



# Delegation of Authorities

[GEN002]

|                        |  |
|------------------------|--|
| Department             | : Finance                                |
| Policy owner           | : Chief Financial Officer                |
| Responsible for update | : Director: Financial Systems & Policies |
| Review cycle           | : Annually                               |
| Prior update           | : December 2024                          |
| Current update         | : December 2025                          |
| Approved by            | : Council                                |

# Delegation of Authorities

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## Acronyms

|                  |   |
|------------------|---|
| <b>CFO</b>       | Chief Financial Officer                           |
| <b>COO</b>       | Chief Operating Officer                           |
| <b>DOA</b>       | Delegation of Authorities                         |
| <b>DSA</b>       | Department of Student Affairs                     |
| <b>DVC</b>       | Deputy Vice-Chancellor                            |
| <b>ED</b>        | Executive Director                                |
| <b>FH</b>        | Fund Holder                                       |
| <b>FIN</b>       | Finance   |
| <b>FM</b>        | Faculty/PASS Finance Manager                      |
| <b>GOB</b>       | General Operating Budget                          |
| <b>HOD</b>       | Head of Department                                |
| <b>HR</b>        | Human Resources                                   |
| <b>IPAC</b>      | Intellectual Property Advisory Committee          |
| <b>JIC</b>       | Joint Investment Committee                        |
| <b>LM</b>        | Line Manager                                      |
| <b>NRF</b>       | National Research Foundation                      |
| <b>NSFAS</b>     | National Student Funding Aid Scheme               |
| <b>P&amp;S</b>   | Properties & Services                             |
| <b>PASS</b>      | Professional, Administrative and Support Services |
| <b>PGFO</b>      | Postgrad Funding Office                           |
| <b>PPS</b>       | Procurement & Payment Services                    |
| <b>PSFC</b>      | Postgrad Studies Funding Office                   |
| <b>RC&amp;I</b>  | Research Contracts and Innovation                 |
| <b>REG</b>       | The Registrar                                     |
| <b>UARC</b>      | University Audit and Risk Committee               |
| <b>UB&amp;DC</b> | University Building and Development Committee     |
| <b>UFC</b>       | University Finance Committee                      |
| <b>USFC</b>      | Undergrad Studies Funding Committee               |
| <b>VC</b>        | The Vice-Chancellor                               |

## 1. Objective

To clearly set out the levels and conditions of delegated Council authority to facilitate contracting on behalf of the University.


## 2. Scope

- This policy applies to all UCT financial and budget transactions and the financial aspects of other transactions, for example, the approval of contracts.
- For transactions not covered by this document (including the attachments) authority remains with Council.
- Where Council sign-off is required, this refers to an explicit resolution for approval by Council.

## 3. Applicable to

All UCT staff and members of UCT committees who have delegated authority to contract and do such other things that are specified on behalf of the University for various types of financial and budgetary transactions, as detailed in the attachment.

## 4. Definitions

| Term        | Description  |
|-------------|--|
| Acting      | Appointment to a cover a substantive post, with all the responsibility and accountability of that post.  |
| Budget Head | Person responsible for the budget and spend e.g. a Fund Holder, Head of Department (HOD), Dean, Director   |
| Delegate    | To entrust another person to act on behalf of someone else.<br> <i>Responsibility for signing is delegated, not accountability.</i> |
| Nominee     | The person to whom the delegated responsibility has been entrusted.  |
| Unit Head   | Dean / Director: GSB / Director / Exec Director / CFO / Registrar – head of a Faculty or PASS department   |

## 5. Policy context

This document should be read in light of the following:

- In no instance does the delegation of authority imply that University policy can be overridden; conversely, delegated authority must be exercised in terms of policy.
- All expenditure is subject to the availability of budget, and the Unit Head remains accountable for the financial results of the unit.
- In the case where a signatory is unavailable, or there is a disagreement among signatories, or the initiator of the transaction (usually the affected Fund Holder) is the signatory, then the matter should be referred to the signatory's senior, or if necessary, to Council.
- A person may not exercise delegated authority in favour of themselves or where a conflict of interest arises.
- These limits apply to ALL funds.
- All Budget heads are entrusted with the authority to approve expenditures within their allocated budget limits, subject to compliance with [all university policies](#). Budget heads are accountable for ensuring that all expenses are justified, documented, and align with the approved budget.



*Any deviations or overspending (that are unforeseen/unavoidable) must be reported promptly to the Line Manager, including the appropriate Executive's Line Manager, and CFO, along with a mitigation plan. All other deviations and overspending must be avoided.*

## 6. Policy

Rules relating to the exercise of delegated authority, which apply to all Schedules:

- A nominee is implied in the delegations, unless specifically referred to in the Schedule, provided the necessary written authority has been received as noted below.
- Where an authority is away from office:
  - and a person has been appointed, in writing, or via an out of office notice or system delegation, to act in that position for the period of absence, the person appointed to act may exercise the delegated authority vested in that position (e.g., an acting VC may exercise the authority given to the VC, or an acting CFO may exercise the authority given to the CFO); or

- if a person has not been appointed to act, the authority's Line Manager is deemed to have the authority (e.g. in the absence of the Registrar or the CFO, the VC may exercise authority delegated to either).
- A signatory cannot sign in more than one delegated capacity, unless specifically stated.



*This above refers to delegated roles. If any signatory is unsure of a potential dual status, this should be checked and confirmed.*

- Documents may be signed in the following ways:
  - Wet ink signatures
  - Standard electronic signatures, being a digital form of identification (e.g. a scanned or PDF copy of a signature), are sufficient in most instances. It is accepted on the basis that the person it represents, either initiated the signature, or the person who inserted the signature on the signatory's behalf, had due authority to use the electronic signature.
  - Digital signatures or advanced electronic signatures, which include embedded and network protected identification, are accepted as being a secure form of digital identification. These are specialised types of electronic signatures that are accredited and used mainly in legal documents where the law requires a signature.
- Where a nominee is appointed under particular circumstances (e.g. type of transaction, value of transactions) in writing, to authorise transactions as per the letter of authority, the person appointed to act must:
  - be suitably qualified to assume the delegated responsibility;
  - exercise the delegated authority as per the agreement;
  - ensure that their status as nominee is communicated, as appropriate; and
  - ensure that there is cover during absence or unavailability of the nominee.
- An authority must ensure that:
  - the power is exercised within the scope of the delegated authority;
  - the power is exercised in accordance with University policies and statutory requirements, and that due process has been followed;
  - responsibility for signing is delegated, not accountability;

- the required delegation is noted in writing, or that the electronic delegation (e.g. via email or system delegation) contains the information as required;
  - the direct and indirect financial consequences of their decisions are covered by an approved budget (authority to act does not confer authority to make a new budgetary appropriation, or create an entitlement to space); and
  - there is no conflict of interest (if the authority is conflicted, they must decline to exercise the authority delegated to them).
- Monetary/time limits refer to the total amount/duration of the contract/lease/salary and, save where otherwise indicated, include VAT. A single contract may not be split into separate contracts to avoid the more restrictive authorities imposed by any limit.
  - The signing authority may consult, where appropriate, relevant personnel within the University before exercising the authority delegated to them.
  - The Vice-Chancellor may, in writing, delegate a specific authority delegated to them, to a Deputy Vice-Chancellor, except where the Council or the Senate as the case may be, has expressly reserved the power to act to the Vice-Chancellor, subject to any limitation that the Vice-Chancellor may impose, and subject to the condition that the Vice-Chancellor may withdraw this delegation at any time.
  - The Council may confirm, ratify, vary or revoke any decision taken by an employee, subject to any rights that may have become vested as a consequence of the decision.
  - It is the responsibility of all signatories to advise Council on contracts between the University and an employee for any goods, products or services, and in doing so having regard to the provisions of the Higher Education Act. In performing this assessment, the following factors will need to be considered:
    - The goods, products or services in question is/are unique; and
    - The supplier is a sole provider; and
    - The contract is both in the interests of the University and does not compromise the University in any way.
  - Documents requiring Council approval must be signed by the Chair of Council and countersigned by either the Registrar or the Chief Financial Officer (CFO).
  - Where authority is delegated to an individual, the authority passes from the delegating authority to the designated person through those managers that make up the line of responsibility between the two. It follows that the exercise of that authority may be

referred to a superior manager in that line, and that if referred, the superior's manager may exercise the authority.

- Where a legal document or contract requires the signature of one or more designated authorities, the higher authorities in terms of the delegations, must sign the legal document or contract.
- A final copy of all contracts signed on behalf of the University must be retained in Perceptive Content, UCT's central records management system, either directly or via an approved area-specific repository (e.g. the electronic Research Administration system). A central document management system reduces institutional risk by ensuring secure, consistent and auditable storage of critical contracts and records.

## 7. Related legislation, policies, guidelines and practices

This includes but is not limited to:

- Asset Acquisition [[AST001](#)]
- [Conflicts of Interest: principles, policy and rules](#)
- Disposal of redundant and second-hand goods [[PUR001](#)]
- [Financial policy in respect of Council-controlled funds](#)
- Fleet Card [[PUR010](#)]
- Fund deficit management [[GEN011](#)]
- Funds deposited or held by UCT [[GEN001](#)]
- Fraud and corruption prevention policy & response plan [[GEN005](#)]
- Gift and Hospitality [[GEN009](#)]
- Library acquisition of information resources [[PUR008](#)]
- Purchasing [[PUR003](#)]
- Purchasing Card (PCard) [[PUR002](#)]
- Quotations, Tenders & Requests for Proposals [[PUR004](#)]
- Reimbursements [[PAY005](#)]
- Risk Management [[GEN007](#)]
- Student Fees & Debt Recovery [[REV001](#)]
- Student Fee Refunds [[REV002](#)]
- Student Fee Waivers [[REV003](#)]
- Trade Debt Management [[REV004](#)]
- Threshold values for purchasing [[PPP002](#)]



## 8. Implementation responsibility

UCT Unit Heads, Fund Holders, Chairs of committees or staff members in a position of delegated authority. The HOD must ensure all policies and procedures are communicated to and implemented by the responsible individual(s), including research staff. The Faculty/PASS Finance Manager must ensure reasonable controls exist to support the implementation of policies.

