

DELEGATIONS OF AUTHORITY DOCUMENT - 2013

Section	Risk Management
Contact	Risk Management
Last Review	January 2013
Next Review	January 2014
Approval	SLT 13/04/72

DELEGATIONS DOCUMENT

OVERVIEW

Effective from 31st March 2013

This document details the Delegations of Authority in place at any time. The document will be available on-line to all staff.

Delegations of Authority are detailed for the following:

- [Financial Commitments](#) Section 1
- [Signing of Contracts](#) Section 2
- [Human Resource Delegations](#) Section 3
- [Student related Delegations](#) Section 4
- [Engagement of Solicitors](#) Section 5
- [Use of University Seal, Coat of Arms and Name](#) Section 6
- [Establishment of Research Centres](#) Section 7
- [Space allocation](#) Section 8
- [Records and Documents](#) Section 9
- [Other General Delegations](#) Section 10

Delegations of authority and any agency must always be read subject to and exercised in accordance with:

- (i) Legislation
- (ii) Employment agreements
- (iii) University policy, code of conduct, or procedure
- (iv) University Council approved Delegations Statute
- (v) University Council delegations from time to time

The delegation given under this document relates to the delegates position, not to the individual in that position. The delegate is authorised to take any action or sign any document (subject to any protocols of the University about signing documents) within the authority of his or her delegation. The delegation is to be confirmed in writing to the delegate and reviewed annually. A register of Delegations of Authority ["Delegations Database"] will be maintained by the Risk Manager.

Where indicated, the delegate is permitted to authorise another person to exercise his or her delegation (or any part of it). However,

- a) delegate remains responsible for ensuring that the function is properly exercised
- b) agency must be given in writing using an approved form.
- c) the delegate may still perform the function
- d) the agent cannot give a sub-agency to a third party.

Any delegation must be within the limits of the approved budget or other approved source of funds. Delegates and agents are always subject to the direction and authority of the Vice-Chancellor. The Vice-Chancellor has authority to exercise any delegation of authority specified in this document, and within the Council Delegations. The delegate's supervisor may exercise the same level of authority as the delegate, and has authority to withdraw, or amend delegations within his or her line of responsibility.

Delegations of Authority for Assistant Vice-Chancellors (AVCs), Pro Vice-Chancellors (PVCs) will be confirmed by letter signed by the Vice-Chancellor.

Delegations of Authority for Heads of Department (or equivalent) will be confirmed by letter signed by the relevant PVC or AVC.

Delegations of Authority for all other staff will be confirmed by Agency approved by their respective senior manager.

The following policy applies to financial delegations;

Primary sub-delegations of financial authorities must be over all GL (and associated NP, RM and PR) accounts within the relevant managers budget centre.

Secondary sub-delegations may be made over specific project accounts where the recipient does not already have a primary delegation over the relevant budget centre.

All sub-delegations will be at either \$10,000 (per transaction) or \$20,000 (per transaction)

Sub-delegations are not available at the specific general ledger item or analysis code level.

Financial authorities for capital expenditure are restricted to those with specific approval authority

Definition of Delegation Levels:

Level 1 – University Council (or subcommittee thereof)

Level 2 – Vice-Chancellor

Level 3 – Vice-Chancellor's Senior Management Team which comprises PVCs, DVC, AVCs,

Level 4 – Heads of Department/Institute/School, Directors of Administrative/Support Sections and Directors of Research and Commercial Centres, where directly reporting to a Level 3 Manager.

PART A: INDEX OF DELEGATIONS

For full details of DELEGATIONS OF AUTHORITY please refer to PART B of this document

✧ Indicates that Special Conditions Apply at the indicated Level.

TYPE OF DELEGATION	Ref ¹	LEVEL				SPECIAL CONDITIONS APPLY
		1	2	3	4	
FINANCIAL DELEGATIONS (\$NZ)	Ref¹					
Operating Budget Item	1.1					
Commitment to an annual or one-off item within approved budget and up to \$50K per item			✓	✓	✓	Refer to Delegations Document Section 1.1 for detail
Commitment to operating budget item up to \$150K			✓	✓		
Commitment to operating budget item up to \$300K				✧		AVC - FSI only at Level 3
Commitment to operating budget item > \$300K			✓			Subject to Council delegations
Commitment to overseas travel			✓	✓	✓	Subject to Overseas Leave Regulations and approval procedures
Commitment to unbudgeted expenditure			✓	✓		Requires prior approval by AVC FSI (or delegate)
Capital Budget	Ref	1	2	3	4	
Commitment to one-off item within approved budget and less than \$50K per item	1.1		✓	✓		Refer to Delegations Document Section 1.1 for detail
Commitment to unbudgeted capital expenditure			✓	✓		Requires prior approval by AVC FSI (or delegate)
Commitment to Capital Budget item >\$50K up to \$1 million			✓	✧		Only the AVC – FSI at level 3
Commitment to Capital Budget item > \$1 million			✓			Subject to Council Delegations
Approval of Budgets	1.3		✓			
Approval of sub-delegations of budgets	1.3		✓	✓	✓	May be delegated
Approval of Banking Relationships, including the approval of cheque signatories, and borrowing facilities	1.4	✓				Refer to Treasury Policy
Approval of Purchase Cards Applications	1.9		✓	✓	✧	Refer to Treasury Policy
Acceptance of Gifts for the University	1.10		✓			
Acceptance of Gifts <\$200 in value	1.10		✓	✓	✓	
Discounting of Fees for International Students	1.13		✓	✓		Only AVC A&I, with prior approval of relevant PVC and AVC FSI

¹ Ref = relating section of Part B of the Delegations Document

TYPE OF DELEGATION	Ref	LEVEL				SPECIAL CONDITIONS APPLY
		1	2	3	4	
CONTRACT SIGNING DELEGATIONS	Ref	1	2	3	4	
	2					Refer to Delegations Document Part B, Section 2.0. Note that all Contract Delegations remain subject to special conditions and requirements which are detailed in Part B.
Construction and Buildings	Ref	1	2	3	4	
Signing of Construction/Building contracts up to \$100K	2.1		✓	✧	2	One signature required. Only AVC Operations and University Registrar and AVC FSI may sign at Level 3, or nominated Level 4 Managers listed in Delegations Document
Signing of Construction/Building Contracts greater than \$100K ³	2.1		✓	✧	3	One signature required. Only Vice-Chancellor, or AVC Operations and University Registrar or AVC FSI. Subject to Tenders Board approval. <i>Note special constraints apply.</i>
Equipment and Services	Ref	1	2	3	4	
Signing of Equipment and Services (including Leases) Contracts up to \$100K (one signature required)	2.2.1		✓	✧		One signature required. Nominated Level 3 and 4 Managers listed in the Delegations Document.
Signing of Equipment and Services (including Leases) Contracts greater than \$100K	2.2.2		✓	✧		One signature required. Only Vice-Chancellor and AVC Operations and University Registrar, or AVC FSI. Subject to Tenders Board approval.
Research and Consultancy	Ref	1	2	3	4	
Signing of Research and Consultancy Contracts up to value of \$50K	2.3.3				4	Only AVC – Research and Enterprise may sign at Level 3. HOD/I/S and/or PVC approval required, subject to constraints and special conditions, liability caps and jurisdiction limitations. Sub-delegations apply to nominated individuals at Level 4, listed in the Delegations Document

² Facilities Directors, Capital Development Manager

³ Note that Contracts greater than \$2 million in value, must be signed by the Vice-Chancellor

