.2.3 The development of internal and external partnerships.

3.3.9  The Vice-Rector (Community Interaction and Personnel) delegates the following functions with regard to corporate entities to the Executive Director: Operations and Finance, the Dean: Arts and Social Sciences, and the Senior Director: Communication and Liaison, **with power of disposal**:

3.3.9.1 The maximisation of specific entities as strategic assets.

3.3.10  The Vice-Rector (Community Interaction and Personnel) delegates the following functions to the deans of faculties:

3.3.10.1  **Without power of disposal**

3.3.10.1.1 The compilation of a business plan;

3.3.10.1.2 The identification of staff who come into consideration for performance acknowledgement;

3.3.10.1.3 The management of staff in accordance with the institutional policy and procedures;

3.3.10.1.4 The recruitment, appointment and retention of staff.
3.3.10.2 **With power of disposal**

3.3.10.2.1 The approval of community interaction projects;

3.3.10.2.2 The determination and pursuance of diversity targets; and

3.3.10.2.3 The planning and implementation of training, exposure and support opportunities for staff.
3.4 SUBDELEGATIONS BY THE EXECUTIVE DIRECTOR: OPERATIONS AND FINANCE

3.4.1 On the basis of a delegation (with a right to subdelegation) of powers and responsibilities by the Rector in terms of Section 68(3) of the Higher Education Act, Act 101 of 1997, as amended, the Executive Director: Operations and Finance is responsible for the following:

3.4.1.1 Facilities management

3.4.1.1.1 Overarching strategy and policy with regard to land, physical facilities, infrastructure and supporting facility services as enablers of the University’s core activities, support environments, sport facilities and student accommodation;

3.4.1.1.2 Overarching strategy for the planning and development of land, physical facilities and infrastructure;

3.4.1.1.3 Overarching strategy for the maintenance of land, physical facilities and infrastructure;

3.4.1.1.4 Overarching strategy for the provision of supporting facility services; and

3.4.1.1.5 Overarching strategy for risk and protection services at SU for safeguarding the University’s assets and the campus community.

3.4.1.2 Information technology

3.4.1.2.1 Overarching strategy and policy for the establishment and use of ICT for the core activities and supporting environments of SU, as well as for student accommodation; and

3.4.1.2.2 Overarching ICT planning.
3.4.1.3 Finance

3.4.1.3.1 Overarching strategy and policy for the University’s financial planning and management;
3.4.1.3.2 Overarching financial governance;
3.4.1.3.3 Overarching institutional financial planning, which includes the budget process; and
3.4.1.3.4 Overarching financial reporting.

3.4.1.4 Telematic services

3.4.1.4.1 Overarching strategy and policy with regard to telematic services; and
3.4.1.4.2 Overarching planning of telematic services.

3.4.1.5 Innovation and business development (InnovUS)

3.4.1.5.1 Overarching strategy and policy with regard to the use of intellectual property, and the commercialisation of the University’s knowledge base and discoveries; and
3.4.1.5.2 Overarching planning of technology transfer, innovation, short courses and commercialisation.

3.4.1.6 Project Office

3.4.1.6.1 Overarching strategic and operational leadership for projects, both within and outside of the centre of responsibility, which are focused on greater efficiency between environments, the integration of service provision, and better communication; and
3.4.1.6.2 Overarching planning, development, co-ordination and distribution of management information that is unique to the centre of responsibility: Operations and Finance.

3.4.1.7 Sustainability of SU

3.4.1.7.1 Overarching strategy and policy to ensure sustainability at SU regarding the University’s core
activities, finance, physical facilities and waste management; and

3.4.1.7.2 Overarching planning for sustainability.

3.4.1.8 Committees

3.4.1.8.1 Chairpersonship of the Investment Committee (Council);

3.4.1.8.2 Chairpersonship of the Risk Management Committee (committee offers advice to the Rector); and

3.4.1.8.3 Chairpersonship of the Facilities Management Advisory Committee (committee offers advice to the Rector).

3.4.1.9 Strategic alignment of each of the abovementioned functions with each other as well as with the University’s core activities in order to support the core activities in an integrated, empowering manner.

3.4.2 The Executive Director: Operations and Finance delegates the following functions to the Chief Director: Facilities Management:

3.4.2.1 Without power of disposal

3.4.2.1.1 Strategic planning of the University’s facilities and infrastructure, and the compilation of a campus master plan, which is in turn supported by an appropriate business plan;

3.4.2.1.2 The development of policy and procedures for facilities management and infrastructure at SU;

3.4.2.1.3 The compilation and management of a consolidated budget for facilities and infrastructure;

3.4.2.1.4 The negotiation and compilation of appropriate contracts; and

3.4.2.1.5 The compilation of a staff plan.
3.4.2.2  **With power of disposal**

3.4.2.2.1 Comprehensive operational management of the Division for Facilities Management, excluding policy matters;

3.4.2.2.2 The overarching management of the planning and development function;

3.4.2.2.3 The overarching management of the facilities services function;

3.4.2.2.4 The overarching management of the property services function;

3.4.2.2.5 The overarching management of the risk and protection services function;

3.4.2.2.6 The overarching management of the financial function of facilities management (in consultation with the Division for Finance); and

3.4.2.2.7 The overarching management of the human resources function of the Division for Facilities Management (in consultation with the Division for Human Resources).

For specific subdelegations in the Division for Facilities Management, see paragraph 2.4.1, Addendum 6.

3.4.3  The Executive Director: Operations and Finance delegates the following functions to the Senior Director: Information Technology:

3.4.3.1  **Without power of disposal**

3.4.3.1.1 Strategic planning of ICT systems according to the requirements of the core activities and the support service divisions of SU, and the compilation of an appropriate business plan;

3.4.3.1.2 The development of ICT policy and procedures;

3.4.3.1.3 The compilation and management of a consolidated budget for supporting ICT functions and
3.4.3.1.4 The compilation and management of a budget for the Division for Information Technology;

3.4.3.1.5 The compilation and management of a staff plan for the Division for Information Technology; and

3.4.3.1.6 The negotiation and compilation of appropriate contracts.

3.4.3.2 **With power of disposal**

3.4.3.2.1 The comprehensive operational management of the Division for Information Technology, excluding management matters;

3.4.3.2.2 The comprehensive operational management of ICT for the business and support systems of SU;

3.4.3.2.3 Comprehensive resource management regarding staff, finance and ICT equipment for the efficient and purposeful operation, extension and maintenance of the ICT infrastructure of the University; and

3.4.3.2.4 Occupational safety of the Information Technology staff, as well as of users and visitors to the premises where they are in direct contact with ICT infrastructure.