## 9. Contact

Finance Helpdesk

[fnd-finance@uct.ac.za](mailto:fnd-finance@uct.ac.za)

021 650 2111

GEN002 Schedule A: Financial Authorities

- NOTES:**
- All values referred to in this schedule INCLUDE VAT
  - Where transaction in foreign currency, rate at date of signature to be applied when assessing who needs to sign in terms of the Delegation of Authorities
  - Unless specifically excluded, Nominees are implied in all Delegated Authorities, based on the required written authority

**FH** = Fund Holder; **ED** = Executive Director; **UH** = Unit Head i.e. Dean / Director:GSB /Director / ED / CFO / Registrar **CFO** = Chief Financial Officer; **LM** = Line Manager; **HOD** = Head of Department; **FM** = Faculty/PASS Finance Manager; **DAD** = Development & Alumni Department; **DIR** = Director, **ComDev** = Commercial Development, **CRM** = Client Relationship Manager; **PCard** = UCT Purchasing Card (Credit Card)  
**REG** = Registrar, **COO** = Chief Operating Officer; **PPS** = Procurement & Payment Services; **P&S** = Properties & Services; **DSA** = Department of Student Affairs; **DVC** = Deputy Vice-Chancellor; **VC** = Vice-Chancellor  
**UB&DC** = University Building & Development Committee; **JIC** = Joint Investment Committee, **UFC** = University Finance Committee; **IPAC** = Intellectual Property Advisory Committee; **CNL** = Council

|        |                   |                   | SIGNATORIES |     |     |     |
|--------|-------------------|-------------------|-------------|-----|-----|-----|
| ACTION | CONDITIONS/AMOUNT | APPROVAL REQUIRED | 1st         | 2nd | 3rd | 4th |

LEGAL ENTITIES

|   |   |  |
|---|---|--|
| Authority to establish or disestablish a UCT-related legal entity | Partnerships<br>Trusts<br>Joint Ventures<br>Companies (all types)   | All such entities may only be established by authority of Council, with the exception of the establishment of a UCT spin-off company established to commercialise UCT Intellectual Property and in which UCT will temporarily holds 100% equity. These incorporations need to be approved by the IPAC and must be reported to Council at Council's next meeting.   |
| Authority relating to a UCT Spin-off Company                      | Shareholders Agreement<br>Share Subscription Agreement<br>Memorandum of Incorporation (and its amendment) | To take up any class of equity in a UCT Spin-off Company in exchange for:<br>- investment by UCT: Approval by the IPAC with the payment process to follow standard authority levels as indicated in Schedule A;<br>- rights to UCT IP: Approval by Director: Research Contracts & Innovation.<br><br>To dispose of any class of equity in a UCT Spin-off company held by UCT - Approval by IPAC<br><br>To enter into a Share Holders Agreement and to accept or amend a Memorandum of Incorporation - Approval by the Registrar. |

NON-DISCLOSURE AGREEMENTS (NDA) (excluding NDAs covered in Schedule C as part of Research contracts)

|   |                                 |  |     |     |         |          |
|---|---------------------------------|--|-----|-----|---------|----------|
| NDA pertaining to an underlying contract, where the contract value is | <= R5,000,000                   | CFO <b>and</b> the Registrar   | CFO | REG |         |          |
|   | > R5,000,000 and <= R20,000,000 | CFO <b>and</b> the Registrar <b>and</b> DVC or VC  | CFO | REG | DVC /VC |          |
|   | > R20,000,000                   | CFO and the Registrar <b>and</b> VC, who must consult with the Chair of the University Finance Committee (UFC) and Council on how to proceed | CFO | REG | VC      | UFC/ CNL |

ANY INSTANCE NOT COVERED IN SCHEDULE A BELOW

|                               |                                 |   |     |     |         |           |
|-------------------------------|---------------------------------|---|-----|-----|---------|-----------|
| Any transactions with amounts | <= R5,000,000                   | CFO <b>and</b> the Registrar  | CFO | REG |         |           |
|                               | > R5,000,000 and <= R20,000,000 | CFO <b>and</b> the Registrar <b>and</b> DVC or VC   | CFO | REG | DVC/ VC |           |
|                               | > R20,000,000                   | CFO and the Registrar <b>and</b> VC, who must consult with the Chair of the University Finance Committee (UFC) <b>and</b> Council on how to proceed | CFO | REG | VC      | UFC & CNL |

GEN002 Schedule A: Financial Authorities

NOTES:

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|        |                   |                   | SIGNATORIES |     |     |     |
|--------|-------------------|-------------------|-------------|-----|-----|-----|
| ACTION | CONDITIONS/AMOUNT | APPROVAL REQUIRED | 1st         | 2nd | 3rd | 4th |

| CONTRACTUAL EXPENSE AGREEMENTS (excl Purchase Orders) - READ WITH POLICIES ON THRESHOLD VALUES FOR PURCHASING (PPP002) & LIB ACQ (PUR008)   |  |  |    |    |              |     |
|---|--|--|----|----|--------------|-----|
| Contracts/sub-contracts (including extensions), including consulting, supplier, service contracts to UCT (e.g. departments, research units), but <b>excluding</b> the following which are covered elsewhere within the schedules:<br>- Contracts/sub-contracts associated with research contracts (Schedule C)<br>- Contracts/sub-contracts associated with Donations (Schedule G)<br>- Contracts/sub-contracts associated with building construction projects (Schedule J)<br>- Contracts related to Library Acquisitions (refer below)<br><br><b>NOTE: Where contract DURATION and VALUE do not fall into same authority, then the higher up signatory applies.</b> | Term is < = 3 years or the total contract price is < = R2,000,000                                | Fund Holder <b>and</b> the Dean/Director:GSB or ED/Director: PASS department/CFO   | FH | UH |              |     |
|   | Term is > 3 years but < = 5 years or where total contract price > R2,000,000 and < = R35,000,000 | Fund Holder <b>and</b> the Dean/Director:GSB or ED/Director: PASS department/CFO <b>and</b> either CFO or the Registrar or VC              | FH | UH | CFO/REG/VC   |     |
|   | Term is > 5 years or where total contract price > R35,000,000                                    | Fund Holder and the Dean/Director:GSB or ED/Director: PASS department/CFO <b>and</b> CFO <b>and</b> the Registrar or VC <b>and</b> Council | FH | UH | CFO & REG/VC | CNL |
| Contracts related to Library Acquisitions   | All contract values in terms of the approved Library Acquisitions ring-fenced budget             | Fund Holder <b>and</b> ED: Libraries   | FH | UH |              |     |
| Letters of intent   | Applicable operational service or supplier contracts   | Director: Procurement & Payment Services after approval as above   |    |    |              |     |
| Credit applications (excluding banking)   | Applying for credit facilities   | Director: Procurement & Payment Services after approval as above   |    |    |              |     |
| CONTRACTUAL REVENUE AGREEMENTS (excluding Leases)   |  |  |    |    |              |     |
| Contracts/sub-contracts (including extensions), which generate Net Revenue.   | Term is < = 5 years  | Fund Holder and the Dean/Director:GSB or ED/Director: PASS department/CFO  | FH | UH |              |     |
|   | Term is > 5 years  | Fund Holder <b>and</b> the Dean/Director:GSB or ED/Director: PASS department/CFO <b>and</b> either CFO or the Registrar or VC              | FH | UH | CFO REG/VC   |     |

## GEN002 Schedule A: Financial Authorities

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**REG** = Registrar, **COO** = Chief Operating Officer; **PPS** = Procurement & Payment Services; **P&S** = Properties & Services; **DSA** = Department of Student Affairs; **DVC** = Deputy Vice-Chancellor; **VC** = Vice-Chancellor

**UB&DC** = University Building & Development Committee; **JIC** = Joint Investment Committee, **UFC** = University Finance Committee; **IPAC** = Intellectual Property Advisory Committee; **CNL** = Council

|  |   |  | SIGNATORIES       |                     |                 |          |
|--|---|--|-------------------|---------------------|-----------------|----------|
| ACTION   | CONDITIONS/AMOUNT   | APPROVAL REQUIRED  | 1st               | 2nd                 | 3rd             | 4th      |
| <b>LEASES</b>  |   |  |                   |                     |                 |          |
| UCT as Lessor: Letting or leasing of UCT immovable property<br>- <b>DURATION / VALUE</b>   | Term <= 2 years or total expense or income < = R2,000,000   | Fund Holder <b>and</b> Director: Commercial Development (Com Dev)  | FH & Dir: Com Dev |                     |                 |          |
|  | Term is > than 2 years and < = 10 years or total expense or income > R2,000,000 and < = R10,000,000 per annum         | Fund Holder <b>and</b> Director: Commercial Development (ComDev) <b>and</b> CFO or ED: Properties & Services or ED: Department of Student Affairs <b>and</b> CFO or ED: Properties & Services or the Registrar<br><br><b>NOTE: The 2nd and 3rd signatories need to be different.</b> | FH & Dir: Com Dev | CFO/ED: P&S/ED: DSA | CFO/ED: P&S/REG |          |
|  | Term is > than 10 years or total expense or income > R10,000,000 per annum  | Fund Holder <b>and</b> ED: Properties & Services or ED: Department of Student Affairs <b>and</b> CFO <b>and</b> the Registrar or VC <b>and</b> Council   | FH & Dir: Com Dev | ED: P&S/ED: DSA     | CFO & REG/VC    | CNL      |
| UCT as Lessee: Letting or leasing immovable property by UCT<br>- <b>DURATION / VALUE</b>   | Term <= 2 years or total expense or income < = R2,000,000   | Fund Holder <b>and</b> CFO or ED: Properties and Services or ED: Department of Student Affairs   | FH                | CFO/ED: P&S/ED: DSA |                 |          |
|  | Term is > than 2 years and < = 10 years or total expense or income > R2,000,000 and < = R10,000,000 per annum         | Fund Holder <b>and</b> CFO or ED: Properties and Services or ED: Department of Student Affairs <b>and</b> CFO or ED: Properties & Services or the Registrar<br><br><b>NOTE: The 2nd and 3rd signatories need to be different</b>   | FH                | CFO/ED: P&S/ED: DSA | CFO/ED: P&S/REG |          |
|  | <b>NOTE: Where contract DURATION and VALUE do not fall into same authority, then the higher up signatory applies.</b> | Fund Holder <b>and</b> ED: Properties & Services or ED: Department of Student Affairs <b>and</b> CFO <b>and</b> the Registrar or VC <b>and</b> Council   | FH                | ED: P&S/ED: DSA     | CFO & REG/VC    | CNL      |
| <b>PURCHASING DEVIATIONS - READ WITH POLICY ON THRESHOLD VALUES FOR PURCHASING (PPP002)</b>  |   |  |                   |                     |                 |          |
| Purchasing Deviations (MM026) where the standard purchasing processes are not followed due to agreed exceptions (i.e. Sole Supplier, Emergencies, Incompatibility, Auctions/disposals, Alternative procurement method, Practicalities), with the required motivation and supporting documentation. | Deviations < = R5,000,000   | Line Manager of the Fund Holder <b>and</b> Director: Procurement & Payment Services, with quarterly reports to the CFO.  | LM of FH          | DIR: PPS            |                 |          |
|  | Deviations > R5,000,000 and < = R10,000,000   | Line Manager of the Fund Holder <b>and</b> Director: Procurement & Payment Services <b>and</b> the Dean/Director:GSB or ED/Director: PASS department/CFO, with quarterly reports to the CFO.   | LM of FH          | DIR: PPS            | UH              |          |
|  | Deviations > R10,000,000 and < = R20,000,000  | Line Manager of the Fund Holder <b>and</b> Director: Procurement & Payment Services <b>and</b> the Dean/Director:GSB or ED/Director: PASS department/CFO <b>and</b> CFO, with quarterly reports to Council, via the UFC, for noting.   | LM of FH          | DIR: PPS            | UH & CFO        |          |
|  | Deviations > R20,000,000 and < = R35,000,000  | Line Manager of the Fund Holder <b>and</b> Director: Procurement & Payment Services <b>and</b> the Dean/Director:GSB or ED/Director: PASS department/CFO <b>and</b> CFO <b>and</b> VC, with quarterly reports to Council, via the UFC, for noting.                                   | LM of FH          | DIR: PPS            | UH & CFO        | VC       |
|  | Deviations > R35,000,000  | All of the above signatories <b>and</b> Council approval   | LM of FH          | DIR: PPS            | UH & CFO        | VC & CNL |

GEN002 Schedule A: Financial Authorities

NOTES:

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| ACTION   |   |  | SIGNATORIES |          |          |               |
|--|---|--|-------------|----------|----------|---------------|
| CONDITIONS/AMOUNT  |   |  | 1st         | 2nd      | 3rd      | 4th           |
| APPROVAL REQUIRED  |   |  |             |          |          |               |
| PURCHASES - READ WITH POLICIES ON THRESHOLD VALUES FOR PURCHASING (PPP002) & LIBRARIES ACQUISITION OF INFORMATION RESOURCES (PUR008)   |   |  |             |          |          |               |
| Purchases – general<br>- Excluding Assets (refer below)<br>- Excluding purchases via the Library Services Platform, which is covered by the Libraries Acquisitions policy (PUR008) | All payments to UCT staff (reimbursements, advances etc.) < = R15,000 | Fund Holder<br>In addition, Line Manager of the payee to sign, if the payee and the Fund Holder are the same person*                               | FH*         |          |          |               |
|  | All payments to UCT staff (reimbursements, advances etc.) > R15,000   | Fund Holder and Line Manager of the payee  | FH          | LM       |          |               |
|  | Purchases < = R100,000  | Fund Holder  | FH          |          |          |               |
|  | Purchases > R100,000 and < = R2,000,000                               | Fund Holder and the Dean/Director:GSB or ED/Director: PASS department/CFO  | FH          | UH       |          |               |
|  | Purchases > R2,000,000  | Fund Holder and the Dean/Director:GSB or ED/Director: PASS department/CFO and CFO or DVC Research & Internationalisation                           | FH          | UH       | CFO/ DVC |               |
| NOTE: Requirements for quotes and tenders  |   |  |             |          |          |               |
| Purchases in terms of supplier or service contracts, as approved per the Delegated Authorities, including  | Purchases < = R2,000,000  | Fund Holder  | FH          |          |          |               |
|  | Purchases > R2,000,000  | Fund Holder and the Dean/Director:GSB or ED/Director: PASS department/CFO  | FH          | UH       |          |               |
| Movable Asset acquisitions   | Cost < = R28,750 (not on Asset register)                              | Fund Holder, via standard purchasing process   | FH          |          |          |               |
|  | Cost > R28,750 and < = R100,000                                       | Fund Holder, via Asset acquisition process   | FH          |          |          |               |
|  | Cost > R100,000 and < = R2,000,000                                    | Fund Holder and the Dean/Director:GSB or ED/Director: PASS department/CFO  | FH          | UH       |          |               |
|  | Cost > R2,000,000   | Fund Holder and the Dean/Director:GSB or ED/Director: PASS department/CFO and CFO or DVC Research & Internationalisation                           | FH          | UH       | CFO/ DVC |               |
| PURCHASING CARDS - READ WITH POLICY ON PURCHASING CARD - PCARD (PUR002)  |   |  |             |          |          |               |
| UCT application to hold a purchasing card / change a permanent purchasing card limit   | All cards   | The Fund Holder and the LM & HOD (if different) and the Faculty/PASS finance manager and the Dean/Director:GSB or ED/Director: PASS department/CFO | FH          | LM & HOD | FM       | UH            |
| Bank application for a new card or to request a permanent increase in credit limit, based on authorised request  | Cards with monthly credit limits of < = R100,000                      | Purchasing Card Manager: Procurement & Payment Services (PPS) and Director: Procurement & Payment Services   | PCard Mngr  | DIR: PPS |          |               |
|  | Cards with monthly credit limits of > R100,000                        | Purchasing Card Manager: Procurement & Payment Services and Director: Procurement & Payment Services and CFO                                       | PCard Mngr  | DIR: PPS | CFO      |               |
| UCT application to request a temporary limit increase for a specified limited period (< 6 months)  | Temporary limit set to < = R100,000                                   | The Fund Holder and LM & HOD (if different) and Faculty/PASS finance manager   | FH          | LM & HOD | FM       |               |
|  | Temporary limit set to > R100,000                                     | The Fund Holder and LM & HOD (if different) and Faculty/PASS finance manager and Director: Procurement & Payment Services or CFO                   | FH          | LM & HOD | FM       | DIR: PPS/ CFO |
| MOVABLE ASSET DISPOSALS - READ WITH POLICY ON DISPOSAL OF REDUNDANT AND SECOND-HAND GOODS (PUR001)   |   |  |             |          |          |               |
| Disposal of moveable Assets as authorised by the Director or Head of a budget-holding department   | Book value < = R50,000  | Head of Department   | HOD         |          |          |               |
|  | Book value > R50,000 and < = R500,000                                 | Head of Department and the Dean/Director:GSB or ED/Director: PASS department/CFO   | HOD         | UH       |          |               |
|  | Book value > R500,000   | Head of Department and the Dean/Director:GSB or ED/Director: PASS department and CFO   | FH          | UH       | CFO      |               |



## GEN002 Schedule A: Financial Authorities

### NOTES:

- All values referred to in this schedule INCLUDE VAT
- Where transaction in foreign currency, rate at date of signature to be applied when assessing who needs to sign in terms of the Delegation of Authorities
- Unless specifically excluded, Nominees are implied in all Delegated Authorities, based on the required written authority

**FH** = Fund Holder; **ED** = Executive Director; **UH** = Unit Head i.e. Dean / Director:GSB /Director / ED / CFO / Registrar **CFO** = Chief Financial Officer; **LM** = Line Manager; **HOD** = Head of Department; **FM** = Faculty/PASS Finance Manager;

**DAD** = Development & Alumni Department; **DIR** = Director, **ComDev** = Commercial Development, **CRM** = Client Relationship Manager; **PCard** = UCT Purchasing Card (Credit Card)

**REG** = Registrar, **COO** = Chief Operating Officer; **PPS** = Procurement & Payment Services; **P&S** = Properties & Services; **DSA** = Department of Student Affairs; **DVC** = Deputy Vice-Chancellor; **VC** = Vice-Chancellor

**UB&DC** = University Building & Development Committee; **JIC** = Joint Investment Committee, **UFC** = University Finance Committee; **IPAC** = Intellectual Property Advisory Committee; **CNL** = Council

|        |                   |                   | SIGNATORIES |     |     |     |
|--------|-------------------|-------------------|-------------|-----|-----|-----|
| ACTION | CONDITIONS/AMOUNT | APPROVAL REQUIRED | 1st         | 2nd | 3rd | 4th |

### INVESTMENTS

|  |  |  |
|--|--|--|
| Appointment of investment managers and advisors  | All investment portfolios, including cash portfolios | Council/Board of Trustees of the UCT Foundation, on advice of the Joint Investment Committee (JIC) |
| Setting investment limits and strategies   | All investment portfolios, including cash portfolios | Council/Board of Trustees of the UCT Foundation, on advice of the JIC                              |
| Operational instructions   | Contracts/letters of instruction on mandates         | CFO  |
|  | Appointment of operational signatories               | CFO  |
| Investing or withdrawing call/cash funds, fixed deposits or other portfolio investments - UCT Foundation | All amounts  | One top line signatory as nominated by the CFO <b>and</b> Chair/Deputy Chair of JIC                |
| Investing or withdrawing call/cash funds, fixed deposits or other portfolio investments - UCT Cash       | < = R100,000,000                                     | Two top line signatories as nominated by the CFO   |
|  | > R100,000,000                                       | Two top line signatories as nominated by the CFO <b>and</b> the CFO                                |

### BANKING

|  |   |  |
|--|---|--|
| Bank Accounts and relationships with commercial banks for general banking purposes             | Opening and closing of bank accounts and short term call deposit accounts | CFO  |
|  | Letters of instruction and/or indemnity                                   | CFO <b>and</b> one top line signatory as nominated by the CFO  |
| Bank Accounts and relationships with commercial banks for the UCT Foundation                   | Opening and closing of bank accounts and short term call deposit accounts | JIC Chair/Deputy Chair <b>and</b> one top line signatory as nominated by the CFO                     |
|  | Letters of instruction and/or indemnity                                   | JIC Chair/Deputy Chair <b>and</b> one top line signatory as nominated by the CFO                     |
| Banking signatories<br><b>NOTE: Signatories must be independent of the payment processing.</b> | Top/Bottom line signatories   | Nominees of the CFO<br><b>NOTE:</b> The same person may not be both a top and bottom line signatory. |

### LOANS

|   |                      |   |
|---|----------------------|---|
| Raising of loans by UCT   | All loans            | Council, on the advice of the UFC (and subject to Higher Education Act requirements).   |
| Loans by UCT to UCT affiliates (e.g. UCT Medical Centre, Sports Science Institute of South Africa (SSISA), Food & Connect (F&C), Afrec, The Lung Institute, SHAWCO), excluding loans advanced by IPAC for Spin-off companies (Refer Schedule I) | Loans <= R10,000,000 | CFO <b>and</b> Registrar  |
|   | Loans > R10,000,000  | UFC to recommend to Council the amount of the loan facility to be made available to the entity concerned. The loan facility is to be reviewed annually and Council advised accordingly. |

### INTERNAL BRIDGING FINANCE

|  |  |  |
|--|--|--|
| Award of bridging finance, including variations in terms | Amount < = R10,000,000   | CFO on application by Dean/Director:GSB or ED/Director: PASS department/CFO <b>and</b> the Registrar                                 |
|  | Amount > R10,000,000 and < = R20,000,000   | CFO and the Registrar <b>and</b> Chair of the UFC on application by the Dean/Director:GSB or ED/Director: PASS department/CFO        |
|  | Amount > R20,000,000<br>Where the following applies:<br>a) The project has been approved by Council; or<br>b) The project has been approved, funds have been committed by a donor or contractor and there is an agreement that the bridging finance has first claim on donations or contract income. | CFO <b>and</b> the Registrar <b>and</b> Chair of the UFC on application by the Dean/Director:GSB or ED/Director: PASS department/CFO |
|  | Amount > R20,000,000 where neither of the above two conditions apply   | Council on the advice of the CFO <b>and</b> the Registrar or VC <b>and</b> Chair of the UFC.   |

## GEN002 Schedule A: Financial Authorities

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|        |                   |                   | SIGNATORIES |     |     |     |
|--------|-------------------|-------------------|-------------|-----|-----|-----|
| ACTION | CONDITIONS/AMOUNT | APPROVAL REQUIRED | 1st         | 2nd | 3rd | 4th |

### DEBT WRITE OFFS

|  |                                 |   |
|--|---------------------------------|---|
| Bad debt (external debt and staff debtors, but excluding Student Fee debt) and the non-pursuit of insurance claims, after due process has been followed.   | < = R150,000                    | Finance Manager: Debtors, with monthly reporting to Director: Financial Accounting  |
|  | > R150,000 and < = R1,000,000   | Finance Manager: Debtors, with approval by the Director: Financial Accounting, with reporting to CFO quarterly  |
|  | > R1,000,000 and < = R5,000,000 | Finance Manager: Debtors, with approval by the Director: Financial Accounting <b>and</b> CFO, with reporting to the UFC   |
|  | > R5,000,000                    | All the above signatories <b>and</b> reporting to Council, on advice of the UFC   |
| Credit/reversal of Debtor invoices, including where there is a replacement of the invoice, after due process has been followed.<br><br><b>NOTE: The values refer to the negative DIFFERENTIAL (reduction of Revenue) between the original invoice (for which a Credit Note was issued) and the replacement invoice (if</b> | < = R150,000                    | Initiated by the department and approved by Finance Manager: Debtors with monthly reporting to the Director: Financial Accounting.                                    |
|  | > R150,000 and < = R1,000,000   | Initiated by the department, recommended by Finance Manager: Debtors and approved by Director: Financial Accounting, with quarterly reporting to the CFO              |
|  | > R1,000,000 and < = R5,000,000 | Initiated by the department, recommended by Finance Manager: Debtors and Director: Financial Accounting, with approval by CFO   |
|  | > R5,000,000                    | Initiated by the department, recommended by Finance Manager: Debtors and Director: Financial Accounting, with approval by CFO, and reporting to the UFC.              |
| Writing off Fund deficits (non-recoverable)<br><b>NOTE: The Net Debit must be absorbed in the department within which the fund operated. Where the department is unable to carry such a</b>  | < = R150,000                    | Dean/Director:GSB or ED/Director: PASS department/CFO   |
|  | > R150,000 < = R5,000,000       | CFO on motivation by Dean/Director:GSB or ED/Director: PASS department/CFO  |
|  | > R5,000,000                    | CFO on motivation by Dean/Director:GSB or ED/Director: PASS department <b>and</b> ratified by the UFC <b>and</b> reported to the DVC: Research & Internationalisation |
| Debit/Credit write offs of unidentified receipts and payments  | All amounts                     | Transfers to Treasury write off - Director: Treasury & Banking  |
|  | All amounts                     | Write off to Income Statement – Director: Financial Accounting  |