⁴ Specific sub-delegations may apply to nominated Level 4 managers

Research and Consultancy (Contract Signing) Cont...	Ref	1	2	3	4	
Signing of Research and Consultancy Contracts up to value of \$500K	2.3.3		✓	✦	5	Only AVC - Research and Enterprise may sign at Level 3. HOD/I/S and/or PVC approval required. Subject to constraints and special conditions, liability caps and jurisdiction limitations. Sub-delegations apply to nominated individuals at Level 4, listed in the Delegations Document.
Signing of Research and Consultancy Contracts up to \$1 million			✓	✦	6	Only AVC - Research and Enterprise may sign at Level 3. PVC approval required. Subject to constraints and special conditions, liability caps and jurisdiction limitations. Sub-delegations apply to nominated individuals at Level 4 listed in the Delegations Document
Signing of Research and Consultancy Contracts in excess of \$1 million	2.3.3		✓			Refer to the Research and Consultancy Contracts Policy
Approval of Sub-delegation of signing of Research and Consultancy contracts	2.3.4.1			✓		Only AVC - Research and Enterprise at Level 3
Contract for Service (not covered by above sections)	Ref	1	2	3	4	
Signing of 'Contracts for Service' up to value of \$50,000 in total value	2.4.1				✦	Subject to special conditions Refer to section 2.4. Prior approval by Level 3 Manager is required
Signing of 'Contracts for Service' up to value of \$100,000 in total value	2.4.1		✓	✓		Subject to special conditions. Refer to section 2.4. May be delegated.
Sub-contracting of Teaching	Ref	1	2	3	4	
Signing of subcontracting of teaching contracts, including clinical/practicum placements.	2.6		✓			Prior approval of relevant PVC required before signature. VC may delegate.
International Contracts	Ref	1	2	3	4	
Reciprocal Student Exchange Agreements: Signing of Institution to Institution Agreements (student exchange agreements)	2.7 i)		✓			Prior approval must be obtained from relevant PVC. AVC – Research and Enterprise approval required for all international agreements which include contract research collaboration.
Signing of College Level agreements (student exchange agreements)	2.7 i)		✓	✦		Only AVC-Academic & International at Level 3, subject to above requirement.
All other International Agreements	2.7 ii)		✓			Prior approval must be obtained from relevant PVC. AVC – Research and Enterprise approval required for all international agreements which include contract research collaboration. May be delegated.

⁵ Specific sub-delegations may apply to nominated Level 4 managers

⁶ Director of Research Management Services only

TYPE OF DELEGATION	Ref	LEVEL				SPECIAL CONDITIONS APPLY
		1	2	3	4	
HUMAN RESOURCES	Ref					
Recruitment	3.1					
Establishment of new academic positions up to Senior Lecturer and all general staff positions	3.1.1			✓		May not be delegated, subject to co-approval processes in place from time to time.
Establishment of new Associate Professor and professor positions	3.1.2		✓			May be delegated
Approval of advertising for on-going full time and part-time vacancies of more than 12 months via IMPEL	3.2.1			✓		May be delegated, subject to co-approval processes in place from time to time.
Grades for general staff positions	3.2.3			✦		Shall be approved by HR only.(delegated to Manager Remuneration and Reporting or Nominee. May not be delegated
Engagement of External Recruitment Consultants	3.2.4		✓	✦		Only AVC – People and Organisational Development at Level 3. May not be delegated.
Appointment	Ref	1	2	3	4	
Appointment to Senior Academic and Senior Management team	3.3.2		✓			
Appointment to positions where prospective appointee does not have the required level of academic qualification	3.3.3		✓			May be delegated during VC absences
Appointment of Academic Staff at Lecturer (or equivalent) level and above, up to Associate Professor Level	3.3.4			✓		Relevant PVC at Level 3. May not be delegated.
Appointment of Academic Staff up to Assistant Lecturer level.	3.3.5				✓	Relevant HOD/I/S. May not be delegated
Negotiation of variations to standard terms and conditions of employment	3.3.6			✦		AVC People and Organisational Development with relevant Level 3 Manager
Approval of Appointment salary recommendations at Professor Level	3.3.7		✓			May not be delegated
Appointment of on-going full time and part time general staff (including approval of salary level)	3.3.8			✓		Relevant Level 3 Manager. AVC – People and Organisational Development when relevant Level 3 Manager is not available.
Appointment to all Fixed term positions	3.3.9			✓		May be delegated
Appointment to casual positions up to one month using the TES system.	3.3.10			✓	✓	May be delegated
Appointment of Honorary Academic, Adjunct and Visiting Lecturer or Researcher positions	3.3.11		✓			Delegated to Leave and Ancillary Appointments Committee. Delegated to Pro Vice-Chancellor for appointment of Honorary Teaching and Research Associates, and Adjunct Lecturer/Senior Lecturer.

TYPE OF DELEGATION	Ref	LEVEL				SPECIAL CONDITIONS APPLY
		1	2	3	4	
Appointment (HR) Cont....	Ref	1	2	3	4	
Appointment of Honorary Academic positions "Professor Emeritus"	3.3.12	✓				On recommendation of VC to the Honorary Awards Committee.
Appointment of Supernumerary Academic Positions	3.3.13			✦		AVC - People and Organisational Development on recommendation of relevant PVC
Sign Offers of employment for on-going full-time and part-time academic staff and general staff appointments, and all fixed term appointment of one (1) month or more duration	3.3.14		✓	✦		People and Organisational Development hold specific delegations May not be delegated
Variations to standard relocation allowances	3.3.15			✓		AVC - People and Organisational Development or Deputy Director - HR, after consultation with relevant Level 3 Manager. May not be delegated.
Appointment where applicant has not passed a pre-employment check	3.3.16		✓			Vice-Chancellor or (if significant concern of previous Massey employment) the AVC People and Organisational Development. May not be delegated.
Remuneration	Ref	1	2	3	4	
Approval of annual progression for academic and general staff available on relevant salary scale of Employment Agreement	3.4.3				✓	May be delegated
Approval of accelerated progression	3.4.3			✓		On recommendation of relevant Level 4 Manager. Shall not be delegated
Approval of annual salary reviews for senior staff (listed in 3.4.4 Delegations Document) and those on Individual Employment Agreements	3.4.4		✓	✓		Level 3 for direct reports, VC for direct reports. In consultation with HR. May not be delegated.
Approval of payment of special allowances	3.4.5			✓		Relevant Level 3 Manager after advice from HR Advisor. May not be delegated
Approval of payment of performance bonuses	3.4.6			✓		In accordance with the guidelines issued by People and Organisational Development. May be delegated to Level 4 for Line Managers recommendations.
Approval of Academic Promotion	3.5.1		✦			Refer 3.5.1 of Delegations Document.
Leave	Ref	1	2	3	4	
Approval of annual, sick, bereavement, and long service leave within entitlements	3.7.1			✓	✓	In accordance with Guidelines. May be delegated to nominated "Leave Manager"
Leave in advance of accrued balance	3.7.1			✓	✓	In accordance with Guidelines. May be delegated to nominated "Leave Manager"
Parental Leave	3.7.2			✓	✓	After consultation with relevant HR Advisor
Leave without pay up to 1 month	3.7.3				✓	May not be delegated
Leave without pay greater than 1 month	3.7.3			✓		May not be delegated