3.4.4 The Executive Director: Operations and Finance delegates the following function to the Chief Director: Finance:

3.4.4.1 **Without power of disposal**

3.4.4.1.1 The development of financial policy and procedures;

3.4.4.1.2 The development of financial plans and a consolidated annual budget for the University;

3.4.4.1.3 The management of the budget process;

3.4.4.1.4 Financial reporting;

3.4.4.1.5 The completion and implementation of the business plan of the Division for Finance;

3.4.4.1.6 The implementation of cost-effectiveness measures;

3.4.4.1.7 Participation in the adjustment of remuneration backlogs;

3.4.4.1.8 The management of the commercial services
function, including the Langenhoven Student Centre, the Botanical Gardens and the Central Copying Services, in terms of the respective business plans as amended from time to time and in accordance with the University’s overarching planning and strategies;

3.4.4.1.9 The management of the catering function in the residences;

3.4.4.1.10 The management of the cleaning services function in the residences;

3.4.4.1.11 The financial management of accommodation in terms of the business plan and budget, as approved by the Student Accommodation Committee;

3.4.4.1.12 The management of the purchasing function;

3.4.4.1.13 The compilation and management of the budget for the Division for Finance;

3.4.4.1.14 The compilation and management of a staff plan for the Division for Finance;

3.4.4.1.15 The management of the student fees and debtors function;

3.4.4.1.16 The financial management of the University’s money and assets, including all of the University’s bank accounts and bank facilities;

3.4.4.1.17 The management of the SU trademark in collaboration with the Division for Communication and Liaison, as well as InnovUS where applicable;

3.4.4.1.18 Periodic review of approval powers and levels for both contracts and payments;

3.4.4.1.19 The compilation and development of the student fees budget;

3.4.4.1.20 The management of the University’s insurance portfolio;

3.4.4.1.21 The financial management and budget of the University’s utility services; and
3.4.4.1.22 The management of the University’s remuneration function and related matters.

3.4.4.2 **With power of disposal**

3.4.4.2.1 The comprehensive operational management of the Division for Finance, excluding policy matters;

3.4.4.2.2 The comprehensive operational management of financial systems;

3.4.4.2.3 The development and maintenance of the financial operating system;

3.4.4.2.4 Comprehensive resource management with regard to staff and finance for the efficient and purposeful operation, extension and maintenance of University-wide financial support;

3.4.4.2.5 The implementation of financial policy and procedures;

3.4.4.2.6 Financial governance; and

3.4.4.2.7 Responsibility for the University’s VAT and employee tax matters.

For specific subdelegations in the Division for Finance, see paragraph 2.4.2, Addendum 6.

3.4.5 The Executive Director: Operations and Finance delegates the following functions to the Senior Director: Telematic Services:

3.4.5.1 **Without power of disposal**

3.4.5.1.1 Strategic planning of telematic services at the University, and the compilation of an appropriate business plan;

3.4.5.1.2 The development of policy and procedures with regard to telematic services;

3.4.5.1.3 The compilation and management of a consolidated budget for telematic services;
3.4.5.1.4 The negotiation and compilation of appropriate contracts; and
3.4.5.1.5 The compilation of a staff plan for the Division for Telematic Services.

3.4.5.2 **With power of disposal**
3.4.5.2.1 The comprehensive operational management of the Division for Telematic Services, excluding policy matters;
3.4.5.2.2 The comprehensive operational management of the ICT systems for the Division for Telematic Services;
3.4.5.2.3 The compilation and management of a human resource plan for the Division for Telematic Services;
3.4.5.2.4 Comprehensive resource management with regard to staff, finance, ICT systems and equipment for the efficient and purposeful operation, extension and maintenance of telematic services at the University; and
3.4.5.2.6 Commercialisation of the University’s telematic services programmes.

3.4.6 The Executive Director: Operations and Finance delegates the following functions to the Director: Innovation and Business Development:

3.4.6.1 **Without power of disposal**
3.4.6.1.1 Strategic planning for the commercial development and management of the intellectual property (IP) and new discoveries of the University, and the compilation of an appropriate business plan;
3.4.6.1.2 The development of policy and procedures with reference to IP and the commercialisation of the University’s knowledge base;
3.4.6.1.3 The compilation and management of a consolidated budget for the commercialisation of IP at the
University, as well as for InnovUS, including the Division for Short Courses;

3.4.6.1.4 Reporting with reference to commercialisation activities with regard to IP;

3.4.6.1.5 The compilation and management of a staff plan for InnovUS; and

3.4.6.1.6 The negotiation and compilation of appropriate contracts.

3.4.6.2 With power of disposal

3.4.6.2.1 The comprehensive operational management of InnovUS, excluding policy matters;

3.4.6.2.2 The implementation of the business plan for the commercialisation and technology transfer of the knowledge base of the University;

3.4.6.2.3 The comprehensive operational management of the IP database and information systems in terms of the stipulations of the Intellectual Property Rights Act;

3.4.6.2.4 Comprehensive resource management with reference to staff and finance for the efficient and purposeful operation, extension and maintenance of the extensive IP portfolio of the University;

3.4.6.2.5 The operational management of appropriate emergent commercialisation projects;

3.4.6.2.6 The financial management of appropriate emergent commercialisation projects, subject to the University’s financial management principles and policy;

3.4.6.2.7 Responsibility for the occupational safety of InnovUS staff as well as users and visitors on the premises where they are in direct contact with IP infrastructure;

3.4.6.2.8 Operational management of the University’s IP, and decision making on patenting and trademark registration; and
3.4.6.2.9 Management of the Internal Innovation Fund (cost point R777), subject to the University’s financial management principles and policy.

3.4.7 The Executive Director: Operations and Finance delegates the following functions to the Director: Projects, with power of disposal:

3.4.7.1 Project management and administration of specific University projects, whether according to the decisions of the Rector’s management team or of the project managers concerned.

3.4.8 The Executive Director: Operations and Finance delegates the following functions to the deans of faculties:

3.4.8.1 Without power of disposal
3.4.8.1.1 The compilation of the faculty’s business plan;
3.4.8.1.2 The compilation of the faculty’s budget; and
3.4.8.4.3 The compilation of the faculty’s plan for physical facilities and information technology-related infrastructure.

3.4.8.2 With power of disposal
3.4.8.2.1 The division of the faculty’s budget in terms of the approved business plan and associated faculty allocation;
3.4.8.2.2 The management of the approved budget, with final say over all cost points (budget and non-budget) in the faculty;
3.4.8.2.3 The approval of expenditure in terms of the approved list of proxies (signing powers) as well as within the approved budget of the faculty;
3.4.8.2.4 The allocation and overarching management of University facilities that are allocated to the faculty;
3.4.8.2.5 The signing of disclosure forms, the approval of
business plans, and the disclosure of innovations that arise from research contracts;

3.4.8.2.6 The signing of letters of declaration with regard to licensing agreements, memoranda of understanding and shareholders’ agreements regarding commercialisation activities;

3.4.8.2.7 The choice in respect of target markets that should be reached by the faculty’s academic offering with regard to telematic services, and the required delivery modes, such as residential, virtual or a combination of the two;

3.4.8.2.8 The choice in respect of the type of technology that can be used in a virtual option, for example asynchronous technology such as online programmes/modules, and/or synchronous technology such as television broadcasts and video-conferencing;

3.4.8.2.9 The utilisation of lecturers from other universities or subject specialists from the private sector by way of technological applications;

3.4.8.2.10 The use of the technology platform to commercialise IP in the form of short courses; and

3.4.8.2.11 The approval of the prices of all research contracts that are not fixed according to the full-cost price, in terms of the Policy for the Costing of Research and Research-related Contracts.
3.5 SUBDELEGATIONS BY THE CHIEF DIRECTOR: STRATEGIC INITIATIVES

Still to be completed.
3.6 SUBDELEGATIONS BY DEANS

3.6.1 Delegation of powers and responsibilities in the Faculty of XXXXX

Valid as from............................................