### DORMANT FUNDS - Those research and related funds which were under the decision making rights of an individual who has left the University, and on which there has been no activity,

|  |                           |  |
|--|---------------------------|--|
| Net Surplus (refer Fund Deficits for Net Debits) | < = R150,000              | Dean/Director:GSB or ED/Director: PASS department/CFO  |
|  | > R150,000 < = R5,000,000 | CFO on motivation by Dean/Director:GSB or ED/Director: PASS department/CFO   |
|  | > R5,000,000              | CFO on motivation by Dean/Director:GSB or ED/Director: PASS department/CFO <b>and</b> ratified by the UFC <b>and</b> reported to the DVC Research & Internationalisation |

### DONATIONS

|   |                                     |  |    |              |        |          |
|---|-------------------------------------|--|----|--------------|--------|----------|
| Acceptance of a donation or grant, which is not subject to a research contract, and where further <b>costs &lt;= R1,000,000</b> will be incurred. | Amount < = R5,000,000               | Fund Holder <b>and</b> Faculty/PASS finance manager <b>and</b> Development and Alumni Department (DAD) Client Relationship Manager (CRM) <b>and</b> DAD FM                                   | FH | DAD CRM & FM | DAD FM |          |
|   | Amount > R5,000,000 < = R20,000,000 | Fund Holder <b>and</b> Faculty/PASS finance manager <b>and</b> Development and Alumni Department (DAD) Client Relationship Manager (CRM) <b>and</b> DAD FM <b>and</b> the VC                 | FH | DAD CRM & FM | DAD FM | VC       |
|   | Amount > R20,000,000                | Fund Holder <b>and</b> Faculty/PASS finance manager <b>and</b> Development and Alumni Department (DAD) Client Relationship Manager (CRM) <b>and</b> CFO <b>and</b> the VC <b>and</b> Council | FH | DAD CRM & FM | CFO    | VC & CNL |
| Acceptance of a donation or grant which is not subject to a research contract and where further <b>costs &gt; R1,000,000</b> will be incurred.    | Amount < = R20,000,000              | Fund Holder <b>and</b> Faculty/PASS finance manager <b>and</b> Development and Alumni Department (DAD) Client Relationship Manager (CRM) <b>and</b> CFO <b>and</b> the VC                    | FH | DAD CRM & FM | CFO    | VC       |
|   | Amount > R20,000,000                | Fund Holder <b>and</b> Faculty/PASS finance manager <b>and</b> Development and Alumni Department (DAD) Client Relationship Manager (CRM) <b>and</b> CFO <b>and</b> the VC <b>and</b> Council | FH | DAD CRM & FM | CFO    | VC & CNL |
| Issuing of Section 18A Certificates   | Cash or equivalent                  | DAD FM   |    |              |        |          |
|   | Donations in kind                   | DAD FM, in consultation with the CFO   |    |              |        |          |

GEN002 Schedule A: Financial Authorities

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|        |                   |                   | SIGNATORIES |     |     |     |
|--------|-------------------|-------------------|-------------|-----|-----|-----|
| ACTION | CONDITIONS/AMOUNT | APPROVAL REQUIRED | 1st         | 2nd | 3rd | 4th |

| RESEARCH COST RECOVERIES  |  |   |
|---|--|---|
| Waiver of research and other cost recoveries<br><b>NOTE: All research for external parties should be priced based on UCTs full cost approach.</b> | All amounts  | Dean/Director:GSB or ED/Director PASS Department/CFO  |
| BUDGET  |  |   |
| Granting budget for Continuing activities, including CAPEX, or additional operating budget as part of annual planning cycle                       | Any amount   | Council on recommendation of the UFC  |
| Granting additional budget for Continuing activities  | Additional Income has been recognised or positive variance forecast, requiring additional budget.              | Nominee of CFO  |
| Granting research budget (non-Council controlled operating budget)  | Income has been recognised or research contract has been signed  | Nominee of CFO  |
|   | Authority to spend on Spend & Claim basis granted by external funding source                                   | Nominee of CFO  |
| RESERVES - READ WITH THE DOCUMENT ON <i>FINANCIAL POLICY IN RESPECT OF COUNCIL CONTROLLED FUNDS</i>   |  |   |
| Use of Prior Year Reserves (PYR)  | Units are required to maintain sufficient Reserves to cover 5% of their total expenditure budget at all times. | Any variation regarding the 5% rule is reported via the CFO to the UFC on an annual basis.  |
|   | Otherwise units may use their Reserves in terms of the “UCT Financial Policy”.                                 | Expenditure greater than R1,000,000, subject to specific communication as to utilisation thresholds, to be approved by the responsible line DVC (for consistency with priorities) and reported to the CFO |



## GEN002 Schedule B: HR and HR Related

### UNIVERSITY OF CAPE TOWN HR DELEGATED AUTHORITIES

#### Notes

- 1 These authorities include those delegated and those retained by Council. They must be read together with the rules relating to the exercise of delegated authority. Where authority is delegated to an individual, the authority passes from the delegating authority to the designated officer through those officers that make up the line of responsibility between the two. It follows that the exercise of that authority may be referred to a superior officer in that line and that, if referred, the superior officer in the line may exercise the authority. Executive-level responsibility for Human Resources rests with the Executive Director of Human Resources (ED: HR); the Dean/Director: Graduate School Business (GSB) is accountable for human resource arrangements in the Faculty and the Executive Director/Registrar/DVC/Director and Chief Financial Officer (CFO) for a PASS department.
- 2 The Dean/Director: GSB/ED/Registrar/DVC, Director and CFO will ordinarily be required to see all proposals but may delegate their responsibility for this to the Head of Department and/or Head of Section/Unit.
- 3 Where signing of letters is shown as ED: HR or nominee, the Dean/Director: GSB/ED/Registrar/DVC/Director and CFO may ask to sign as the ED: HR's nominee, but accountability for content of the letter rests with the ED: HR.

#### Rules relating to the exercise of delegated authority

- 1 Unless the Schedule specifically authorises this, an authority may not further delegate their authority.
- 2 An authority must ensure that:
  - a) the power is exercised within the scope of the delegated authority;
  - b) the power is exercised in accordance with University policies and statutory requirements, and that due process has been followed;
  - c) responsibility for signing is delegated, not accountability;
  - d) the required delegation is noted in writing, or that the electronic delegation (e.g. via email or system delegation) contains the information as required;
  - e) the direct and indirect financial consequences of their decision are covered by an approved budget (authority to act does not confer authority to make a new budgetary appropriation, or create an entitlement to space); and
  - f) there is no conflict of interest (if the authority is conflicted they must decline to exercise the authority delegated to them).
- 3 Monetary/time limits refer to the total amount/duration of the contract/lease/salary and, save where otherwise indicated, include VAT. A single contract may not be split into separate contracts to avoid the more restrictive authorities imposed by any limit.
- 4 The signing authority may consult, where appropriate, relevant staff within the University before exercising the authority delegated to them.
- 5 Where an authority is away from office:
  - a) and a person has been appointed, in writing or via an out of office, to act in that position for the period of absence, the person appointed to act may exercise the delegated authority vested in that position (e.g., an acting Vice-Chancellor (VC) may exercise the authority given to the VC, or an acting Chief Financial Officer may exercise the authority given to the Chief Financial Officer); or
  - b) if a person has not been appointed to act, the authority's line manager is deemed to have the authority (e.g., in the absence of the Registrar or the CFO, the VC may exercise authority delegated to either).
- 6 The Vice-Chancellor may, in writing, delegate a specific authority delegated to them to a Deputy Vice-Chancellor (DVC), except where the Council or the Senate as the case may be, has expressly reserved the power to act to the Vice-Chancellor subject to any limitation that the Vice-Chancellor may impose, and subject to the condition that the Vice-Chancellor may withdraw this delegation at any time.
- 7 The Council may confirm, ratify, vary or revoke any decision taken by an employee, subject to any rights that may have become vested as a consequence of the decision.
- 8 Any HR policy deviation must be approved by the VC, **and reported to Council for noting**. Where the VC is the direct line manager, the policy deviation must be approved by Council.
- 9 Where the ED:HR is the final authority and the decision relates to HR, approval is required from the ED:HR's line manager.
- 10 In Schedule B, Nominees are specifically included in the Delegation of Authorities, where applicable.