TYPE OF DELEGATION	Ref	LEVEL				SPECIAL CONDITIONS APPLY
		1	2	3	4	
Appointment (HR) Cont....	Ref	1	2	3	4	
Leave without pay greater than 12 months	3.7.3			✦		Approval by Leave and Ancillary Appointment Committee. May not be delegated.
Employment Relations (HR)	Ref	1	2	3	4	
Approval of a specified leave applications for Academic and General Staff which fall under the definitions included in the Leave Regulations.	3.7.4		✓			Delegated to Leave and Ancillary Appointments Committee, except Short Leave which is approved by the relevant Level 3 Manager. Managers must obtain sign-off from their Senior Manager before applying to the Leave and Ancillary Appointments Committee for approval. <i>Refer to Leave Regulations.</i>
Negotiation of a Collective Employment Agreement	3.8.1.1		✓	✦		Delegated to AVC – People and Organisational Development, and nominated HR Managers, or HR Advisors. May not be delegated
Approval of Settlement of Collective Employment Contracts	3.8.1.1		✓			May not be delegated.
Negotiation of an Individual Employment Agreement			✓	✦		Delegated to AVC – People and Organisational Development, and nominated HR Managers or HR Advisors as per 3.8.1 of the delegations Document. May not be delegated.
Authorise staff disciplinary investigation	3.8.3.1			✓		Relevant Level 3 Manager, subject to special conditions see 3.8.3.1 Delegations Document. Shall not be delegated
Settling a personal grievance or a dispute about interpretation, application or operation of an employment agreement	3.8.3.3			✦		Only AVC – People and Organisational Development or Employee Relations Manager at Level 3, with concurrence of relevant Level 3 Manager. Shall not be delegated.
Respond to a personal grievance, dispute or compliance order	3.8.3.4			✦	✦	Only AVC – People and Organisational Development or Employee Relations Manager and nominated HR managers. Shall not be delegated
Approval of payment of a non-taxable compensation for humiliation and loss of dignity under section 123 (c) (i) of the Employment Relations Act	3.8.3.5			✦		Relevant Level 3 Manager and AVC - People and Organisational Development
Negotiation and approval of an employee Participation Agreement for Health and Safety	3.8.3.6				✦	Negotiation delegated to University Health and Safety manager with approval by AVC People and Organisational Development. Shall not be delegated
Approval to initiate a restructuring/staff review process	3.8.4.1			✓		Shall not be delegated

TYPE OF DELEGATION		LEVEL				SPECIAL CONDITIONS APPLY
Employment Relations (HR) Cont...	Ref	1	2	3	4	
Responses to requests under the Privacy Act 1993, in respect of named staff	3.8.5.1			✦	7	AVC - People and Organisational Development, or Employee Relations Manager or Employee Relations Advisors as per Delegations Document. Shall not be delegated
Responses to requests under the Official Information Act 1982 in respect of named staff	3.8.5.2			✓		AVC - People and Organisational Development, or Employee Relations Manager or Employee Relations Advisor as per section 3.8.5.2 Delegations Document Shall not be delegated.
Other		1	2	3	4	
Acceptance of Resignation and Retirements	3.9.1			✓	✓	Relevant Level 3 or Level 4 Manager. Shall not be delegated
Approval of Retirement Gratuity	3.9.2			8 ✓		Relevant Level 3, or Level 4 manager, in accordance with the provisions of the Employment Agreement and current University Policy. Shall not be delegated
Staff transfers	3.10.1			✓		Shall not be delegated
Staff secondments	3.11.1			✓		Shall not be delegated

⁷ AVC Operations and University Registrar is the University Privacy Officer. Delegated to AVC – People and Organisational Development for Staff related matters.

⁸ AVC FSI, or AVC People and Organisational Development

TYPE OF DELEGATION	Ref	LEVEL				SPECIAL CONDITIONS APPLY
		1	2	3	4	
Engagement of Solicitors	5.1		✓	✦		Only the AVC Operations and University Registrar and AVC – Research and Enterprise, AVC - People and Organisational Development (for staff related advice) and AVC –FSI, at Level 3, and nominated managers
Execution of Document under University Seal	6.6.1	✓				As specified in Delegations Document.
Establishment (and disestablishment) of University Research Centres and Commercial Centres.	7.1		✓			
Establishment of foundations, trusts, companies	7.2	✓				
Appointment of Trustees and Directors	7.3	✓	✓			Or as stipulated in the relevant Trust Deed or Company Constitution
Allocation of Space for University purposes	8.1			✦		Only AVC Operations & University Registrar within constraints of University Creation of Contracts Policy
Disposal of University Records	9.1					Records Manager only
Acceptance of Service of Court Notices	10.1			✦		AVC Operations and University Registrar only
Acceptance of Service in relation to matter of taxation or Corporate Purposes	10.2				✦	AVC- FSI (or delegate) only

PART B: DELEGATIONS IN DETAIL

1. FINANCIAL DELEGATIONS

Refer to the [Finance Policies](#)

1.1 Commitment to purchase goods and services

The figures below are GST exclusive and apply to the total, rather than annual, value of the contract. These delegations of authority apply to commitments to purchase goods and services and to pay invoices for goods services, or to raise credit notes against invoices. Sub-delegations of authority by way of a Delegations of Authority must not exceed the commitment delegations listed below.

Type of Purchase	Value	Approval required from (before purchase)	Three quotes required (before purchase <u>unless</u> subject to a preferred supplier agreement of other agreement)	Tenders Board approval ⁹ required (before purchase)
Operating Budget Item				
Annual or one-off item (i.e. any individual item within budget)	Within budget	Budget Manager or delegate (1)	>\$10K	>\$100k
Overseas travel (excl: Australia) Note: Overseas leave approval required before purchase	Within budget	Budget Manager or delegate (1)	>\$5K	N/a
Any budget item	Before overspending budget (approved budget variance)	Within total budget: Relevant Level 3 Manager. In excess of total budget: AVC – FSI (or delegate) (5)	>\$10K	>\$100K
Capital Budget Item				
Capital Purchases (3)	Within budget	Budget manager or delegate (1) AVC –FSI (or delegate) (5)	>\$2K	-
	Before overspending budget (approved budget variance)		>\$2K	-
Library Purchasing	Within Budget	University Librarian (1)	-	-
Capital Works (4)	Within project budget	Budget Manager (within project budget) or delegates (1)	>\$5K	>\$100K
Capital Works (4)	Overspending project budget but within Capital works Programme budget <u>OR</u> , Overspending capital works programme budget	AVC - FSI (5) (or delegate) (6)	>\$5K	>\$100K

⁹ Tenders Board Approval process is available in the Procurement Policy which can be located on the Policy Guide

Notes

- (1) All authorities are subject to the following authorised financial delegations per budget item (BUT excluding the financial delegations related to Research, Consultancy and Teaching which are covered by the [Research and Consultancy Contracts Policy](#)).

Operating Budget	Approval required (before commitment)	Major Capital Works/Projects
Over \$300K	Vice-Chancellor (or nominee) ¹⁰	Over \$1 million
Up to \$300K	AVC FSI	\$1million
Up to \$150K	Deputy Vice-Chancellor Assistant Vice-Chancellors (various) Pro Vice-Chancellors	} \$50K } }
Up to \$50K	Budget Centre Managers (Note: This level of \$50K is a maximum. PVC's, DVC or AVCs may set lower Delegation levels for individual Budget Centre	specific delegations } on RFA, and/or as } confirmed } with the } project } authority } Managers.

- (2) Refer to [Financial Monitoring and Control Policy](#) further detail of policy re budgets and procedure for budget overspending.
- (3) Capital Purchases are the part of the University's capital budget devolved to Colleges, Divisions or Campuses and relate solely to equipment purchases with a value less than \$20,000 per items.
- (4) Capital Works are capital development projects as listed on the University's capital projects/works programme and they include major items of equipment (>\$20,000 per item), infrastructure, major and minor capital works. Refer [Capital Projects/Works Policy](#)
- (5) Approval obtained by submission of Requests for Financial Authority to the Office of AVC - FSI Refer to [Capital Planning and Approval Process](#).
- (6) AVC – FSI may sub-delegate in writing authority in some cases e.g. Minor Capital Works, Equipment, and Information Technology.