The Dean: XXX (Prof YYY) retains the following powers (undelegated):
1. Overarching responsibility for the Faculty’s strategy
2. Overarching responsibility for the Faculty’s management
3. Final division of the Faculty’s budget
4. Approval of staff appointments as well as of cost to company
5. Approval of all part-time/temporary service contracts of more than R150 000 per year
6. Performance management of staff in the Dean’s Division, departmental chairpersons and deputy deans
7. Approvals of all ad hoc payments to staff (full-time/part time or permanent/temporary)
8. Final authority over all cost points (budget and non-budget) in the Faculty of XXXX
9. Approval of all spending on the cost point of the Dean’s Division

The authorisation for the matters below is delegated to managers in the Faculty of XXXXX:

To the Deputy Dean: Research (Prof YYY) (if applicable)
1. Signing of research contracts of more than R150 000 to just below R500 000, and the signing of letters of declaration
2. Management van Overarching Strategic Plan money and projects
3. Chairperson of all research or service-providing centres/institutes in the Faculty of XXXXX
4. Co-ordination of the Faculty of XXXXX’s research with postgraduate training functions, both in and outside of the Faculty

To the Deputy Dean: Teaching (Prof YYYY) (if applicable)
1. Chairpersonship of the Undergraduate and Postgraduate Programme Committees
2. Compilation of, and changes to, the Faculty’s Calendar
3. Quality assurance of the teaching programmes of the Faculty
4. Co-ordination of the Faculty’s teaching functions between departments, both in and outside of the Faculty
5. Service in the University’s teaching-related committees

To the Faculty Manager (XXXX) (if applicable)
1. Operating rights on all cost points (budget and non-budget) in the Faculty of XXXXX
2. Approval of small capital works and equipment budgets
3. Risk management of the Faculty of XXXXX’s building(s)
4. Assurance of the levels of service provision by the University’s Divisions for Human Resources, Finance and Information Technology to the Faculty
5. Overarching responsibility for the repair and improvement of facilities and buildings
6. Management of the Faculty of XXXXXX’s computer user area

**To academic departmental chairpersons**

1. Development of the Department’s strategy in synergy with the Faculty’s strategy
2. Overarching responsibility for the management of the Department
3. Performance management of staff in the Department
4. Approval of all part-time/temporary service contracts up to and including R150 000 per year
5. Final authority over all cost points (budget and non-budget) in the Department
6. Approval of all spending on the Department’s cost point
7. Risk management of those parts of the Faculty of XXXXXX’s building that are used by the respective departments

**To directors of research and service-providing centres/institutes of the Faculty of XXXXX (if applicable)**

1. Authority over all cost points (non-budget) in the Centre/Institute
2. Approval of all spending on the Centre/Institute’s cost points
3. Risk management of those parts of the Faculty of XXXXXX’s building that are used by the Centre/Institute
4. Bursary agreements with students who are covered by the Centre/Institute’s money
ADDENDUM 6

FURTHER SUBDELEGATIONS
(LEVEL 4 – 5)

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2. Further subdelegations in specific environments

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2.1.1 Registrar
2.1.2 Senior Director: Student and Academic Support
2.1.3 Senior Director: Institutional Research and Planning

2.2 Vice-Rector (Research) 1

2.2.1 Senior Director: Library and Information Service
2.2.2 Senior Director: Research
2.2.3 Director: Postgraduate and International Office

2.3 Vice-Rector (Community Interaction and Personnel) 2

2.3.1 Chief Director: Strategic Initiatives and Human Resources
2.3.2 Senior Director: Community Interaction
2.3.3 Senior Director: Campus Health Services
2.3.4 Director: Maties Sport
2.3.5 Director: Legal Services
2.3.6 Director: SU Museum
2.3.7 Manager: HIV/AIDS Coordination Office
2.4 Executive Director: Operations and Finance

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1. INTRODUCTION

Please see Addendum 3 in the Rules for Delegation of Powers and Responsibilities, in which the framework for the different levels of delegation are set out in correspondence with the Stellenbosch University (SU) organogram.

This, firstly, has to do with further subdelegation on levels 4 and 5, for example from chief directors and senior directors to directors. In the case of faculties, it refers to delegations from deans to departmental chairpersons, faculty managers and faculty secretaries.

This further subdelegation is environment-specific and therefore differs from responsibility centre to responsibility centre according to the nature and range of powers and responsibilities to be delegated. Consideration of the level of materiality remains an important principle in further delegation.

2. FURTHER SUBDELEGATIONS IN SPECIFIC ENVIRONMENTS

2.1 Vice-Rector (Teaching)

2.1.1 Registrar
2.1.2 Senior Director: Student and Academic Support
2.1.3 Senior Director: Institutional Research and Planning

If applicable; still to be completed.

2.2 Vice-Rector (Research)

2.2.1 Senior Director: Library and Information Service
2.2.2 Senior Director: Research
2.2.3 Director: Postgraduate and International Office

If applicable; still to be completed.
2.3 Vice-Rector (Community Interaction and Personnel)

2.3.1 Chief Director: Strategic Initiatives and Human Resources
2.3.2 Senior Director: Community Interaction
2.3.3 Senior Director: Campus Health Services
2.3.4 Director: Maties Sport
2.3.5 Director: Legal Services
2.3.6 Director: SU Museum
2.3.7 Manager: Office for Institutional HIV/Aids Co-ordination

If applicable; still to be completed.
## 2.4 Executive Director: Operations and Finance