# GEN002 Schedule B: HR and Related

| <b>NOTES:</b>   |   |   |   |                                      |   |                    |          |                    |
|---|---|---|---|--------------------------------------|---|--------------------|----------|--------------------|
| <b>CFO</b> = Chief Financial Officer; <b>COO</b> = Chief Operating Officer; <b>ED</b> = Executive Director; <b>HOD</b> = Head of Department; <b>DVC</b> = Deputy Vice-Chancellor; <b>VC</b> = Vice-Chancellor |   |   |   |                                      |   |                    |          |                    |
| <b>COE</b> = Cost of Employment, <b>ERMC</b> = Employee Relations Management Committee, <b>RemCom</b> = Remuneration Committee, <b>SASP</b> = Standard Academic Salary Package                                |   |   |   |                                      |   |                    |          |                    |
| <b>CMD</b> = Communications & Marketing Department, <b>DAD</b> = Development & Alumni Department, <b>PASS</b> = Professional, Administrative & Support Services, <b>PC</b> = Principal's Circular             |   |   |   |                                      |   |                    |          |                    |
| Any HR policy deviation must be approved by the VC, <b>and reported to Council for noting</b> . Where the VC is the direct line manager, the policy deviation must be approved by Council.                    |   |   |   |                                      |   |                    |          |                    |
| <b>Nominees are specifically designated where applicable.</b>   |   |   |   |                                      |   |                    |          |                    |
| Category of Decision  |   | Recommending Authority<br>(signs off)                               | Procedural Authority -<br>(accountable for process)     | Final Authority<br>(final signature) | Action<br>reported                                    | Signing of letters | Comments | Consult/<br>Inform |
| <b>1</b>  | <b>COMPOSITION OF SELECTION COMMITTEES</b>  |   |   |                                      |   |                    |          |                    |
| <b>1.1</b>  | <b>Selection committees for advertised posts</b>  |   |   |                                      |   |                    |          |                    |
|   | 1.1.1   | Academic posts (including research academic posts)                  | HOD   | ED: HR or nominee                    | Dean/Director:GSB                                     | PC                 |          |                    |
|   | 1.1.2   | Senior staff (VC)   | Chair of Council  | ED: HR or nominee                    | Council   | PC                 |          |                    |
|   | 1.1.3   | Senior staff (DVC)  | VC and Chair of Council                                 | ED: HR or nominee                    | Council   | PC                 |          |                    |
|   | 1.1.4   | Senior staff (Deans, EDs, Directors, CFO, Registrar, Peromnes 3)    | VC/DVC  | ED: HR or nominee                    | VC  | PC                 |          |                    |
|   | 1.1.5   | Senior staff (Peromnes 4–5)   | HOD/Line Manager  | ED: HR or nominee                    | ED/Dean/Director:GSB /CFO/ Director/ Registrar/DVC/VC | PC                 |          |                    |
|   | 1.1.6   | PASS posts pay class 9–12   | Line Manager  | ED: HR or nominee                    | Dean/ED/Head of PASS dept or nominee                  |                    |          |                    |
|   | 1.1.7   | PASS posts pay class 1-8  | Line Manager  | ED: HR or nominee                    | Line Manager/HOD                                      |                    |          |                    |
|   | 1.1.8   | Pro-VC  | DVC   | ED: HR or nominee                    | VC  | PC                 |          |                    |
|   | 1.1.9   | University Ombud  | Chair of Council  | ED: HR or nominee                    | Council   | PC                 |          |                    |
| <b>1.2</b>  | <b>Selection committees for waiver of advertisement motivations (T1, T2, permanent)</b> |   |   |                                      |   |                    |          |                    |
|   | 1.2.1   | Academic posts (including research academic posts)                  | Dean/Director:GSB or nominee                            | ED: HR or nominee                    | ED: HR<br>DVC if A/Professor<br>VC if Professor       | PC                 |          |                    |
|   | 1.2.2   | Senior Staff (VC)   | Chair of Council  | ED: HR or nominee                    | Council   | PC                 |          |                    |
|   | 1.2.3   | Senior staff (DVC)  | VC and Chair of Council                                 | ED: HR or nominee                    | Council   | PC                 |          |                    |
|   | 1.2.4   | Senior staff (Deans, EDs, Directors, CFO, Registrar) - Peromnes 2-3 | VC/DVC  | ED: HR or nominee                    | VC  | PC                 |          |                    |
|   | 1.2.5   | Senior staff - Peromnes 4-5   | ED/Dean/Director:GSB/Director/ CFO/Registrar or nominee | ED: HR or nominee                    | VC  | PC                 |          |                    |
|   | 1.2.6   | PASS posts pay class 9-12   | ED/Dean/Director:GSB/Director/ CFO/Registrar or nominee | ED: HR or nominee                    | ED: HR  |                    |          |                    |
|   | 1.2.7   | PASS posts pay class 1-8  | ED/Dean/Director:GSB/Director/ CFO/Registrar or nominee | ED: HR or nominee                    | ED: HR  |                    |          |                    |
|   | 1.2.8   | Strategic appointments recommended by the VC                        | VC  | ED: HR or nominee                    | Chair of Senate Review Panel (DVC)                    | PC                 |          |                    |
|   | 1.2.9   | Pro-VC  | DVC   | ED: HR or nominee                    | VC  | PC                 |          |                    |

# GEN002 Schedule B: HR and Related

| <b>NOTES:</b>   |       |   |                                       |   |  |                    |                    |   |                    |
|---|-------|---|---------------------------------------|---|--|--------------------|--------------------|---|--------------------|
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| <b>COE</b> = Cost of Employment, <b>ERMC</b> = Employee Relations Management Committee, <b>RemCom</b> = Remuneration Committee, <b>SASP</b> = Standard Academic Salary Package                                |       |   |                                       |   |  |                    |                    |   |                    |
| <b>CMD</b> = Communications & Marketing Department, <b>DAD</b> = Development & Alumni Department, <b>PASS</b> = Professional, Administrative & Support Services, <b>PC</b> = Principal's Circular             |       |   |                                       |   |  |                    |                    |   |                    |
| Any HR policy deviation must be approved by the VC, <b>and reported to Council for noting</b> . Where the VC is the direct line manager, the policy deviation must be approved by Council.                    |       |   |                                       |   |  |                    |                    |   |                    |
| <b>Nominees are specifically designated where applicable.</b>   |       |   |                                       |   |  |                    |                    |   |                    |
| Category of Decision  |       |   | Recommending Authority<br>(signs off) | Procedural Authority -<br>(accountable for process) | Final Authority<br>(final signature)   | Action<br>reported | Signing of letters | Comments  | Consult/<br>Inform |
| <b>2 APPOINTMENTS – PERMANENT AND TEMPORARY</b>   |       |   |                                       |   |  |                    |                    |   |                    |
| <b>2.1 Academic staff (permanent and T2 appointments, including joint staff on UCT/Western Cape Government (WCG) or UCT/National Health Laboratory Service (NHLS) conditions)</b>                             |       |   |                                       |   |  |                    |                    |   |                    |
|   | 2.1.1 | Professor   | Selection Committee                   | ED: HR or nominee                                   | VC   | PC                 | ED: HR or nominee  | The Chair of a Professorial selection committee is the VC (ex officio), who may nominate a DVC or Dean in their place. If the Dean chairs a Professorial level selection committee, the VC must appoint a DVC to attend the final interviews, unless the VC is present. DVC signs in support of the |                    |
|   | 2.1.2 | Associate Professor   | Selection Committee                   | ED: HR or nominee                                   | DVC  | PC                 | ED: HR or nominee  | Dean or nominee chairs selection committee  |                    |
|   | 2.1.3 | Senior Lecturer, Lecturer, Assistant Lecturer                                       | Selection Committee                   | ED: HR or nominee                                   | Fund Holder and the Dean/Director:GSB or DVC   | PC                 | ED: HR or nominee  | Dean or nominee chairs selection committee  |                    |
|   | 2.1.4 | Deans & Deputy Deans  | Selection Committee                   | ED: HR or nominee                                   | Council  | PC                 | ED: HR or nominee  | Deans and substantive Deputy Deans only   |                    |
|   | 2.1.5 | Principal Research Officer  | Selection Committee                   | ED: HR or nominee                                   | VC where appointment is at academic title of Professor. Dean/Director:GSB or nominee where academic title is lower than Professor  | PC                 | ED: HR or nominee  | VC final authority does not apply to pay level, only academic title.  |                    |
|   | 2.1.6 | Chief Research Officer  | Selection Committee                   | ED: HR or nominee                                   | DVC where appointment is at academic title of Associate Professor. Dean/Director:GSB or nominee where academic title is lower than |                    |                    |   |                    |
|   | 2.1.7 | Senior Research Officer, Research Officer/Fellow and Junior Research Officer/Fellow | Selection Committee                   | ED: HR or nominee                                   | Dean/Director:GSB or nominee   | PC                 | ED: HR or nominee  |   |                    |
|   | 2.1.8 | Academic Teacher (Lecturer/Senior Lecturer level only)                              | Selection Committee                   | ED: HR or nominee                                   | Dean/Director:GSB or nominee   |                    | ED: HR or nominee  |   |                    |

# **GEN002 Schedule B: HR and Related**

|   |  |   |   |  |   |                           |                           |  |
|---|--|---|---|--|---|---------------------------|---------------------------|--|
| <b>NOTES:</b>   |  |   |   |  |   |                           |                           |  |
| <b>CFO</b> = Chief Financial Officer; <b>COO</b> = Chief Operating Officer; <b>ED</b> = Executive Director; <b>HOD</b> = Head of Department; <b>DVC</b> = Deputy Vice-Chancellor; <b>VC</b> = Vice-Chancellor |  |   |   |  |   |                           |                           |  |
| <b>COE</b> = Cost of Employment, <b>ERMC</b> = Employee Relations Management Committee, <b>RemCom</b> = Remuneration Committee, <b>SASP</b> = Standard Academic Salary Package                                |  |   |   |  |   |                           |                           |  |
| <b>CMD</b> = Communications & Marketing Department, <b>DAD</b> = Development & Alumni Department, <b>PASS</b> = Professional, Administrative & Support Services, <b>PC</b> = Principal's Circular             |  |   |   |  |   |                           |                           |  |
| Any HR policy deviation must be approved by the VC, <b>and reported to Council for noting</b> . Where the VC is the direct line manager, the policy deviation must be approved by Council.                    |  |   |   |  |   |                           |                           |  |
| <b>Nominees are specifically designated where applicable.</b>   |  |   |   |  |   |                           |                           |  |
| <b>Category of Decision</b>   |  | <b>Recommending Authority<br/>(signs off)</b>   | <b>Procedural Authority -<br/>(accountable for process)</b> | <b>Final Authority<br/>(final signature)</b> | <b>Action<br/>reported</b>  | <b>Signing of letters</b> | <b>Comments</b>           | <b>Consult/<br/>Inform</b>   |
| <b>2.2</b>  | <b>Academic Staff – T1 contracts and shorter fixed term appointments</b> |   |   |  |   |                           |                           |  |
|   | 2.2.1  | Professor, Associate, Professor, Senior Lecturer, Lecturer, Assistant Lecturer including Visiting Professor or Visiting Associate Professor | HOD   | ED: HR or nominee                            | Dean/Director:GSB   |                           | ED: HR or nominee         | CV of Visiting Professor must accompany recommendation; appointment normally not more than one year; appointment approved at |
|   | 2.2.2  | Teaching Assistant, Tutor, Demonstrator   | Line Manager or nominee                                     | ED: HR or nominee                            | Head of Department (HOD) / Deputy Dean or nominee                                     |                           | ED: HR or nominee         | T1, paid-on-claim and ad hoc appointments  |
|   | 2.2.3  | Research academic staff (all levels)  | HOD and Fund Holder   | ED: HR or nominee                            | Dean/Director:GSB or nominee  |                           | ED: HR or nominee         | T1, paid-on-claim and ad hoc appointments  |
|   | 2.2.4  | Senior Scholars (post-retirement appointment)   | Dean/Director:GSB or nominee                                | ED: HR or nominee                            | DVC Teaching and Learning or VC (where CoE is equal to or exceeds Professorial level) | PC                        | ED: HR or nominee         | Ad hoc appointments require DVC approval   |
|   | 2.2.5  | Senior Research Scholars (post-retirement appointments)   | Dean/Director:GSB   | ED: HR or nominee                            | DVC (Research) or VC (where CoE equal to or exceeds Professorial level)               | PC                        | ED: HR or nominee         |  |
| <b>2.3</b>  | <b>Non-substantive appointments: All staff</b>                           |   |   |  |   |                           |                           |  |
|   | 2.3.1  | Non-permanent Deputy Dean/Assistant Dean (including renewals)   | Faculty Board   | ED: HR or nominee                            | Senate  | PC                        | ED: HR or nominee         | Faculty Board recommends to Senate   |
|   | 2.3.2  | Head of Department  | Dean/Director:GSB   | ED: HR or nominee                            | VC  | PC                        | ED: HR or nominee         | Appointment ordinarily not less than 3 years and not more than 5 years   |
|   | <b>2.3.3</b>   | <b>Acting HOD</b>   |   |  |   |                           |                           |  |
|   | 2.3.3.1  | 3 months or more  | Dean/Director:GSB   | ED: HR or nominee                            | DVC responsible for academic staff matters  | PC                        | ED: HR or nominee         |  |
|   | 2.3.3.2  | Less than 3 months  | HOD   | ED: HR or nominee                            | Dean/Director:GSB   | PC                        | ED: HR or nominee         |  |
|   | 2.3.4  | Acting VC   | Chair of Council  | ED: HR or nominee                            | Council   | PC                        | ED: HR or nominee         |  |
|   | 2.3.5  | Acting DVC, CFO, Registrar, ED: CMD, ED: DAD  | VC  | ED: HR or nominee                            | Council   | PC                        | ED: HR or nominee         | VC and RemCom for VC reports   |
|   | 2.3.6  | Acting Dean, Director:GSB, ED (excl ED: CMD & ED: DAD), Director  | DVC   | ED: HR or nominee                            | VC  | PC                        | ED: HR or nominee         | VC and RemCom for VC reports   |
|   | 2.3.7  | Honorary Professor and Honorary Associate Professor   | Selection Committee   | ED: HR or nominee                            | VC  | PC                        | ED: HR or nominee         |  |
|   | 2.3.8  | Honorary Senior Lecturer / Lecturer   | HOD   | ED: HR or nominee                            | Dean  | PC                        | ED: HR or nominee         |  |
|   | 2.3.9  | Honorary Research Associate and Honorary Research Affiliates  | HOD   |  | DVC R & I or ED: Research   |                           | DVC R & I or ED: Research |  |
|   | 2.3.10   | Adjunct Professor   | Selection Committee (of Faculty)                            | ED: HR or nominee                            | DVC   |                           | ED: HR or nominee         |  |
|   | 2.3.11   | Adjunct Associate Professor, Senior Lecturer or Lecturer  | Selection Committee (of Faculty)                            | ED: HR or nominee                            | Dean/Director:GSB   |                           | ED: HR or nominee         |  |
|   | 2.3.12   | Acting PC3 - 12   | HOD   | ED: HR                                       | Dean/Director:GSB/ED/Registrar/Director/CFO   |                           | ED: HR or nominee         |  |
|   | 2.3.13   | Acting PC13 (4) and (5)   | Dean /ED/Registrar/Director:GSB                             | ED: HR                                       | VC  |                           | ED: HR or nominee         |  |