¹⁰ Financial delegations in respect of operating and capital expenditure are subject to limitations contained in the Vice-Chancellors Delegations of Authority approved by the University Council, and the Delegations Statute.

1.2 Authorisation of payment

Delegations to authorise payment (including reimbursement of expenses, are achieved through an approved list of financial authorities that are held by Finance and Asset Management and reviewed annually. *For clarity, only those individuals with approved delegations of authority listed in the Delegations Database may approve commitments, payments, including reimbursement of staff expenses, and signing of timesheets.*

Delegates **must not** approve reimbursement of their own personal expenditure, nor can expense reimbursement be approved by staff who report to this position. This must be authorised by the Supervisor to whom the delegate reports. Refer [Reimbursement of Expenses Policy](#).

1.3 Budget

All budgets are allocated on the approval of the Vice-Chancellor.

Budgets may be delegated by Budget Managers, within their area of responsibility and within the constraints of the financial delegation detailed in item 1.1. A register of such delegations must be provided to the Risk Manager on request each year.

1.4 Banking relationships

Banking relationships are established by AVC - FSI and are subject to approval by the Vice-Chancellor or Council, in accordance with the Treasury Framework section 2.

Once approved, authority to operate will be delegated to the AVC - FSI (or delegate) Refer to [Treasury Policy](#) and [Treasury Framework](#).

1.5 Cheque signatories

A schedule of all cheque signatories must be retained and maintained up-to-date by the Chief Financial Accountant – Finance and Asset Management. Two signatories must sign all cheques. Refer to [Treasury Policy](#) and [Treasury Framework](#).

1.5.1 Computer generated cheques

Signatories to computer generated cheque will be nominated by the Vice-Chancellor, and approved by the Audit and Risk Committee of Council.

1.5.2 Manual cheques

Signatories to manual cheque will be nominated by the AVC - FSI and approved by the Vice-Chancellor.

1.6 Borrowing

All borrowing shall be undertaken following approval of specific facilities by the Council. This may involve prior scrutiny by the Audit and Risk Committee of Council or a specially convened Council committee. Refer to [Treasury Policy](#) and [Treasury Framework](#).

Once approved, authority to operate will be delegated to the AVC - FSI (or a delegated subordinate)

1.7 Investment of Funds/Lending

Authority to invest/lend within constraints of treasury policy will be delegated to the AVC FSI (or a delegated subordinate). Refer to [Treasury Policy](#) and [Treasury Framework Section 3](#).

1.8 Risk Management

All facilities for interest rate hedging shall be approved by the Vice-Chancellor, on advice from the AVC FSI

The AVC - FSI will put facilities for advice in place as necessary. Any hedging will be carried out under the direct auspices of the AVC - FSI Refer to [Treasury Policy](#) and [Treasury Framework](#).

1.9 Purchase Cards/ecommerce/credit cards

Purchase Cards

The Budget Centre Manager (or the Budget Centre Manager's Supervisor where the Budget Centre Manager is applying for a purchase card) will authorise all Purchase card applications.

The AVC - FSI (or nominee) and the University's Purchase Card Authorising Officer will co-sign all Visa Purchasing Card "Commercial Cardholder Request Forms".

The University's Purchase Card authorising officers are the Accounts Payable Supervisor and the Financial Accounting Manager. Refer to [Credit Card Policy](#).

1.10 Gifts and Hospitality

The Vice-Chancellor or delegate may accept at the Vice-Chancellor's sole discretion gifts for use or enjoyment by staff and gifts where the University derives a benefit.

Staff may accept hospitality and corporate gifts from a supplier provided that these are reasonable in number and reasonable in value. It is not expected that any individual items would exceed \$200 in value. Refer to [Discretionary Expenditure Policy](#).

1.11 Write-off of Fees and Fee Waivers

The AVC - FSI, or authorised nominee, will authorise write-off of fees up to the value of \$50K, for any one item for any one debtor. Refer to [Student Refund and Fee Protection Policy](#).

1.12 Write-off of Bad Debts

The AVC - FSI or authorised nominee will authorise write-off of Bad Debts up to the value of \$2K, for any one item. Refer to [Asset Disposal and Write-off Policy](#).

1.13 Discounting of Fees

The AVC - Academic and International will authorise the discounting of fees for domestic and international students, following approval from the relevant PVC, and the AVC - FSI. Refer to [International Fees Scholarship and Discounts Policy](#).

2. CONTRACT SIGNING DELEGATIONS

Under the provisions of the Massey University Act 1963 and the Education Act 1989, only the Vice-Chancellor or his/her delegated nominee may sign contracts, which commit the University.

The term “contract” in this context means any agreement, which commits the University in financial or legal terms, and includes contracts relating to

- Construction/Buildings (and leases relating to Property)
- Equipment (and leases relating to Equipment)
- Services (including consulting and legal services)
- Research and Consultancy
- Employment
- Teaching
- International

All contracts must be referred to the appropriate section (see below) for review of the wording in a legal context and the commitment so that, if necessary, they can be referred to the University Solicitors (subject to Section 4 of this document). Refer to [Contract Management Policy](#).

All financial leases, and associated financial commitments, must have the prior written approval of the AVC – FSI, and be signed by the VC or delegate (AVC FSI)

All contracts must adhere to the policies and procedures relating to the specific class of contracts. Contracts pertaining to land and buildings, and all Deeds must be signed under Seal.

Please note that contracts in excess of 5 years duration, and/or \$2 million per annum are considered material transactions and must be signed by the Vice-Chancellor.

As a matter of principle the person reviewing the contract should not be the person signing the contract i.e. an independent review of all contracts is required. Then, provided they meet all requirements, they can be reviewed and signed at the following levels:

2.1 CONSTRUCTION/BUILDINGS (SUBJECT TO FINANCIAL AUTHORITY APPROVAL)

Responsibility for pre-signature review and registration of a standard contract in the Contract Register:

One or more of the following:

- Campus Facilities - Project Manager
- Facilities Director
- Campus Accountant

Responsibility for signing:

Standard Contracts up to \$100,000

- AVC Operations and University Registrar
- Facilities Directors
- Capital Development Manager
- AVC – FSI
- Individual University employees with specific delegations to sign contracts, as authorised by the Vice-Chancellor (or Delegate).

Standard contracts in excess of \$100,000 (note that: purchases in excess of \$100K are required to go through Tenders Board, and must only be signed in accordance with to Tenders Board approval)

Any one of the following:

- AVC Operations and University Registrar
- AVC - FSI
- Individual University employees with specific delegations to sign contracts as authorised by the Vice-Chancellor.

2.2 EQUIPMENT AND SERVICES (EXCLUDING EMPLOYMENT RELATED SERVICES)

2.2.1 Up to \$100,000

Note: Contracts of less than \$100,000 where the University approved contract template has not been used should be escalated to signing level to that detailed in 2.2.2 below.