### 2.4.1 Facilities Management

#### 2.4.1.1 Campus development and transactions involving property

<table>
<thead>
<tr>
<th>Responsibility</th>
<th>Recommended</th>
<th>Approved</th>
</tr>
</thead>
<tbody>
<tr>
<td>a. Constitution of general policy on University development</td>
<td>Facilities Management Advisory Committee, Rector</td>
<td>Executive Committee (Council), SU Council</td>
</tr>
<tr>
<td>b. Purchase and long-term lease of approved strategic immovable property, as contained in the campus master plan, subject to the Higher Education Act</td>
<td>Executive Director: Operations &amp; Finance</td>
<td>Rector, with notice to subsequent Council Meeting</td>
</tr>
<tr>
<td>c. Purchase and long-term lease of other immovable property not indicated on the campus master plan, subject to the Higher Education Act</td>
<td>Facilities Management Advisory Committee, Rector</td>
<td>Executive Committee (Council), SU Council</td>
</tr>
<tr>
<td>d. Disposal of immovable property and unused land</td>
<td>Facilities Management Advisory Committee, Rector</td>
<td>Executive Committee (Council), SU Council</td>
</tr>
<tr>
<td>e. Allocation of money in annual budget to new capital development projects</td>
<td>Facilities Management Advisory Committee, Rector</td>
<td>Executive Committee (Council), SU Council</td>
</tr>
<tr>
<td>f. Physical development plans for the different campuses</td>
<td>Facilities Management Advisory Committee, Rector</td>
<td>Rector</td>
</tr>
<tr>
<td>g. Applications involving rezoning/divergent use and registration of property</td>
<td>Manager: Spatial Management &amp; Development Planning</td>
<td>Director: Planning &amp; Development</td>
</tr>
<tr>
<td>h. Erection of new buildings according to approved development plans and the general policy on University development</td>
<td>Chief Director: Facilities Management</td>
<td>Executive Director: Operations &amp; Finance</td>
</tr>
<tr>
<td>i. Signing of contracts (e.g. building contracts, service contracts, short-term leasing of immovable property) subject to the Higher Education Act</td>
<td>Chief Director: Facilities Management or proxy</td>
<td>Chief Director: Finance, or delegate</td>
</tr>
<tr>
<td>j. Allocation and utilisation of existing spaces and facilities in consultation with the relevant dean or departmental chairperson or head of the support service environment</td>
<td>Manager: Spatial Management &amp; Development Planning</td>
<td>Director: Planning &amp; Development</td>
</tr>
</tbody>
</table>
2.4.1.2 Capital development projects

2.4.1.2.1 Strategic

<table>
<thead>
<tr>
<th>Responsibility</th>
<th>Recommended</th>
<th>Approved</th>
</tr>
</thead>
<tbody>
<tr>
<td>a. Prioritisation and approval of projects with a view to inclusion in the annual budget</td>
<td>Chief Director: Facilities Management</td>
<td>Executive Director: Operations &amp; Finance</td>
</tr>
<tr>
<td>b. Prioritisation and programming of projects financed from the budget</td>
<td>Head of Division¹</td>
<td>Chief Director: Facilities Management</td>
</tr>
<tr>
<td>c. Approval of physical, economic and other investigations related to Facilities Management</td>
<td>Head of Division¹</td>
<td>Chief Director: Facilities Management</td>
</tr>
<tr>
<td>d. Approval of accommodation schedules and other physical requirements for development projects</td>
<td>Manager: Facilities Planning (Manager: Facilities Management)</td>
<td>Director: Planning &amp; Development</td>
</tr>
<tr>
<td>e. Selection of design scheme and sketch plan for projects, within the bounds of the approved budgets</td>
<td>Manager: Facilities Management</td>
<td>Director: Planning &amp; Development</td>
</tr>
<tr>
<td>f. Appointment of project committees for individual projects</td>
<td>Head of Division¹</td>
<td>Chief Director: Facilities Management</td>
</tr>
<tr>
<td>g. Deviation from approved spatial and furnishing norms</td>
<td>Director: Planning &amp; Development</td>
<td>Chief Director: Facilities Management</td>
</tr>
</tbody>
</table>

¹ ‘Head of Division’ signifies the person who reports directly to the Chief Director: Facilities Management.
2.4.1.2.2 Renovation, replacement and development projects from central budget, parking levy funds or own funds above the limit of small capital works according to the SU policy on purchasing and tendering (Projects from own funds have to be approved by the owner of the funds. The Director: Planning & Development has to approve expenditure from parking levy funds.)

<table>
<thead>
<tr>
<th>Responsibility</th>
<th>Recommended</th>
<th>Approved</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>a. Approval of projects:</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>• Small capital works limited to and including R5 million^2</td>
<td>Head of Division^1</td>
<td>Chief Director: Facilities Management</td>
</tr>
<tr>
<td>• &gt; R5 million</td>
<td>Chief Director: Facilities Management</td>
<td>Executive Director: Operations and Finance</td>
</tr>
<tr>
<td><strong>b. Approval of project extension and/or additional financing above the approved budget before allocation of the tender, to a maximum of 20% above the value of the project:</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>• Small capital works limited to and including R5 million</td>
<td>Head of Division^1</td>
<td>Chief Director: Facilities Management</td>
</tr>
<tr>
<td>• &gt; R5 million</td>
<td>Chief Director: Facilities Management</td>
<td>Executive Director: Operations and Finance</td>
</tr>
<tr>
<td><strong>c. Acceptance of lowest acceptable and/or valid tenders, irrespective of the value of the tender, subject to adequate financing and project approval</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Head of Division^1</td>
<td>Chief Director: Facilities Management</td>
</tr>
<tr>
<td><strong>d. Acceptance of tenders in instances where the lowest acceptable and valid tender is not recommended</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Chief Director: Facilities Management</td>
<td>Executive Director: Operations and Finance</td>
</tr>
</tbody>
</table>

1 'Head of Division' signifies the person who reports directly to the Chief Director: Facilities Management.
2 The amount is adjusted annually with reference to the building index of the Bureau for Economic Research.

<table>
<thead>
<tr>
<th>Responsibility</th>
<th>Recommended</th>
<th>Approved</th>
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</thead>
<tbody>
<tr>
<td><strong>e. Approval of project extension and/or additional financing above the approved budget before tender allocation, by more than 20% above the value of the project:</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>• Small capital works limited to and including R5 million</td>
<td>Head of Division^1</td>
<td>Chief Director: Facilities Management</td>
</tr>
<tr>
<td>• &gt; R5 million</td>
<td>Chief Director: Facilities Management</td>
<td>Executive Director: Operations and Finance</td>
</tr>
<tr>
<td><strong>f. Instructions for changes or additional expenditure on projects after acceptance of the tender, within project budget</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Line functionary^2</td>
<td>Line head^3</td>
</tr>
</tbody>
</table>

1 Head of Division signifies the person who reports directly to the Chief Director: Facilities Management.
2 The amount is adjusted annually with reference to the building index of the Bureau for Economic Research.
g. Instructions for changes that exceed project budget after acceptance of the tender, to a maximum of 20% above the value of the project (Owner of fund to confirm that sufficient funds are available):
   - Small capital works limited to and including R5 million
   - > R5 million

<table>
<thead>
<tr>
<th>Head of Division</th>
<th>Chief Director: Facilities Management</th>
</tr>
</thead>
<tbody>
<tr>
<td>h. Instructions for changes that exceed project budget after acceptance of the tender, more than 20% above project value (Owner of fund to confirm that sufficient funds are available)</td>
<td>Chief Director: Facilities Management, Chief Director: Finance</td>
</tr>
<tr>
<td>i. Composition of annual panels for consultants and contractors</td>
<td>Panel and Purchasing Division</td>
</tr>
<tr>
<td>j. Appointment of consultants</td>
<td>Panel</td>
</tr>
<tr>
<td>k. Approval of tender lists (list of contractors) for individual projects</td>
<td>Panel</td>
</tr>
</tbody>
</table>

1 'Head of Division' signifies the person reporting directly to the Chief Director: Facilities Management.