# **GEN002 Schedule B: HR and Related**

|   |   |  |   |                   |   |                              |                                      |  |                    |                    |          |                    |
|---|---|--|---|-------------------|---|------------------------------|--------------------------------------|--|--------------------|--------------------|----------|--------------------|
| <b>NOTES:</b>   |   |  |   |                   |   |                              |                                      |  |                    |                    |          |                    |
| <b>CFO</b> = Chief Financial Officer; <b>COO</b> = Chief Operating Officer; <b>ED</b> = Executive Director; <b>HOD</b> = Head of Department; <b>DVC</b> = Deputy Vice-Chancellor; <b>VC</b> = Vice-Chancellor |   |  |   |                   |   |                              |                                      |  |                    |                    |          |                    |
| <b>COE</b> = Cost of Employment, <b>ERMC</b> = Employee Relations Management Committee, <b>RemCom</b> = Remuneration Committee, <b>SASP</b> = Standard Academic Salary Package                                |   |  |   |                   |   |                              |                                      |  |                    |                    |          |                    |
| <b>CMD</b> = Communications & Marketing Department, <b>DAD</b> = Development & Alumni Department, <b>PASS</b> = Professional, Administrative & Support Services, <b>PC</b> = Principal's Circular             |   |  |   |                   |   |                              |                                      |  |                    |                    |          |                    |
| Any HR policy deviation must be approved by the VC, <b>and reported to Council for noting</b> . Where the VC is the direct line manager, the policy deviation must be approved by Council.                    |   |  |   |                   |   |                              |                                      |  |                    |                    |          |                    |
| <b>Nominees are specifically designated where applicable.</b>   |   |  |   |                   |   |                              |                                      |  |                    |                    |          |                    |
| Category of Decision  |   |  | Recommending Authority<br>(signs off)                     |                   | Procedural Authority -<br>(accountable for process)                           |                              | Final Authority<br>(final signature) |  | Action<br>reported | Signing of letters | Comments | Consult/<br>Inform |
| 2.4   | Senior Staff – all appointments                           |  |   |                   |   |                              |                                      |  |                    |                    |          |                    |
|   | 2.4.1   | Peromnes 1 – 3<br>(VC, DVC, Dean, ED,<br>Registrar, Director:GSB, CFO) | Selection Committee                                       | ED: HR or nominee | Council   | PC and<br>Council Rem<br>Com | ED: HR or nominee                    |  |                    |                    |          |                    |
|   | 2.4.2   | Peromnes 4 – 5   | Selection Committee                                       | ED: HR or nominee | VC, DVC   | PC and<br>Council<br>RemCom  | ED: HR or nominee                    | VC reports to Remuneration<br>Committee of Council<br>(RemCom) via annual Council<br>report  |                    | Inform             |          |                    |
|   | 2.4.3   | University Ombud   | Selection Committee                                       | ED: HR or nominee | Council   | PC and<br>Council<br>RemCom  | ED: HR or nominee                    | Administratively the VC<br>informs RemCom officially<br>when the recruitment has<br>been completed and Council<br>has approved the |                    | Inform             |          |                    |
| 2.5   | Senior Staff – T1 contracts and shorter term appointments |  |   |                   |   |                              |                                      |  |                    |                    |          |                    |
|   | 2.5.1   | Peromnes 1 – 3<br>(VC, DVC, Dean, ED,<br>Registrar, Director:GSB, CFO) | VC/Chair of Council                                       | ED: HR or nominee | Council   | PC and<br>Council Rem<br>Com | ED: HR or nominee                    |  |                    |                    |          |                    |
|   | 2.5.2   | Peromnes 4 – 5   | Dean/ED/Registrar/Director:GSB/<br>VC                     | ED: HR or nominee | VC, DVC   | PC and<br>Council<br>RemCom  | ED: HR or nominee                    | VC reports to Remuneration<br>Committee of Council<br>(RemCom) via annual Council<br>report.                                       |                    | Inform             |          |                    |
|   | 2.5.3   | University Ombud   | Chair of Council  | ED: HR or nominee | Council   | PC and<br>Council<br>RemCom  | ED: HR or nominee                    | Administratively the VC<br>informs RemCom officially<br>when the recruitment has<br>been completed and Council<br>has approved the |                    | Inform             |          |                    |
| 2.6   | PASS Staff – permanent and T2 appointments                |  |   |                   |   |                              |                                      |  |                    |                    |          |                    |
|   | 2.6.1   | Pay classes 1 - 12   | Selection Committee                                       | ED: HR or nominee | ED/Dean/Director:GSB/Director/<br>CFO/Registrar or nominee                    | PC for Pay<br>classes 9-12   | ED: HR or nominee                    | Letters of appointments, PC1-<br>8 PE, T1 and T2 signed by<br>Head: Appointments (except<br>post retirements)                      |                    |                    |          |                    |
|   | 2.6.2   | Wardens & Assistant Wardens  | Selection Committee                                       | ED: HR or nominee | ED: DSA or nominee  |                              | ED: HR or nominee                    |  |                    |                    |          |                    |
| 2.7   | PASS Staff – T1 contracts and shorter term appointments   |  |   |                   |   |                              |                                      |  |                    |                    |          |                    |
|   | 2.7.1   | Pay classes 1 – 12   | Selection Committee/HOD or<br>nominee                     | ED: HR or nominee | Dean/Director:GSB/ED/CFO/Director<br>/Registrar or nominee or Academic<br>HOD |                              | ED: HR or nominee                    | T1, paid-on-claim and ad hoc<br>appointments (excluding those<br>made to students whose roles<br>are linked to their studentship)  |                    |                    |          |                    |
|   | 2.7.2   | PASS post-retirement<br>appointments                                   | Dean/Director:GSB/ED or<br>nominee with support from line | ED: HR or nominee | ED: HR  |                              | ED: HR or nominee                    |  |                    |                    |          |                    |
|   | 2.7.3   | Post retirement appointments<br>for Peromnes 4-5                       | VC/DVC/Dean/<br>Director:GSB/ED                           | ED: HR or nominee | VC  |                              | ED: HR or nominee                    |  |                    |                    |          |                    |
|   | 2.7.4   | Post retirement appointments<br>for Peromnes 2-3                       | VC  | ED: HR or nominee | Council   |                              | ED: HR or nominee                    |  |                    |                    |          |                    |

# **GEN002 Schedule B: HR and Related**

| <b>NOTES:</b>   |   |  |  |   |  |                    |                    |                                   |                    |
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| Any HR policy deviation must be approved by the VC, <b>and reported to Council for noting</b> . Where the VC is the direct line manager, the policy deviation must be approved by Council.                    |   |  |  |   |  |                    |                    |                                   |                    |
| <b>Nominees are specifically designated where applicable.</b>   |   |  |  |   |  |                    |                    |                                   |                    |
| Category of Decision  |   |  | Recommending Authority<br>(signs off)                  | Procedural Authority -<br>(accountable for process) | Final Authority<br>(final signature)                   | Action<br>reported | Signing of letters | Comments                          | Consult/<br>Inform |
| <b>2.8</b>  | <b>Motivations for Waiver of advertisement appointments</b>                   |  |  |   |  |                    |                    |                                   |                    |
|   | 2.8.1   | Professor & Associate Professor  | Selection committee                                    | ED: HR or nominee                                   | ED: HR and VC for Prof level                           | PC                 | ED: HR or nominee  |                                   |                    |
|   | 2.8.2   | Senior Lecturer, Lecturer, Assistant Lecturer and all levels of Research Officer | Selection committee                                    | ED: HR or nominee                                   | ED: HR   | PC                 | ED: HR or nominee  |                                   |                    |
|   | 2.8.3   | Senior Staff (VC)  | Chair of Council                                       | ED: HR or nominee                                   | Council  | PC                 |                    | RemCom to recommend to Council    | Inform             |
|   | 2.8.4   | Senior Staff (DVC)   | VC   | ED: HR or nominee                                   | Council  | PC                 |                    | RemCom to recommend to Council    | Inform             |
|   | 2.8.5   | Senior Staff (Peromnes 2- 3 /Deans, EDs,CFO and Registrar)                       | VC, DVC  | ED: HR or nominee                                   | Council  | PC                 |                    | RemCom to recommend to Council    | Inform             |
|   | 2.8.6   | Senior Staff (Peromnes 4-5)  | Selection committee                                    | ED: HR or nominee                                   | VC   | PC                 |                    | Report to RemCom for noting       | Inform             |
|   | 2.8.7   | PASS posts pay classes 1 - 12  | Selection committee                                    | ED: HR or nominee                                   | ED: HR   |                    |                    |                                   |                    |
|   | 2.8.8   | Strategic Appointments recommended by the VC                                     | Selection committee                                    | ED: HR or nominee                                   | Chair of Senate Review Panel (DVC)                     | PC                 |                    |                                   |                    |
|   | 2.8.9   | Pro-VC   | DVC  | ED: HR or nominee                                   | VC   | PC                 |                    |                                   |                    |
| <b>3</b>  | <b>PROBATION AND CONFIRMATION OF APPOINTMENTS (Academic)</b>                  |  |  |   |  |                    |                    |                                   |                    |
| 3.1   |   | Academic appointments where the Dean/Director:GSB is Reporting Officer           | Dean/Director:GSB or Committee of Review               | ED: HR or nominee                                   | DVC or Committee of Review                             |                    | ED: HR or nominee  |                                   |                    |
| 3.2   |   | All other academic appointments  | HOD or Committee of Review                             | ED: HR or nominee                                   | DVC or Committee of Review                             |                    | ED: HR or nominee  |                                   |                    |
| <b>4</b>  | <b>ADDITIONAL WORK FOR UCT</b>  |  |  |   |  |                    |                    |                                   |                    |
| <b>4.1</b>  | <b>Additional Appointments</b>  |  |  |   |  |                    |                    |                                   |                    |
|   | 4.1.1   | Academic (all levels) PASS (PC 1-12)   | HOD/Line Manager                                       | ED: HR or nominee                                   | Dean/Director:GSB or nominee                           |                    | ED: HR or nominee  |                                   |                    |
|   | 4.1.2   | Peromnes 4-5   | HOD/Line Manager                                       | ED: HR or nominee                                   | ED/Director/CFO/Registrar/DVC/VC or nominee            |                    | ED: HR or nominee  |                                   |                    |
| <b>4.2</b>  | <b>Additional Salary Payments – Academic Staff – where budget allows this</b> |  |  |   |  |                    |                    |                                   |                    |
|   | 4.2.1   | Less than R25,000  | HOD  | ED: HR or nominee                                   | Dean/Director:GSB or nominee                           |                    |                    |                                   |                    |
|   | 4.2.2   | R25,000 - R100,000   | Dean/Director:GSB                                      | ED: HR or nominee                                   | DVC  |                    |                    |                                   |                    |
|   | 4.2.3   | > R100,000 – R250,000  | DVC responsible for academic staff                     | ED: HR or nominee                                   | VC   |                    |                    |                                   |                    |
|   | 4.2.4   | > R250,000   | DVC  | ED: HR or nominee                                   | VC reporting to RemCom                                 |                    |                    | Report to RemCom in annual report | Inform             |
| <b>4.3</b>  | <b>Additional Salary Payments – PASS Staff – where budget allows this</b>     |  |  |   |  |                    |                    |                                   |                    |
|   | 4.3.1   | Less than R25,000  | HOD  | ED: HR or nominee                                   | Dean/Director:GSB/ED/Director/CFO/Registrar or nominee |                    |                    |                                   |                    |
|   | 4.3.2   | R25,000 - R100,000   | Dean/Director:GSB/ED/Director/CFO/Registrar or nominee | ED: HR or nominee                                   | ED: HR or nominee                                      |                    |                    |                                   |                    |
|   | 4.3.3   | > R100,000 - R250,000  | Dean/Director:GSB/ED/Director/CFO/Registrar or nominee | ED: HR or nominee                                   | VC   |                    |                    |                                   |                    |
|   | 4.3.4   | > R250,000   | Dean/Director:GSB/ED/Director/CFO/Registrar or nominee |   | VC reporting to RemCom                                 |                    |                    | Report to RemCom in annual report | Inform             |