Responsibility for pre-signature review and registration of contract in the Contract Register:

One or more of the following:

- Chief Information Officer (IT Equipment & Services)
- Contracts and Procurement Manager
- AVC – People and Organisational Development
- Capital Development Manager
- Facilities Directors
- Senior Procurement Analyst

Responsibility for signing:

- AVC Operations and University Registrar
- AVC - FSI
- AVC - People and Organisational Development
- Contracts and Procurement Manager
- National Capital Asset Manager
- Chief Information Officer (IT Equipment & Services)
- Individual University employees with specific delegations to sign contracts as authorised by Vice-Chancellor (or Delegate)

2.2.2 In excess of \$100,000 (note that: purchases in excess of \$100K are required to go through Tenders Board and must only be signed in accordance with to Tenders Board approval)

Responsibility for pre-signature review and registration of contract in the Contract Register:

One or more of the following:

- Chief Information Officer (IT Equipment and IT Services)
- Contracts and Procurement Manager,
- Facilities Directors
- Campus Registrars
- National Capital Asset Manager
- Capital Development Manager

Responsibility for signing:

Any one of the following:

- Vice-Chancellor
- AVC Operations and University Registrar
- AVC - FSI
- Individual University employees with specific delegations to sign contracts, as authorised by the Vice-Chancellor.

2.2.3 The establishment of specific individual delegations for the purposes of the signing contracts will be by letter from the Vice-Chancellor on the recommendations of the AVC Operations and University Registrar or the appropriate AVC (depending on the level delegated as above). The University Risk Manager will maintain a register of current delegations (by letter). All persons delegated to sign contracts must satisfy themselves that the contract is entered in the Contracts Register with all necessary properties identified to enable effective monitoring and management.

2.3 RESEARCH AND CONSULTANCY (INCLUDING GOVERNMENT RESEARCH AND NEW INITIATIVE FUNDING)

Please also refer to the University's [Research and Consultancy Contracts Policy](#)

Delegations for signing of research, consultancy, and related contracts are as follows:

2.3.1 Delegations are expressed according to levels (upper limits) of "risk factors". These levels are to be read severally (i.e. if a contract is outside any one of the defined parameters it passes to the next level of delegation).

2.3.2 All persons delegated to sign contracts must provide the original signed contract to their regional Research Management Services Office for entry into the Contracts Register, within 5 working days of signing.

2.3.3 It is incumbent upon all persons signing contracts to ensure that they address not only the risk factors, which determine delegation levels, but also other risk factors such as whether defined deliverables are realistic, and

procedures for ensuring that the University will be able to enforce payment under the contract. In cases of doubt, advice should be sought from Research Management Services.

The figures below are GST exclusive and apply to the total, rather than annual, value of the Contract

"RISK FACTOR"	Delegated Individuals are entitled to sign contracts within the following parameters		
	DELEGATION LEVEL		
	A	B	C
Liability cap	\$0 - \$50,000	\$0 - \$500,000	\$0 - \$1,000,000
Total contract value	\$0 - \$50,000	\$0 - \$500,000	\$0 - \$1,000,000
Jurisdiction	New Zealand only	New Zealand Only	Within or outside NZ
Maximum Duration of Contract	0 - 3 years	0-5 years	0 - 5 years

Delegations

Level A: Directors of Research Centres (only where this delegation is expressly authorised in the Centre Agreement) and after approval of the relevant HOD/I/S and /or relevant PVC.

Level B: Individual University employees with specific delegations to sign Research and Consultancy Contracts for Provision of Services by the University, and after approval of the relevant PVC.

Level C: Director, Research Management Services; AVC – Research and Enterprise. Contracts should be approved by the Pro Vice-Chancellor of the relevant College before being forwarded for signature.

All other contracts (i.e. those for which the liability cap is greater than \$1,000,000 or the total contract value is greater than \$1,000,000 or the contract has a maximum duration greater than 5 years) can be signed only by the Vice-Chancellor, or the AVC Operations and University Registrar, as his or her delegate. However, these contracts may be signed at Level C if the contracts are standard contracts with organisations listed and exempted in the Sub-section 2.3.5.1 iii) below.

For avoidance of doubt, those individuals at delegation Level C can sign contracts which are within the risk factor parameters of both Levels A, B and C, whereas those individuals at delegation level A or B can only sign contracts which are within the risk factor parameters of Level A, or Level B respectively.

2.3.4 Procedures for sub-delegation of Authority for signing Research and Consultancy Contracts

2.3.4.1 The AVC – Research and Enterprise can sub-delegate Research and Consultancy contract approvals to other university staff within allowable levels of delegation under the University's Delegations Policy. In order to sub-delegate responsibility for approving research and consulting to College-based staff, Pro Vice-Chancellors must provide the AVC – Research and Enterprise with names of staff in writing they wish to have sub-delegated authority in this area.

- 2.3.4.2 Both the AVC – Research and Enterprise and Pro Vice-Chancellors must give due regard to the integrity and skill levels of those recommended for sub-delegated authority prior to a decision to delegate.
- 2.3.4.3 The University's Risk Manager will maintain a written register of those with approved sub-delegated authority to approve Research and Consultancy contracts.
- 2.3.4.4 The AVC – Research and Enterprise may, from time to time, commission an audit of processes associated with those holding sub-delegated authority.

2.3.5 Conditions under which sub-delegation can be exercised

2.3.5.1 Provision of research and consultancy services by the University

- i) Those with sub-delegated authority to conclude contracts, where Massey University is the provider of the service, can do so subject to the following conditions:
- Meet all conditions applying to those with delegated authority;
 - A Pro Vice-Chancellor or nominee reviews the contract prior to final approval;
 - Contract information (as specified by the AVC - Research and Enterprise) is entered by the delegate into Contract Register in Research Information Management System (RIMS) within five working days of approval (i.e. review and sign-off) of the contract;
 - Final, original signed hardcopies of contracts are lodged with Research Management Services within five working days of approval;
 - The contract has a total agreed value of \$500,000 (GST Exclusive) or less;
 - The stated duration of the contract is five years or less;
 - The purchaser is New Zealand-based.
- ii) All such contracts will include a standard blanket clause (the wording of which is issued and approved by the AVC – Research and Enterprise) which covers the following:
- Ownership of Intellectual Property;
 - A liability cap of \$500,000 in respect to direct failure of the University to perform;
 - No acceptance of consequential or indirect liability by the University.
- iii) The blanket clause need not be applied in respect to contracts with the following agencies:
- The Royal Society of New Zealand, the Health Research Council of New Zealand, the Ministry of Business, Innovation, and Employment, where the contract is with these agencies alone or in combination with other of these agencies;
 - All Statutory Crown Entities listed under Schedule 1 (Parts 1-3) of the Crown Entities Act 2004 where the contract is with these agencies alone or in combination with other entities listed under this Schedule. Contracts with these agencies *will* require the inclusion of the blanket Intellectual Property sub-clause, but not liability sub-clauses.

2.3.5.2 Purchase of research and consultancy services by the University

- i) Those with sub-delegated authority to conclude contracts, where Massey University is the purchaser of the service, can do so subject to the following conditions:
- Meet all conditions applying to those with delegated authority;
 - A Pro Vice-Chancellor or nominee reviews the contract prior to final approval;
 - Contract information (as specified by the AVC – Research and Enterprise) is entered by the delegate into Contract Register in Research Information Management System RIMS upon approval of the contract;
 - Final, original signed hardcopies of contracts are lodged with Research Management Services within five working days of approval;
 - The contract has a total agreed value of \$50,000 (GST Exclusive) or less;
 - The stated duration of the contract is three years or less;
 - The contract uses a standard Massey sub-contracting template, the wording of which is approved and issued by the AVC – Research and Enterprise;
 - The provider is New Zealand-based.

2.3.6 Withdrawal of authority for concluding research and consultancy contracts

- i) The AVC – Research and Enterprise can withdraw sub-delegated authority to conclude research and consulting contracts in whole or part, with immediate effect for any material breach of the conditions set out above or for any other matter or event likely to place the University under significant risk;
- ii) The AVC – Research and Enterprise must notify the delegated staff member and relevant Pro Vice-Chancellor of this decision in writing and cite the reasons for this decision.