2 'Line functionary' signifies the official entrusted with executing and managing the project.

### 2.4.1.2.3 Procurement of and decision on tenders and quotes regarding projects with a budget below the limit for small capital works, but in terms of the SU purchasing and tender policies and procedures

<table>
<thead>
<tr>
<th>Responsibility</th>
<th>Recommended</th>
<th>Approved</th>
</tr>
</thead>
<tbody>
<tr>
<td>a. Approval of ordinary project requests</td>
<td>Line functionary</td>
<td>Director: Planning &amp; Development or proxy</td>
</tr>
<tr>
<td>b. Approval of sensitive requests</td>
<td>Small capital works committee</td>
<td>Director: Planning &amp; Development</td>
</tr>
<tr>
<td>c. Approval of over-allowance to a maximum of 10% regarding quotes that exceed the small capital works limit, with the consent of the fund owner</td>
<td>Line head</td>
<td>Director: Planning &amp; Development</td>
</tr>
</tbody>
</table>

1 'Line functionary' signifies the official entrusted with the execution and management of the project.
### 2.4.1.3 Human resources

<table>
<thead>
<tr>
<th>Responsibility</th>
<th>Recommended</th>
<th>Approved</th>
</tr>
</thead>
<tbody>
<tr>
<td>a. Proposal/motivation for overtime remuneration</td>
<td>Head of Division</td>
<td>Chief Director: Facilities Management</td>
</tr>
<tr>
<td>b. Standby service</td>
<td>Head of Division</td>
<td>Chief Director: Facilities Management</td>
</tr>
<tr>
<td>c. Job evaluation according to approved staff plan</td>
<td>Head of Division</td>
<td>Chief Director: Facilities Management</td>
</tr>
<tr>
<td>d. Upgrading of post according to approved staff plan</td>
<td>Chief Director:</td>
<td>Human Resources</td>
</tr>
<tr>
<td></td>
<td>Facilities Management</td>
<td></td>
</tr>
<tr>
<td>e. Temporary appointments within approved budget</td>
<td>Head of Division</td>
<td>Chief Director: Facilities Management</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>f. Utilisation of recruitment companies</td>
<td>Chief Director:</td>
<td>Human Resources</td>
</tr>
<tr>
<td></td>
<td>Facilities Management</td>
<td></td>
</tr>
<tr>
<td>g. Attendance of courses, seminars and conferences (local)</td>
<td>Head of Division</td>
<td>Chief Director: Facilities Management</td>
</tr>
<tr>
<td>h. Overseas visits</td>
<td>Chief Director:</td>
<td>Executive Director: Operations &amp; Finance</td>
</tr>
<tr>
<td></td>
<td>Facilities Management</td>
<td></td>
</tr>
<tr>
<td>i. Staff plans</td>
<td>Chief Director:</td>
<td>Executive Director: Operations &amp; Finance</td>
</tr>
<tr>
<td></td>
<td>Facilities Management</td>
<td></td>
</tr>
</tbody>
</table>
### 2.4.1.4 Expenditure from approved budget and funds from Facilities Management

<table>
<thead>
<tr>
<th>Responsibility</th>
<th>Recommended</th>
<th>Approved</th>
</tr>
</thead>
<tbody>
<tr>
<td>a. Replacement of existing fixed equipment from the reserve fund for the replacement of fixed equipment (B278)</td>
<td>Director: Property Services</td>
<td>Chief Director: Facilities Management</td>
</tr>
<tr>
<td>b. Purchasing of furniture and equipment</td>
<td>Head of Division</td>
<td>Chief Director: Facilities Management</td>
</tr>
<tr>
<td>c. Management of cell phones – cell phone allowance</td>
<td>Head of Division</td>
<td>Chief Director: Facilities Management</td>
</tr>
<tr>
<td>d. Purchasing of computer equipment</td>
<td>Head of Division</td>
<td>Chief Director: Facilities Management</td>
</tr>
<tr>
<td>e. Replacement of existing vehicles according to planning</td>
<td>Head of Division</td>
<td>Chief Director: Facilities Management</td>
</tr>
<tr>
<td>f. Purchasing of new vehicles according to planning</td>
<td>Head of Division</td>
<td>Chief Director: Facilities Management</td>
</tr>
<tr>
<td>g. Utilisation of sale-of-building-materials fund</td>
<td>Line head</td>
<td>Head of Division</td>
</tr>
<tr>
<td>h. Utilisation of reserve fund R5824 of Facilities Management</td>
<td>Director: Planning &amp; Development</td>
<td>Chief Director: Facilities Management</td>
</tr>
<tr>
<td>i. Utilisation of reserve funds in capital budget (V2133)</td>
<td>Director: Planning &amp; Development</td>
<td>Chief Director: Facilities Management</td>
</tr>
<tr>
<td>j. Utilisation of funds in account R045 SU leased houses</td>
<td>Manager: Spatial Management &amp; Development Planning, and Line head</td>
<td>Head of Division</td>
</tr>
<tr>
<td>k. Expenditure from parking levy funds</td>
<td>Director: Planning &amp; Development</td>
<td>Chief Director: Facilities Management</td>
</tr>
<tr>
<td>l. Utilisation of operating budget not mentioned above</td>
<td>Line head</td>
<td>Head of Division</td>
</tr>
</tbody>
</table>

### 2.4.1.5 General

<table>
<thead>
<tr>
<th>Responsibility</th>
<th>Recommended</th>
<th>Approved</th>
</tr>
</thead>
<tbody>
<tr>
<td>a. Removal of trees (after appropriate consultation) during construction of capital projects</td>
<td>Director: Facilities Services</td>
<td>Chief Director: Facilities Management</td>
</tr>
<tr>
<td>b. Utilisation of SU facilities and open spaces</td>
<td>As per policy document</td>
<td>Director: Facilities Services</td>
</tr>
</tbody>
</table>
## 2.4.2 Finance

### 2.4.2.1 Financial policy

<table>
<thead>
<tr>
<th>Responsibility</th>
<th>Recommended</th>
<th>Approved</th>
</tr>
</thead>
<tbody>
<tr>
<td>a. Instituting and updating of SU financial policy</td>
<td>Chief Director: Finance</td>
<td>Finance Committee, Rector’s Management Team, Audit and Risk Committee</td>
</tr>
<tr>
<td>b. Deviations from the financial policy</td>
<td>Head of Division</td>
<td>Director: Financial Planning and Asset Management</td>
</tr>
</tbody>
</table>