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| <b>NOTES:</b>   |   |   |   |   |   |  |  |                                      |                    |
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| Any HR policy deviation must be approved by the VC, <b>and reported to Council for noting</b> . Where the VC is the direct line manager, the policy deviation must be approved by Council.                    |   |   |   |   |   |  |  |                                      |                    |
| <b>Nominees are specifically designated where applicable.</b>   |   |   |   |   |   |  |  |                                      |                    |
| Category of Decision  |   |   | Recommending Authority<br>(signs off)         | Procedural Authority -<br>(accountable for process) | Final Authority<br>(final signature)                | Action<br>reported                       | Signing of letters                               | Comments                             | Consult/<br>Inform |
| <b>4.4</b>  | <b>Additional Salary Payments – Senior Staff</b>  |   |   |   |   |  |  |                                      |                    |
|   | 4.4.1   | Peromnes 4 – 5  | DVC/Dean/Director:GSB/<br>ED/CFO or Registrar | ED: HR  | VC  | Rem Com                                  |  | Report to RemCom in annual<br>report | Inform             |
|   | <b>4.4.2</b>                                      | <b>Peromnes 3</b>   |   |   |   |  |  |                                      |                    |
|   | 4.4.2.1   | Single Payments of up to<br>R100,000  | DVC   | ED: HR  | VC  | Council in<br>annual<br>RemCom<br>report |  | Report to RemCom in annual<br>report | Inform             |
|   | 4.4.2.2   | Cumulative Payments of up to<br>R250,000  | DVC   | ED: HR  | VC  | Council in<br>annual<br>RemCom<br>report |  | Report to RemCom in annual<br>report | Inform             |
|   | 4.4.2.3   | Single Payments > R100,000  | VC  | ED: HR  | RemCom  | Council in<br>annual<br>RemCom<br>report |  |                                      |                    |
|   | 4.4.2.4   | Cumulative Payments ><br>R250,000   | VC  | ED: HR  | RemCom  | Council in<br>annual<br>RemCom<br>report |  |                                      |                    |
|   | 4.4.3   | Peromnes 1 - 2  | Line Manager                                  | ED: HR  | RemCom  | Council in<br>annual<br>RemCom<br>report |  |                                      |                    |
| <b>5</b>  | <b>SETTING OF SALARY RANGES</b>                   |   |   |   |   |  |  |                                      |                    |
| 5.1   |   | Academic staff  | ED: HR  | ED: HR  | Relevant DVC with VC                                | Council                                  |  |                                      |                    |
| 5.2   |   | PASS staff<br>(Pay classes 1 – 12)  | ED: HR  | ED: HR  | DVC with VC   | Council                                  |  |                                      |                    |
| 5.3   |   | Senior staff (Peromnes 1– 5)<br>(Pay class 13)  | ED: HR  | ED: HR  | RemCom  | Council                                  |  |                                      |                    |
| <b>6</b>  | <b>SETTING INDIVIDUAL SALARIES AND ALLOWANCES</b> |   |   |   |   |  |  |                                      |                    |
| <b>6.1</b>  | <b>Academic Staff</b>                             |   |   |   |   |  |  |                                      |                    |
|   | 6.1.1   | All academic ranks within<br>ranges (including research<br>academic posts)                            | HOD   | Dean  | Dean or nominee                                     |  | ED: HR or nominee                                |                                      |                    |
|   | 6.1.2   | Above SASP for Professors   | Dean/Director:GSB                             | ED:HR   | VC with input from the DVC<br>Teaching and Learning |  | ED: HR or nominee                                |                                      |                    |
|   | 6.1.3   | Above SASP up to, and<br>including, level of Associate<br>Professor to COE at maximum<br>of next rank | Dean/Director:GSB                             | ED:HR   | DVC Teaching and Learning                           |  | DVC responsible<br>for academic staff<br>matters |                                      |                    |



# **GEN002 Schedule B: HR and Related**

|   |   |  |   |  |  |                           |                   |                                   |
|---|---|--|---|--|--|---------------------------|-------------------|-----------------------------------|
| <b>NOTES:</b>   |   |  |   |  |  |                           |                   |                                   |
| <b>CFO</b> = Chief Financial Officer; <b>COO</b> = Chief Operating Officer; <b>ED</b> = Executive Director; <b>HOD</b> = Head of Department; <b>DVC</b> = Deputy Vice-Chancellor; <b>VC</b> = Vice-Chancellor |   |  |   |  |  |                           |                   |                                   |
| <b>COE</b> = Cost of Employment, <b>ERMC</b> = Employee Relations Management Committee, <b>RemCom</b> = Remuneration Committee, <b>SASP</b> = Standard Academic Salary Package                                |   |  |   |  |  |                           |                   |                                   |
| <b>CMD</b> = Communications & Marketing Department, <b>DAD</b> = Development & Alumni Department, <b>PASS</b> = Professional, Administrative & Support Services, <b>PC</b> = Principal's Circular             |   |  |   |  |  |                           |                   |                                   |
| Any HR policy deviation must be approved by the VC, <b>and reported to Council for noting</b> . Where the VC is the direct line manager, the policy deviation must be approved by Council.                    |   |  |   |  |  |                           |                   |                                   |
| <b>Nominees are specifically designated where applicable.</b>   |   |  |   |  |  |                           |                   |                                   |
| <b>Category of Decision</b>   |   | <b>Recommending Authority<br/>(signs off)</b>  | <b>Procedural Authority -<br/>(accountable for process)</b> | <b>Final Authority<br/>(final signature)</b> | <b>Action<br/>reported</b>                             | <b>Signing of letters</b> | <b>Comments</b>   | <b>Consult/<br/>Inform</b>        |
| <b>6.2</b>  | <b>PASS Staff</b>   |  |   |  |  |                           |                   |                                   |
|   | 6.2.1   | Pay classes 1 – 12 up to standard package  | HOD/Director  | ED: HR                                       | Dean/Director:GSB/ED/CFO/Director/Registrar or nominee |                           | ED: HR or nominee |                                   |
|   | 6.2.2   | Above standard package in pay classes 1 -11 to COE at maximum of next pay class standard package | Dean/Director:GSB/ED/CFO/Director/Registrar or nominee      | ED: HR                                       | ED: HR   |                           | ED: HR or nominee |                                   |
|   | 6.2.3   | Above standard package in pay class 12   | Dean/Director:GSB/ED/CFO/Director/ Registrar                | ED: HR                                       | VC with input from DVC                                 |                           | ED: HR or nominee |                                   |
| <b>6.3</b>  | <b>Senior Staff</b>   |  |   |  |  |                           |                   |                                   |
|   | 6.3.1   | Peromnes 4 – 5 Including non-Executive Peromnes 3  | Dean/Director:GSB/ED/CFO/Director/Registrar                 | ED: HR                                       | VC with input from DVC                                 |                           | ED: HR            |                                   |
|   | 6.3.2   | Peromnes 3   | DVC   | RemCom                                       | RemCom   |                           | VC                |                                   |
|   | 6.3.3   | Peromnes 2   | VC  | RemCom                                       | RemCom   |                           | VC                |                                   |
|   | 6.3.4   | Peromnes 1   | Chair of Council  | RemCom                                       | RemCom   |                           | Chair of Council  |                                   |
| <b>6.4</b>  | <b>Head of Department/Deputy Dean Allowances on appointment</b> |  |   |  |  |                           |                   |                                   |
|   | 6.4.1   | Academic staff   | Dean/Director:GSB   | ED: HR or nominee                            | Dean/Director:GSB                                      |                           | ED: HR or nominee |                                   |
| <b>6.5</b>  | <b>Externally-funded Augmentations</b>                          |  |   |  |  |                           |                   |                                   |
|   | 6.5.1   | Dean/Director:GSB  | DVC Teaching and Learning                                   | ED: HR or nominee                            | VC   |                           | ED: HR or nominee | Report to RemCom in annual report |
|   | 6.5.2   | Academic staff other than Dean   | HOD or Dean/Director:GSB                                    | ED: HR or nominee                            | DVC responsible for academic staff matters             |                           | ED: HR or nominee |                                   |
| <b>7</b>  | <b>SALARY ADJUSTMENTS (outside negotiated agreements)</b>       |  |   |  |  |                           |                   |                                   |
| <b>7.1</b>  | <b>Academic Staff</b>   |  |   |  |  |                           |                   |                                   |
|   | 7.1.1   | All Academic ranks within ranges   | HOD   | ED: HR                                       | Dean/Director:GSB                                      |                           | ED: HR or nominee |                                   |
|   | 7.1.2   | All Academic Clinical ranks within ranges  | HOD   | ED: HR                                       | Dean   |                           | ED: HR or nominee |                                   |
| <b>7.2</b>  | <b>PASS Staff</b>   |  |   |  |  |                           |                   |                                   |
|   | 7.2.1   | Pay classes 1 – 12   | Dean/Director:GSB/ED/CFO/Registrar/Director                 | ED: HR or nominee                            | ED: HR or nominee                                      |                           | ED: HR or nominee |                                   |
| <b>7.3</b>  | <b>Senior Staff</b>   |  |   |  |  |                           |                   |                                   |
|   | 7.3.1   | Peromnes 4 – 5 Including non-Executive Peromnes 3  | Dean/Director:GSB/ED/CFO/Registrar/Director                 | ED: HR                                       | VC with input from relevant DVC                        |                           | ED: HR or nominee | Report to RemCom in annual report |
|   | 7.3.2   | Peromnes 3   | VC/DVC  | RemCom                                       | RemCom   |                           | VC                | Report to Council                 |
|   | 7.3.3   | Peromnes 2   | VC  | RemCom                                       | RemCom   |                           | VC                | Report to Council                 |
|   | 7.3.4   | Peromnes 1   | Chair of Council  | RemCom                                       | RemCom   |                           | Chair of Council  | Report to Council                 |