2.4 CONTRACTS FOR SERVICE FOR ACADEMIC AND GENERAL STAFF DUTIES

Contracts for Service are agreements entered into with Third Parties who are not employees, but are contracted to provide services to the University.

Prior approval by the Level 3 Manager of Contracts for Service positions for academic and general staff duties is required in accordance with section 3.8.2.1

Such agreements must comply with the [Contract Management Policy](#), available on the Policy Guide website, and must be documented on the Massey University Approved Contract for Services Template available via the Policy Guide.

Delegations for Signing

1. **All** criteria listed below must be in place to enable signing at Level A or at Level B. Where any criteria are omitted the Contract for Service automatically escalates to the next level. For clarity, this means where criteria exceed that listed for Level A, it will escalate to Level B. When criteria exceeds Level B, Contracts for Service may only be signed by the Vice-Chancellor (or AVC Operations and University Registrar as his or her delegate), following the written approval of the relevant AVC or PVC.

2. All persons delegated to sign contracts must provide the original signed contract to their nominated Contract Co-ordinator for entering into the Contract Register and secure storage, with **5** days of signing. **All** Contracts for Service must be entered into the Contract Register from 1 January 2009.
3. The figures below are GST exclusive and apply to the total, rather than annual, value of the Contract.

Risk Factor	<i>Delegated individuals are entitled to sign Contracts for Service within the following parameters</i>	
	A	B
Liability Cap	\$0 - \$50,000	\$0 - \$100,000
Total Contract Value	\$0 - \$50,000	\$0 - \$100,000
Jurisdiction	New Zealand only	New Zealand only
Maximum contract duration (including right of renewals)	0 – 3 years	0 – 5 years
Agreement format	Must be on the approved MU Approved Contract for Services Template	Must be on the approved MU Approved Contract for Services Template

Level A – Directors of Research Centres (only where this delegation is expressly authorised in the Centre Agreement), and Heads of Department/Institutes/School/Sections approved at Level 4 of the Delegations of Authority Policy, within their area of influence and control, and within approved operating budgets

Level B – AVC/PVC within their area of influence and control, and within approved operating budgets

Authority to sign Contracts for Service up to Level A may be sub-delegated by the relevant AVC/PVC to nominated individuals under the Delegations Policy. A schedule of such delegations must be provided in writing to the AVC Operations and University Registrar prior to the delegation is established, and due regard must be given to the integrity and skill level of those recommended for sub-delegated authority. The University's Risk Manager will maintain a written register of those approved sub-delegated authority to sign Contracts for Service.

The AVC Operations and University Registrar may, from time to time, commission an audit of processes associated with those holding sub-delegated authority.

Sub-delegated authority may be withdrawn with immediate effect or any material breach of the terms and conditions set out in this authority or for any other matter or effect likely to place the University under significant risk.

2.5 Employment (“Contracts of Service”)

For policies relating to employment contracts refer to People and Organisational Development Section of the Policy Guide, or contact People and Organisational Development Section, Palmerston North.

2.6 Teaching (e.g. conjoint arrangements, articulation agreements, and sub-contracting)

All contracts for teaching activity must be signed by the Vice-Chancellor (or delegate) after approval of the relevant PVC. Refer to the [Sub-contracting of Teaching Activity Policy](#) and the [Policy relating to the International Delivery of Qualifications](#).

2.7 International

- i) **Reciprocal Student Exchange Agreements.** Agreements, including Memorandums of Understanding in respect of student exchange programmes must be approved and signed by ;
 - the Vice-Chancellor in cases of institution to institution level agreements,
 - the AVC - Academic and International in cases of College level agreements.Prior approval must be obtained from the relevant Pro Vice-Chancellor. Prior approval must also be obtained from the AVC – Research and Enterprise, if the agreement includes contract research collaboration.
- ii) **All other International Contracts.** Must be approved and signed by the Vice-Chancellor. Prior approval must be obtained from the relevant Pro Vice-Chancellor. Prior approval must also be obtained from the AVC – Research and Enterprise, if the agreement includes contract research collaboration.

The Contract Register will be maintained for all contracts. Entries to the register will be made by the Contract Manager, Refer to the Contract Document Management Procedure.

3. HUMAN RESOURCES DELEGATIONS

Refer to [Human Resources Policies](#)

The Vice-Chancellor is the employer of all staff at Massey University and, under Section 197 (7) of the Education Act 1989, has delegated to all Managers of staff in the University through this written delegation, the general responsibility for managing day to day staffing matters, within the parameters and limitations set out in this delegations document. This delegation is reflected in letters of appointment and/or job descriptions where staff management is included as part of the formal job responsibilities.

All Human Resource Delegations must be exercised in accordance with legislation, University Policy and procedures and/or staff employment agreements.

Human Resources delegations may be sub-delegated in writing, where this document permits, but shall not be sub-delegated to a staff member who does not have staff management responsibilities (except as permitted in 3.3.10). The accountability for any delegation sub-delegated remains with the delegation holder.

Definition of Delegation Levels:

Level 1 University Council (or subcommittee thereof)

Level 2 Vice-Chancellor

Level 3 Vice-Chancellor's Senior Management Team which comprises PVCs and AVCs,

Level 4 Heads of Department/Institute/School, Directors of Administrative/Support Sections and Directors of Research and Commercial Centres, where directly reporting to a Level 3 Manager.

Line Managers - Other Managers, Team Managers, Team leaders and other position with staff responsibilities, with or without budget responsibility.

3.1 ESTABLISHMENT OF NEW POSITIONS

3.1.1 Subject to co-approval processes in place from time to time, new positions, academic to the level of Senior Lecturer and all general staff positions, shall be approved for establishment by the relevant Level 3 Manager. This provision shall not be sub- delegated.

3.1.2 Subject to co-approval processes in place from time to time, new positions at the Associate Professor and Professor level shall be approved for establishment by the Vice-Chancellor. This provision may be sub-delegated.

3.2 RECRUITMENT

3.2.1 All on-going full time and part-time vacant positions and fixed-term positions of more than twelve (12) months shall be requested and approved through the ImpelHR recruitment management system in accordance with the delegations set out in this document.

3.2.2 Requests to advertise positions shall be approved by the relevant Level 3 Manager subject to co-approval processes in place from time to time. This provision may be sub-delegated.

3.2.3 Grades for general staff positions shall be approved by the People and Organisational Development Section and shall be in line with the University's job evaluation system. This provision shall not be sub-delegated.

3.2.4 The AVC - People and Organisational Development is authorised to engage an external Recruitment Consultancy Company for the purposes of recruitment. This provision shall not be sub-delegated.

3.3 APPOINTMENT

3.3.1 Selection committee membership shall be approved by the relevant Level 4 Manager except in the case of selection committees for appointments under 3.3.2 below where the approval of the Vice-Chancellor will be required. This provision may be sub-delegated.

3.3.2 The Vice-Chancellor shall approve the following:

- a) Appointments to Pro Vice-Chancellors, and Assistant Vice-Chancellors.
- b) Acting appointments to Level 3 positions
- c) All Professorial appointments

3.3.3 The Vice-Chancellor shall approve all academic appointments where the prospective appointee does not have the required level of academic qualification. This provision may be sub-delegated by the Vice-Chancellor from time to time, during absences.

3.3.4 The relevant Pro Vice-Chancellor shall approve all on-going academic appointments (including salary level) at Lecturer (or equivalent) level and above up to Associate Professor level. Appointments will be consistent with the [Strategic Research Capability Policy](#). This provision shall not be sub-delegated.