### 2.4.2.2 Expenditure from approved budget and funds from Finance

<table>
<thead>
<tr>
<th>Responsibility</th>
<th>Recommended</th>
<th>Approved</th>
</tr>
</thead>
<tbody>
<tr>
<td>a. Allocation of money within annual operating budget</td>
<td>Chief Director: Finance</td>
<td>Executive Director: Operations &amp; Finance</td>
</tr>
<tr>
<td>b. Purchasing of furniture and equipment</td>
<td>Head of Division</td>
<td>Director: Financial Planning and Asset Management</td>
</tr>
<tr>
<td>c. Cell phone allowances</td>
<td>Head of Division</td>
<td>Director: Financial Planning and Asset Management</td>
</tr>
<tr>
<td>d. Purchasing of computer equipment</td>
<td>Head of Division</td>
<td>Director: Financial Planning and Asset Management</td>
</tr>
<tr>
<td>e. Replacement of existing vehicles</td>
<td>Head of Division</td>
<td>Director: Financial Planning and Asset Management</td>
</tr>
<tr>
<td>f. Purchasing of new vehicles</td>
<td>Head of Division</td>
<td>Director: Financial Planning and Asset Management</td>
</tr>
<tr>
<td>g. Utilisation of operating budget not mentioned above</td>
<td>Head of Division</td>
<td>Director: Financial Planning and Asset Management</td>
</tr>
</tbody>
</table>
## 2.4.2.3 Signing powers

<table>
<thead>
<tr>
<th>Responsibility</th>
<th>Recommended</th>
<th>Approved</th>
</tr>
</thead>
<tbody>
<tr>
<td>a. Signing of contracts, including research contracts. The policy on signing research contracts is available from the Division for Research Development.</td>
<td>Legal services, applicant, Division for Purchasing and Provision Services</td>
<td>Chief Director: Finance or delegate in terms of delegated approval by SU Council</td>
</tr>
<tr>
<td>b. Determining persons authorised to sign cheques and letters of credit, and approval of electronic payments</td>
<td>Director: Financial Planning and Asset Management</td>
<td>Delegate in terms of delegated approval by SU Council</td>
</tr>
</tbody>
</table>

## 2.4.2.4 Human Resources

<table>
<thead>
<tr>
<th>Responsibility</th>
<th>Recommended</th>
<th>Approved</th>
</tr>
</thead>
<tbody>
<tr>
<td>a. Proposal/motivation for overtime remuneration</td>
<td>Head of Division</td>
<td>Director: Financial Planning and Asset Management</td>
</tr>
<tr>
<td>b. Post evaluation according to approved staff plan</td>
<td>Head of Division</td>
<td>Director: Financial Planning and Asset Management</td>
</tr>
<tr>
<td>c. Post upgrading according to approved staff plan</td>
<td>Director: Financial Planning and Asset Management</td>
<td>Chief Director: Human Resources</td>
</tr>
<tr>
<td>d. Temporary appointments within approved budget</td>
<td>Head of Division</td>
<td>Director: Financial Planning and Asset Management</td>
</tr>
<tr>
<td>e. Attendance of courses, seminars and conferences (local)</td>
<td>Head of Division</td>
<td>Director: Financial Planning and Asset Management</td>
</tr>
<tr>
<td>f. Overseas visits</td>
<td>Chief Director: Finance</td>
<td>Executive Director: Operations &amp; Finance</td>
</tr>
<tr>
<td>g. Staff plans</td>
<td>Chief Director: Finance</td>
<td>Executive Director: Operations &amp; Finance</td>
</tr>
</tbody>
</table>
### 2.4.2.5 Financial operating system

<table>
<thead>
<tr>
<th>Responsibility</th>
<th>Recommended</th>
<th>Approved</th>
</tr>
</thead>
<tbody>
<tr>
<td>a. New financial operating system</td>
<td>Chief Director: Finance Committee, Rector’s Management Team</td>
<td>Finance Committee, Rector’s Management Team</td>
</tr>
<tr>
<td>b. Expansion of existing programmes and/or new operating developments within the present operating system</td>
<td>Deputy Director: Financial and Management systems</td>
<td>Director: Financial Planning and Asset Management</td>
</tr>
<tr>
<td>c. Security authorisation and profile amendments</td>
<td>Head of Environment</td>
<td>Deputy Director: Financial and Management systems</td>
</tr>
</tbody>
</table>

### 2.4.2.6 Financial governance

<table>
<thead>
<tr>
<th>Responsibility</th>
<th>Recommended</th>
<th>Approved</th>
</tr>
</thead>
<tbody>
<tr>
<td>a. Allocation of facilities</td>
<td>Head of Responsibility Centre</td>
<td>Director: Financial Planning and Asset Management</td>
</tr>
<tr>
<td>b. Creation and closure of cost points, with correct allocation of attributes, e.g. value added tax (VAT), levies, interest, account numbers and consolidation</td>
<td>Head of Environment</td>
<td>Deputy Director: Financial and Management systems</td>
</tr>
</tbody>
</table>

### 2.4.2.7 General

<table>
<thead>
<tr>
<th>Responsibility</th>
<th>Recommended</th>
<th>Approved</th>
</tr>
</thead>
<tbody>
<tr>
<td>a. Approval of investigations related to finance</td>
<td>Head of Division</td>
<td>Chief Director: Finance</td>
</tr>
<tr>
<td>b. Currency futures</td>
<td>Director: Purchasing and Provision Services</td>
<td>Director: Financial Planning and Asset Management</td>
</tr>
<tr>
<td>c. Introduction and operation of financial levies</td>
<td>Chief Director: Finance Committee</td>
<td>Finance Committee</td>
</tr>
</tbody>
</table>
### 2.4.2.8 Purchasing and Provision Services/Vehicle fleet

<table>
<thead>
<tr>
<th>Responsibility</th>
<th>Recommended</th>
<th>Approved</th>
</tr>
</thead>
<tbody>
<tr>
<td>a. Approval of Tender Committee</td>
<td>Director: Purchasing and Provision Services</td>
<td>Chief Director: Finance</td>
</tr>
<tr>
<td>b. Approval of tender documents</td>
<td>Director: Purchasing and Provision Services</td>
<td>Chief Director: Finance</td>
</tr>
<tr>
<td>c. Approval for inclusion of supplier in SU list of suppliers</td>
<td>Buyer</td>
<td>Director: Purchasing and Provision Services</td>
</tr>
<tr>
<td>d. Record keeping of surpluses and shortages in stock stores</td>
<td>Director: Purchasing and Provision Services</td>
<td>Director: Financial Services</td>
</tr>
<tr>
<td>e. Donations from second-hand store</td>
<td>Director: Purchasing and Provision Services</td>
<td>Director: Financial Planning and Asset Management</td>
</tr>
</tbody>
</table>

### 2.4.2.9 Financial Services

<table>
<thead>
<tr>
<th>Responsibility</th>
<th>Recommended</th>
<th>Approved</th>
</tr>
</thead>
<tbody>
<tr>
<td>a. Creation of cost points</td>
<td>Applicant</td>
<td>Director: Financial Services or delegate</td>
</tr>
<tr>
<td>b. Approval of new petty cash</td>
<td>Environment and Faculty accountant</td>
<td>Director: Financial Services</td>
</tr>
<tr>
<td>c. Paying of deposits</td>
<td>Applicant</td>
<td>Director: Financial Services</td>
</tr>
<tr>
<td>d. Purchasing of gifts</td>
<td>Applicant</td>
<td>Director: Financial Planning and Asset Management</td>
</tr>
<tr>
<td>e. Approval of repayments to deans</td>
<td>Environment and Faculty accountant</td>
<td>Director: Financial Planning and Asset Management</td>
</tr>
<tr>
<td>f. Signing of financial statements, excepting the consolidated financial statements of the University, annual financial statements of external entities and specific environments in which other rules prevail (centres of excellence, for instance)</td>
<td>Drafter of report</td>
<td>Director: Financial Services</td>
</tr>
<tr>
<td>g. Earlier than normal term payment of suppliers</td>
<td>Petitioner</td>
<td>Director: Financial Services</td>
</tr>
</tbody>
</table>
### 2.4.2.10 Financial and Management systems