3.3.5 The relevant Level 4 Manager will approve all on-going academic appointments (including salary level) up to Assistant Lecturer level. This provision shall not be sub-delegated

3.3.6 The AVC – People and Organisational Development, or relevant Human Resources Adviser will negotiate, in consultation with the relevant Level 3 Manager, any variation to standard terms and conditions of employment on a case by case basis. This provision shall not be sub-delegated.

3.3.7 The relevant Level 3 Manager shall approve all appointment salary recommendations that fall outside the University's remuneration framework, except in the case of Professor appointments where the salary shall be approved by the Vice-Chancellor. This provision shall not be sub-delegated.

3.3.8 The relevant Level 3 Manager shall approve all on-going full time and part-time general staff appointments (including salary level) in their respective College/Division. The AVC – People and Organisational Development has delegated authority to approve general staff appointments in the absence/unavailability of the Level 3 Manager. This provision may be sub-delegated.

3.3.9 The relevant Level 3 Manager shall approve all fixed-term appointments. This provision may be sub-delegated.

3.3.10 The appointment of casual positions (*of less than one month for each engagement*) shall be approved by the relevant Level 4 Manager and may be sub delegated to a budget centre manager and/or business manager and/or Line Managers who holds the appropriate financial authority to commit expenditure.

All such appointments must be made using the temporary employment procedures as published by People and Organisational Development.

3.3.11 The Leave and Ancillary Appointments Committee shall approve all Honorary Academic appointments at Professor level, Adjunct and Visiting Lecturer or Researcher appointments shall be approved by the relevant Pro Vice-Chancellor. Refer [Honorary Academic Appointments Policy](#).

3.3.12 The Honorary Awards Committee, under delegation of Council, shall approve appointment to the position of 'Professor Emeritus' on a recommendation from the Vice-Chancellor.

3.3.13 The AVC – People and Organisational Development shall approve appointment to any academic Supernumerary position on a recommendation from the relevant Pro Vice-Chancellor. Refer [Appointment to Supernumerary Academic Positions Policy](#).

3.3.14 The AVC – People and Organisational Development, HR Advisers, Team Leader - HR Services or Deputy Director – Human Resources or HR Services Manager shall sign all offers of employment for on-going full time & part-time academic and general staff appointments and all fixed-term appointments of one (1) month or more duration, on behalf of the Vice-Chancellor as the Employer. This provision shall not be sub-delegated.

3.3.15 The AVC – People and Organisational Development or Deputy Director - Human Resources shall approve any variations to the standard relocation assistance offered to new appointees in consultation with the relevant Level 3 Manager. This provision shall not be sub-delegated.

3.3.16 The Vice-Chancellor's approval is required for any appointment of an applicant who has not passed a pre-employment check, except that the appointment may be approved by the AVC People and Organisational Development where the pre-employment check issue is limited to significant concerns about previous employment at Massey.

3.4 REMUNERATION

3.4.1 Academic and general staff in on-going full time and part-time positions and fixed-term appointments shall be remunerated in accordance with the relevant Employment Agreement, at the salary level approved by the Vice-Chancellor (with regard to level three appointments) and level 3 Managers (with regard to Level 4 and lower appointments). Advice from the relevant HR Adviser should be sought on all appointment salaries. This provision may be sub-delegated to a Level 4 Manager where appropriate.

3.4.2 All staff employed on a casual basis (*for less than one month for each engagement*) in accordance with item 3.3.10 shall be remunerated at a rate determined by the appropriate Level 4 Manager, having taken advice from the relevant HR Adviser and ensuring that the pay rate is at least at or above the minimum wage. This provision shall not be sub-delegated.

- 3.4.3 Annual salary reviews for all academic and general staff covered by an Employment Agreement on a collective or individual basis will be conducted in accordance with the provisions of that Agreement. The appropriate Level 4 Manager will approve standard annual progression available on the relevant salary scale. Where accelerated progression is available and recommended for general staff it shall be considered and approved by the appropriate Level 3 Manager. This provision shall not be sub-delegated.
- 3.4.4 The relevant Level 3 Manager shall approve annual salary reviews for Heads of Academic Departments, Schools, Institutes, Academic Directors, Managers and Directors, Professors, Associate Professors and professional staff on individual Employment Agreements. This approval should be given in consultation with the Deputy Director - Human Resources who, where appropriate, will provide information and advice on the remuneration framework for these staff. The AVC – People and Organisational Development will provide the Vice-Chancellor with a report of all annual salary reviews at this level. This provision shall not be sub-delegated.
- 3.4.5 Recommendations for payment of allowances relating to recruitment, retention, special responsibilities or for duties over and above a staff member's existing Employment Agreement, will be approved by the appropriate Level 3 Manager after taking advice from the relevant HR Adviser. This provision shall not be sub-delegated.
- 3.4.6 Recommendations for payment of performance bonuses will be approved by the appropriate Level 3 Manager in accordance with any guideline issued by People and Organisational Development group. This provision may be sub-delegated to level 4 enabling approval of recommendations from Line Managers.

3.5 ACADEMIC PROMOTION

- 3.5.1 Academic promotion is subject to the approval of the relevant Academic Promotions Committee and any associated salary increase is subject to the approval of the Vice-Chancellor. Refer [Academic Promotions Booklet](#).

3.6 GENERAL STAFF BONUS PAYMENTS

- 3.6.1 Recommendations for general staff to receive A lump sum "Bonus Payment (Performance)" or a "Bonus Payment (One Off Special Contribution)" are subject to approval by the appropriate Level 3 Manager which will be exercised in accordance with any guideline issued by People and Organisational Development.

3.7 LEAVE

- 3.7.1 Annual, sick, bereavement and long service leave within entitlements at the time the leave will be taken shall be approved by Line Managers who have been designated as a "Leave Manager" by the relevant Level 3 or Level 4 Manager. Leave in advance of accrued entitlements may be approved by the relevant Level 3 Manager, in accordance with any guidelines in operation from time to time
- 3.7.2 Parental Leave shall be approved by the relevant Level 4 or Level 3 manager, once eligibility has been established by the relevant Human Resources Advisor. This provision shall not be sub- delegated.

- 3.7.3 Leave without pay of up to one month duration is at the discretion of the relevant Level 4 Manager. Leave without pay in excess of one month and less than one year is at the discretion of the relevant Level 3 Manager. Periods of Leave without pay in excess of 12 months are at the discretion of the Leave and Ancillary Appointments Committee. All approvals are subject to annual leave being taken before the leave without pay commences. This provision shall not be sub-delegated.
- 3.7.4 The Leave Regulations contained in the Guide to Policies, Procedures and Regulations (the 'Policy Guide') cover Research Leave Overseas, Research Leave in New Zealand, Business Leave, Service Leave Overseas, Leave With Pay, Leave Without Pay in excess of 12 months and Leave for Sport. All of these require approval by the Leave and Ancillary Appointments Committee, with the exception of Short Leave Overseas which is approved by the relevant Level 3 Manager.

3.8 EMPLOYMENT RELATIONS

3.8.1 Employment Documentation (Contract 'for' and 'of' Services)

- 3.8.1.1 Negotiating a Collective Employment Agreement, the Employer advocacy role and management of the bargaining process has been delegated to the AVC – People and Organisational Development, Employment Relations Manager and nominated HR Managers and advisors. This provision shall not be sub-delegated.
- 3.8.1.2 The AVC – People and Organisational Development, Employment Relations Manager, and nominated HR Managers and advisors will negotiate Individual Employment Agreements. Individual Employment Agreements shall be in a form authorised by the Employment Relations Manager and any variations to the standard provision of either a Collective Agreement or the Individual Employment Agreement must be authorised by the Employment Relations Manager. This provision shall not be sub-delegated.