<table>
<thead>
<tr>
<th>Responsibility</th>
<th>Recommended</th>
<th>Approved</th>
</tr>
</thead>
<tbody>
<tr>
<td>a. Closure of cost points</td>
<td>Applicant</td>
<td>Deputy Director: Financial and Management Systems</td>
</tr>
</tbody>
</table>

### 2.4.2.11 Student fees and debtors

<table>
<thead>
<tr>
<th>Responsibility</th>
<th>Recommended</th>
<th>Approved</th>
</tr>
</thead>
<tbody>
<tr>
<td>a. Repayment of credit on debtor’s account</td>
<td>Head: Debtors</td>
<td>Deputy Director: Student Fees and Debtors</td>
</tr>
<tr>
<td>b. Approval of writing off bad debt – debtors</td>
<td>Deputy Director:</td>
<td>Director: Financial Planning and Asset Management</td>
</tr>
<tr>
<td></td>
<td>Student Fees and Debtors</td>
<td></td>
</tr>
<tr>
<td>c. Approval of writing off bad debt – student fees and loans</td>
<td>Deputy Director: Student Fees and Debtors</td>
<td>Director: Financial Planning and Asset Management</td>
</tr>
<tr>
<td>d. Approval of handing over outstanding debtors to attorneys – debtors, student fees and loans</td>
<td>Head: Debtors</td>
<td>Deputy Director: Student Fees and Debtors</td>
</tr>
<tr>
<td>e. Consenting to provisional registration of students with outstanding debt</td>
<td>Applicant</td>
<td>Deputy Director: Student Fees and Debtors</td>
</tr>
</tbody>
</table>
### 2.4.2.12 Financial Planning and Asset Management

<table>
<thead>
<tr>
<th>Responsibility</th>
<th>Recommended</th>
<th>Approved</th>
</tr>
</thead>
<tbody>
<tr>
<td>a. Stopping and re-issuing of cheques</td>
<td>Applicant</td>
<td>Director: Financial Services</td>
</tr>
<tr>
<td>b. Issuing of credit cards</td>
<td>Head of Applicant’s Centre of Responsibility</td>
<td>Chief Director: Finance and Director: Financial Planning and Asset Management</td>
</tr>
<tr>
<td>c. Access to credit card machine facilities</td>
<td>Applicant</td>
<td>Director: Financial Planning and Asset Management</td>
</tr>
<tr>
<td>d. Opening of new bank accounts</td>
<td>Applicant</td>
<td>Chief Director: Finance, and Director: Financial Planning and Asset Management</td>
</tr>
</tbody>
</table>

### 2.4.2.13 Tax liabilities and statutory levies

<table>
<thead>
<tr>
<th>Responsibility</th>
<th>Recommended</th>
<th>Approved</th>
</tr>
</thead>
<tbody>
<tr>
<td>a. VAT</td>
<td>Director: Purchasing and Provision Services</td>
<td>Director: Purchasing and Provision Services</td>
</tr>
<tr>
<td>b. Employee Tax</td>
<td>Head: Remuneration</td>
<td>Head: Remuneration</td>
</tr>
</tbody>
</table>
### 2.4.2.14 Commercial Services

<table>
<thead>
<tr>
<th>Responsibility</th>
<th>Recommended</th>
<th>Approved</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>a.</strong> Recommendation of annual increase in residential fees</td>
<td>Director: Commercial Services</td>
<td>Student Accommodation Committee, Finance Committee, Rector's Management Team</td>
</tr>
<tr>
<td><strong>b.</strong> Allocation of money in annual operating budgets of respective environments</td>
<td>Financial Manager: Commercial Services</td>
<td>Director: Commercial Services</td>
</tr>
<tr>
<td><strong>c.</strong> Purchasing of furniture and equipment</td>
<td>Head of Division</td>
<td>Financial Manager: Commercial Services</td>
</tr>
<tr>
<td><strong>d.</strong> Cell phone allowances</td>
<td>Head of Division</td>
<td>Director: Commercial Services</td>
</tr>
<tr>
<td><strong>e.</strong> Purchasing of computer equipment</td>
<td>Head of Division</td>
<td>Financial Manager: Commercial Services</td>
</tr>
<tr>
<td><strong>f.</strong> Incurring larger capital expenditure</td>
<td>Head of Division</td>
<td>Director: Commercial Services</td>
</tr>
<tr>
<td><strong>g.</strong> Incurring lesser capital expenditure</td>
<td>Head of Division</td>
<td>Financial Manager: Commercial Services</td>
</tr>
<tr>
<td><strong>h.</strong> Rental of immovable property in terms of the accommodation business plan (in consultation with Facilities Management)</td>
<td>Director: Commercial Services</td>
<td>Chief Director: Finance or delegate</td>
</tr>
<tr>
<td><strong>i.</strong> Approval of suppliers of copying services</td>
<td>Head of Division</td>
<td>Director: Purchasing and Provision Services</td>
</tr>
<tr>
<td><strong>j.</strong> Tariffs for outside use of facilities (hostels, houses, flats) and tariffs for respective services</td>
<td>Head of Division</td>
<td>Financial Manager: Commercial Services</td>
</tr>
<tr>
<td><strong>k.</strong> Expenditure within normal approved operating budget</td>
<td>Head of Division</td>
<td></td>
</tr>
<tr>
<td><strong>l.</strong> Utilisation of operating budget not mentioned above</td>
<td>Head of Division</td>
<td>Financial Manager: Commercial Services</td>
</tr>
<tr>
<td><strong>m.</strong> Offer to lease (consistently subject to final approval by executive management)</td>
<td>Head of Division</td>
<td>Director: Commercial Services</td>
</tr>
<tr>
<td></td>
<td>Services</td>
<td>Head of Division</td>
</tr>
<tr>
<td>---</td>
<td>--------------------------------------------------------------------------</td>
<td>------------------</td>
</tr>
<tr>
<td>n.</td>
<td>New lease contracts &gt; 6 months</td>
<td>Head of Division</td>
</tr>
<tr>
<td>o.</td>
<td>Temporary lease contracts &lt; 6 months</td>
<td>Head of Division</td>
</tr>
<tr>
<td>p.</td>
<td>Arrangements with tenants for paying off outstanding moneys</td>
<td>Head of Division</td>
</tr>
<tr>
<td>q.</td>
<td>Debentures (pre-approved legal document) for debt exceeding 60 days</td>
<td>Head of Division</td>
</tr>
<tr>
<td>r.</td>
<td>Handing over of tenants for further legal action (breach of contract)</td>
<td>Head of Division</td>
</tr>
<tr>
<td>s.</td>
<td>Amendments to lease contracts regarding authorised sale of products</td>
<td>Head of Division</td>
</tr>
<tr>
<td>t.</td>
<td>Any other amendments to lease contracts</td>
<td>Head of Division</td>
</tr>
<tr>
<td>u.</td>
<td>Refurbishment of premises</td>
<td>Head of Division</td>
</tr>
<tr>
<td>v.</td>
<td>Fixing of leasing tariffs</td>
<td>Head of Division</td>
</tr>
<tr>
<td>w.</td>
<td>Writing off of bad tenant debt</td>
<td>Head of Division</td>
</tr>
<tr>
<td>x.</td>
<td>Approval of suppliers of coin vending machines</td>
<td>Head of Division</td>
</tr>
</tbody>
</table>
2.4.3 Information Technology