3.8.2 Contracts for Service Positions (Academic and General Staff duties only)

- 3.8.2.1 All Contracts for Services entered into with an individual or a limited company for work that falls within the normal duties of any academic or general staff position **must** meet the tests and criteria set out in the Contractor Management Policy and associated procedures and be approved by the relevant Level 3 Manager. This provision shall **not** be sub-delegated. Refer to item 2.4 for contract signing delegations.

3.8.3 Disciplinary, Investigation and Disputes Processes

- 3.8.3.1 The relevant Level 3 Manager may authorise the undertaking of any staff disciplinary investigation into non-performance or alleged misconduct/serious misconduct including the application of any penalty to the level of final warning. However, where the outcome of the investigation is likely to result in dismissal from employment, written approval to proceed with the dismissal shall be sought from the Vice-Chancellor. Any investigation shall be conducted in accordance with the principles of natural justice, legislation and provisions of the relevant Employment Agreement. Managers should not undertake a staff disciplinary investigation without seeking the advice of the Employment Relations Manager, Employment Relations Advisor or the relevant Human Resources Advisor. This provision shall not be sub-delegated.

- 3.8.3.2 Managers with the delegation to manage day to day staffing matters shall manage the majority of employment relationship problems that arise in the workplace including the unsatisfactory performance of an employee, with the assistance and support of the Employment Relations Manager, the Employment Relations Adviser or the relevant Human Resources Advisor.
- 3.8.3.3 Settlement of a personal grievance, a dispute about the interpretation, application, or operation of an employment agreement or a compliance order will be undertaken by either the AVC – People and Organisational Development, Employment Relations Manager, Employment Relations Adviser or Human Resources Adviser, in consultation with the relevant Level 3 or Level 4 manager. This provision shall not be sub-delegated
- 3.8.3.4 The AVC – People and Organisational Development, Employment Relations Manager, Employment Relations Adviser, or Human Resources Advisors (in consultation with one of the previous positions), and in consultation with the relevant Level 3 or Level 4 Manager, shall respond to a personal grievance, dispute or compliance order (as defined by the Employment Relations Act 2000). This provision shall not be sub-delegated.
- 3.8.3.5 Payment of any non-taxable compensation amounts under Section 123(c)(i) of the Employment Relations Act 2000 (for humiliation and loss of dignity arising from a personal grievance) requires the approval of the relevant Level 3 manager and the AVC – People and Organisational Development or Employment Relations Manager. This provision shall not be sub-delegated.
- 3.8.3.6 Negotiation and approval of an Employee Participation Agreement for Health and Safety shall be negotiated by the University Health and Safety manager, and approved by the AVC People and Organisational Development. This shall not be delegated.

3.8.4 Restructuring and Staff Reviews

- 3.8.4.1 Approval to initiate, consult on and implement a restructuring or staff review process which is likely to result in changes to the organisational structure, staffing levels (specifically redundancies) and/or work practices will be authorised by the relevant Level 3 Manager. The Vice-Chancellor shall be informed of any restructuring/review proposal that will result in staff redundancies by the relevant Level 3 Manager. This provision shall not be sub-delegated.

3.8.5 Employee Information (Privacy and Official Information Act Requests)

- 3.8.5.1 The AVC Operations and University Registrar is the Privacy Officer for the University.
- 3.8.5.2 The AVC – People and Organisational Development, Employment Relations Manager or Employment Relations Adviser shall respond to requests under the Privacy Act 1993 made in respect of University staff. (N.B. All requests made in respect of students, shall be responded to by the AVC Operations and University Registrar). This provision shall not be sub-delegated.

3.8.5.3 The AVC – People and Organisational Development, Employment Relations Manager or Employment Relations Adviser shall respond to requests under the Official Information Act 1982 made in respect of University staff. (N.B. All other requests made under the Official Information Act 1982, shall be responded to by the AVC Operations and University Registrar). This provision shall not be sub-delegated.

3.9 RESIGNATION & RETIREMENT

3.9.1 Staff resignations and retirements shall be approved by the relevant Level 3 Manager or Level 4 Manager and forwarded to the Human Resources Section for appropriate administrative action. This provision shall not be sub-delegated.

3.9.2 The relevant Level 3 Manager shall approve, on behalf of the Vice-Chancellor, all requests for a retirement gratuity or retirement leave in accordance with the provisions of the relevant Employment Agreement and current University policy. This provision shall not be sub-delegated. Refer to the [Retirement Policy](#).

3.10 STAFF TRANSFERS

3.10.1 Staff transfers between departments/institutes/schools and/or Colleges and/or Campuses will be approved by the relevant Level 3 Manager. In the case of transfers between Campuses any financial assistance with transfer costs must be discussed and agreed with the AVC – People and Organisational Development prior to approving the transfer. This provision shall not be sub-delegated.

3.11 STAFF SECONDMENTS

3.11.1 Staff secondments **to** outside organisations, staff secondments **from** outside organisations and staff secondments **intra** the University, shall be approved by the relevant Level 3 Manager. This provision shall not be sub-delegated.

4. MANAGEMENT OF STUDENT MISCONDUCT

4.1 Every complaint of misconduct (other than an infringement of an existing regulation) must be referred to either the Office of the Campus Registrar, of the Campus attended by (by or responsible for) the Respondent, or to the Office of the PVC of the relevant College.

4.2 Authority to investigate and resolve complaints is delegated in accordance with the policy and procedures outlined in the [Student Disciplinary Regulation](#), [Student Academic Integrity Policy](#), and [Procedure for Managing Breaches of Academic Integrity](#).

5. ENGAGEMENT OF SOLICITORS

5.1 Engagement of University solicitors is subject to the approval of the: AVC (Research) AVC Operations and University Registrar; AVC FSI, AVC – People and Organisational Development, Risk Manager; or the Director, Research Management Services.

6. UNIVERSITY SEAL COAT OF ARMS AND NAME

6.1 Execution of Documents and the University's Seal (Delegated Authority)

In terms of Section 167 of the Education Act 1989, any two of:

- the Chancellor
- the Vice-Chancellor and
- the AVC Operations and University Registrar

are authorised to execute documents, including documents affixed with the University's common seal. This delegation is subject to details of documents executed under seal being subsequently reported to Council.

7. RESEARCH CENTRES AND OTHER INDEPENDANTLY CONSTITUTED ORGANISATIONS

- 7.1 The Vice-Chancellor will approve the establishment or disestablishment of University Research Centres, and Commercial Centres.
- 7.2 Council, on the recommendation of the Vice-Chancellor, will approve the establishment or disestablishment of foundations, trusts, University owned companies, or other independently constituted organisations.
- 7.3 Council, on the recommendation of the Vice-Chancellor, will approve the appointment of all Trustees, and Company Directors.

8. SPACE

- 8.1 The AVC Operations & University Registrar has authority for allocation of space for University purposes in each campus.

9. RECORDS AND DOCUMENTS

- 9.1 The Records Manager will approve disposal of University Records in accordance with the General Disposal Authority (GDA) approved by Archives New Zealand.

10. OTHER GENERAL DELEGATIONS

- 10.1 The AVC Operations and University Registrar is the University's proper officer and has authority to accept service of court process on behalf of the University, other than court service relating to taxation or corporate matters.
- 10.2 The AVC – FSI (or Delegate) is the University's public officer for acceptance of service in relation to matters for taxation or corporate purposes.