2.4.4 InnovUS

2.4.5 Telematic Services

If applicable; still to be completed.

2.5 Chief Director: Strategic Initiatives

If applicable; still to be completed.

2.6 Deans

If applicable; still to be completed.
SCHEDULE OF SIGNING POWERS
<table>
<thead>
<tr>
<th>DESCRIPTION</th>
<th>AUTHORISATION HIERARCHY</th>
<th>LIMITS</th>
</tr>
</thead>
<tbody>
<tr>
<td>Litigation</td>
<td>That one functionary from Group A (Rector or Executive Director: Operations &amp; Finance) together with one functionary from Group B (Executive Director: Finance or Director: Financial Planning &amp; Asset Management) is authorised to sign any documents on behalf of Stellenbosch University to authorise any litigation in any court on behalf of and/or in favour of Stellenbosch University.</td>
<td>No amounts are applicable here</td>
</tr>
<tr>
<td>Disposal of immovable property (also subject to ministerial approval in terms of Section 20 of the Higher Education Act, Act No 101 of 1997)</td>
<td>Rector and Executive Director: Finance, subject to Council decision in terms of Sections 20 and 40 of the Higher Education Act, Act No 101 of 1997</td>
<td>No limits are applied and there are no statutory requirements</td>
</tr>
<tr>
<td>Construction, purchase or long-term lease of immovable property (also subject to ministerial approval in terms of Section 40 of the Higher Education Act, Act No 101 of 1997)</td>
<td>Rector and Executive Director: Finance, subject to Council decision in terms of Section 40 of the Higher Education Act, Act No 101 of 1997</td>
<td>No limits are applied, but it is subject to ministerial approval if the value of the construction, acquisition or long-term lease amounts to more than 5% of the average income for the past two years</td>
</tr>
<tr>
<td>Agreement in relation to the erection of buildings (including appointment of building contractors, architects, consultants, etc.)</td>
<td>Executive Director: Operations and Finance and Executive Director: Finance</td>
<td>No limits are applied</td>
</tr>
<tr>
<td>Subcontracts in relation to the erection of buildings and site work</td>
<td>Executive Director: Operations and Finance and Executive Director: Finance</td>
<td>No limits are applied</td>
</tr>
<tr>
<td>DESCRIPTION</td>
<td>AUTHORISATION HIERARCHY</td>
<td>LIMITS</td>
</tr>
<tr>
<td>---------------------------------------------------------------------------</td>
<td>----------------------------------------------------------------------------------------</td>
<td>---------------------------------------------------------------------------------------------------------------------------------------</td>
</tr>
<tr>
<td>Agreements in relation to the negotiation of loans and banking facilities</td>
<td>Executive Director: Finance, subject to Council decision in terms of Section 40 of the Higher Education Act, Act No 101 of 1997</td>
<td>No limits are applied, but this is subject to ministerial approval if the value of the loan and/or banking facility plus the current value of short- and long-term obligations amounts to more than 5% of the average income for the previous two years.</td>
</tr>
<tr>
<td>Disposal of shares, debentures, etc.</td>
<td>Executive Director: Operations and Finance and Executive Director: Finance</td>
<td>No limits are applied</td>
</tr>
<tr>
<td>Purchase of shares, debentures, etc., and investment/re-investment of University funds</td>
<td>Executive Director: Operations and Finance and Executive Director: Finance</td>
<td>No limits are applied</td>
</tr>
<tr>
<td>Leases</td>
<td>Executive Director: Finance or delegate</td>
<td>No limits are applied</td>
</tr>
<tr>
<td>Agreements in relation to the maintenance of buildings</td>
<td>Executive Director: Finance</td>
<td>No limits are applied</td>
</tr>
<tr>
<td>Agreements in relation to the maintenance of equipment</td>
<td>Executive Director: Finance</td>
<td>No limits are applied</td>
</tr>
<tr>
<td>Formal contract with suppliers and other institutions for the supply of equipment, services, requirements, etc.</td>
<td>Executive Director: Finance or delegate</td>
<td>No limits are applied</td>
</tr>
<tr>
<td>DESCRIPTION</td>
<td>AUTHORISATION HIERARCHY</td>
<td>LIMITS</td>
</tr>
<tr>
<td>-------------</td>
<td>-------------------------</td>
<td>--------</td>
</tr>
<tr>
<td>Other (e.g. contracts in relation to Patent Law)</td>
<td>Executive Director: Operations and Finance and Executive Director: Finance</td>
<td>No limits are applied</td>
</tr>
<tr>
<td>Approval of cheques and electronic payments/transfers from the accounts of Stellenbosch University</td>
<td>Payments should always be approved by two authorised persons, as per the approved list of names, and at least one of the persons who approve the payment shall be within the category Group A (or primary proxy)</td>
<td>Any single payment that exceeds an amount of R5 million should be approved by the Chief Director: Finance, and the Director: Financial Planning and Asset Management or delegate</td>
</tr>
<tr>
<td>Approval of any documents with regard to the University’s banking services</td>
<td>Executive Director: Operations and Finance; Executive Director: Finance; and Director: Financial Planning and Asset Management</td>
<td>No limits are applied</td>
</tr>
</tbody>
</table>

With regard to signing rights for research contracts, the following apply:

<table>
<thead>
<tr>
<th>DESCRIPTION</th>
<th>AUTHORISATION HIERARCHY</th>
<th>LIMITS</th>
</tr>
</thead>
<tbody>
<tr>
<td>Research and research-related contracts</td>
<td>Deans</td>
<td>≤ R500,000</td>
</tr>
<tr>
<td></td>
<td>For the following faculties, contracts ≤ R150,000 are delegated to the Departmental Chairpersons and Directors of Institutes: • Faculty of Engineering • Faculty of Science • Faculty of AgriSciences</td>
<td>≤ R150,000</td>
</tr>
<tr>
<td></td>
<td>Vice-Rector: Research</td>
<td>&gt; R500,000</td>
</tr>
</tbody>
</table>