# GEN002 Schedule B: HR and Related

|   |       |   |   |  |                            |                           |                   |                            |  |
|---|-------|---|---|--|----------------------------|---------------------------|-------------------|----------------------------|--|
| <b>NOTES:</b>   |       |   |   |  |                            |                           |                   |                            |  |
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| <b>COE</b> = Cost of Employment, <b>ERMC</b> = Employee Relations Management Committee, <b>RemCom</b> = Remuneration Committee, <b>SASP</b> = Standard Academic Salary Package                                |       |   |   |  |                            |                           |                   |                            |  |
| <b>CMD</b> = Communications & Marketing Department, <b>DAD</b> = Development & Alumni Department, <b>PASS</b> = Professional, Administrative & Support Services, <b>PC</b> = Principal's Circular             |       |   |   |  |                            |                           |                   |                            |  |
| Any HR policy deviation must be approved by the VC, <b>and reported to Council for noting</b> . Where the VC is the direct line manager, the policy deviation must be approved by Council.                    |       |   |   |  |                            |                           |                   |                            |  |
| <b>Nominees are specifically designated where applicable.</b>   |       |   |   |  |                            |                           |                   |                            |  |
| <b>Category of Decision</b>   |       | <b>Recommending Authority<br/>(signs off)</b>   | <b>Procedural Authority -<br/>(accountable for process)</b> | <b>Final Authority<br/>(final signature)</b> | <b>Action<br/>reported</b> | <b>Signing of letters</b> | <b>Comments</b>   | <b>Consult/<br/>Inform</b> |  |
| <b>8 AD HOMINEM PROMOTIONS</b>  |       |   |   |  |                            |                           |                   |                            |  |
| <b>8.1 Academic Staff promoted to the rank of</b>   |       |   |   |  |                            |                           |                   |                            |  |
|   | 8.1.1 | Professor, Associate Professor, Senior Lecturer/Lecturer  | Faculty Promotions & Remuneration Committee                 | ED: HR or nominee                            | VC                         | PC                        | ED: HR or nominee |                            |  |
|   | 8.1.2 | Principal Research Officer, Chief Research Officer, Senior Research Officer/Research Officer  | Faculty Promotions & Remuneration Committee                 | ED: HR or nominee                            | VC                         | PC                        | ED: HR or nominee |                            |  |
|   | 8.1.3 | a) Clinical professor, clinical associate professor any other academic rank for Joint (WCG or NHLS) staff on UCT conditions of service<br>b) Any academic rank for Joint Staff on NHLS or WCG conditions of service | Faculty Promotions & Remuneration Committee                 | ED: HR or nominee                            | VC and WCG or NHLS         | PC                        | ED: HR or nominee |                            |  |
| <b>8.2 Technical/Scientific Staff promoted to the rank of</b>   |       |   |   |  |                            |                           |                   |                            |  |
|   | 8.2.1 | Principal Tech/Sci Officer, Chief Tech/Sci Officer, Senior Tech/Sci Officer   | Chair – Scientific & Technical Officers Promotion Committee | ED: HR or nominee                            | VC                         | PC                        | ED: HR or nominee |                            |  |
| <b>9 LEAVE</b>  |       |   |   |  |                            |                           |                   |                            |  |
| <b>9.1 General</b>  |       |   |   |  |                            |                           |                   |                            |  |
|   | 9.1.1 | Annual leave  | Line Manager  | ED: HR or nominee                            | Line Manager               |                           |                   |                            |  |
|   | 9.1.2 | Sick Leave  | Line Manager  | ED: HR or nominee                            | Line Manager               |                           |                   |                            |  |
|   | 9.1.3 | Parental (Primary) Leave  | Line Manager  | ED: HR or nominee                            | Line Manager               |                           |                   |                            |  |
|   | 9.1.4 | Family responsibility leave exceeding UCT allocation of 5 days  | Line Manager  | ED: HR or nominee                            | ED: HR or nominee          |                           |                   |                            |  |

# GEN002 Schedule B: HR and Related

|   |                              |   |   |  |   |                           |  |                            |
|---|------------------------------|---|---|--|---|---------------------------|--|----------------------------|
| <b>NOTES:</b>   |                              |   |   |  |   |                           |  |                            |
| <b>CFO</b> = Chief Financial Officer; <b>COO</b> = Chief Operating Officer; <b>ED</b> = Executive Director; <b>HOD</b> = Head of Department; <b>DVC</b> = Deputy Vice-Chancellor; <b>VC</b> = Vice-Chancellor |                              |   |   |  |   |                           |  |                            |
| <b>COE</b> = Cost of Employment, <b>ERMC</b> = Employee Relations Management Committee, <b>RemCom</b> = Remuneration Committee, <b>SASP</b> = Standard Academic Salary Package                                |                              |   |   |  |   |                           |  |                            |
| <b>CMD</b> = Communications & Marketing Department, <b>DAD</b> = Development & Alumni Department, <b>PASS</b> = Professional, Administrative & Support Services, <b>PC</b> = Principal's Circular             |                              |   |   |  |   |                           |  |                            |
| Any HR policy deviation must be approved by the VC, <b>and reported to Council for noting</b> . Where the VC is the direct line manager, the policy deviation must be approved by Council.                    |                              |   |   |  |   |                           |  |                            |
| <b>Nominees are specifically designated where applicable.</b>   |                              |   |   |  |   |                           |  |                            |
| <b>Category of Decision</b>   |                              | <b>Recommending Authority<br/>(signs off)</b>   | <b>Procedural Authority -<br/>(accountable for process)</b> | <b>Final Authority<br/>(final signature)</b> | <b>Action<br/>reported</b>                  | <b>Signing of letters</b> | <b>Comments</b>  | <b>Consult/<br/>Inform</b> |
| <b>9.2</b>  | <b>Academic Staff</b>        |   |   |  |   |                           |  |                            |
|   | 9.2.1                        | Study & Research/Contact leave for VC   |   | ED: HR or nominee                            | Chair of Council                            | PC                        | ED: HR or nominee  |                            |
|   | 9.2.2                        | Study & Research/Contact leave for DVCs   | VC  | ED: HR or nominee                            | Chair of Council                            | PC                        | ED: HR or nominee  |                            |
|   | 9.2.3                        | Study & Research / Contact leave for Deans/Director:GSB   | DVC   | ED: HR or nominee                            | VC  | PC                        | ED: HR or nominee  |                            |
|   | 9.2.4                        | Study & Research / Contact leave for all other academic   | HOD and Dean/Director:GSB                                   | ED: HR or nominee                            | DVC Teaching and Learning                   | PC                        | ED: HR or nominee  |                            |
|   | 9.2.5                        | Study and Research Leave for Research staff   | HOD/Line Manager via Dean/Director:GSB                      | ED: HR or nominee                            | DVC Research and Internationalisation       | PC                        | ED: HR or nominee  |                            |
|   | <b>9.2.6</b>                 | <b>Special Leave and Leave Without Pay</b>  |   |  |   |                           |  |                            |
|   | 9.2.6.1                      | Up to and including 15 working days   | Line Manager  | ED: HR or nominee                            | Line Manager                                |                           |  |                            |
|   | 9.2.6.2                      | More than 15 working days   | Dean/Director:GSB/DVC/VC/Chair of Council                   | ED: HR or nominee                            | DVC/VC/Chair of Council                     | PC                        | ED: HR or nominee  |                            |
|   | 9.2.7                        | Carry forward of expiring annual leave  | HOD   | ED: HR or nominee                            | Dean/Director:GSB                           |                           |  |                            |
| <b>9.3</b>  | <b>PASS Staff</b>            |   |   |  |   |                           |  |                            |
|   | <b>9.3.1</b>                 | <b>Special Leave and Leave without Pay</b>  |   |  |   |                           |  |                            |
|   | 9.3.1.1                      | Up to and including 15 working days   | Line Manager  | ED:HR or nominee                             | Line Manager                                |                           |  |                            |
|   | 9.3.1.2                      | More than 15 working days   | Dean/Director:GSB/ED/CFO/Registrar/Director/DVC             | ED: HR or nominee                            | ED: HR or nominee/DVC/VC                    |                           |  |                            |
|   | 9.3.2                        | Carry forward of expiring annual leave – all pay classes  | Line Manager  | ED: HR or nominee                            | ED: HR or nominee                           |                           |  |                            |
|   | 9.3.3                        | Carry forward of untaken sick leave from previous cycles and conversions from annual leave to sick leave, or half-pay sick leave to full-pay sick leave | Line Manager and Dean/ED                                    | ED: HR or nominee                            | ED: HR or nominee                           |                           |  |                            |
| <b>10</b>   | <b>RELOCATION EXPENSES</b>   |   |   |  |   |                           |  |                            |
|   | 10.1                         | Pay class 9 and above appointments  |   | ED: HR or nominee                            | ED: HR or nominee                           |                           |  |                            |
| <b>11</b>   | <b>CREATION OF NEW POSTS</b> |   |   |  |   |                           |  |                            |
|   | 11.1                         | Academic or PASS  | HOD   | ED: HR or nominee                            | Dean/Director:GSB/Director/CFO/Registrar/ED |                           | Dean/Director:GSB/Director/CFO /Registrar/ED has authority within limits of budget |                            |

# GEN002 Schedule B: HR and Related

| NOTES:   |   |  |  |   |   |                       |                        |                                   |                    |
|--|---|--|--|---|---|-----------------------|------------------------|-----------------------------------|--------------------|
| CFO = Chief Financial Officer; COO = Chief Operating Officer; ED = Executive Director; HOD = Head of Department; DVC = Deputy Vice-Chancellor; VC = Vice-Chancellor                |   |  |  |   |   |                       |                        |                                   |                    |
| COE = Cost of Employment,ERMC = Employee Relations Management Committee, RemCom = Remuneration Committee, SASP = Standard Academic Salary Package                                  |   |  |  |   |   |                       |                        |                                   |                    |
| CMD = Communications & Marketing Department, DAD = Development & Alumni Department, PASS = Professional, Administrative & Support Services, PC = Principal's Circular              |   |  |  |   |   |                       |                        |                                   |                    |
| Any HR policy deviation must be approved by the VC, and reported to Council for noting. Where the VC is the direct line manager, the policy deviation must be approved by Council. |   |  |  |   |   |                       |                        |                                   |                    |
| Nominees are specifically designated where applicable.   |   |  |  |   |   |                       |                        |                                   |                    |
| Category of Decision   |   |  | Recommending Authority<br>(signs off)                  | Procedural Authority -<br>(accountable for process) | Final Authority<br>(final signature)                              | Action<br>reported    | Signing of letters     | Comments                          | Consult/<br>Inform |
| 12   | GRADING OF POSTS                          |  |  |   |   |                       |                        |                                   |                    |
| 12.1   | PASS Posts                                |  |  |   |   |                       |                        |                                   |                    |
|  | 12.1.1                                    | Pay classes 1 – 12   | Organisational Design Specialist                       | ED: HR or nominee                                   | Chair of Position Evaluation Committee                            |                       | ED: HR or nominee      |                                   |                    |
| 12.2   | Senior Posts                              |  |  |   |   |                       |                        |                                   |                    |
|  | 12.2.1                                    | Peromnes 4 – 5   | Organisational Design Specialist                       | ED: HR  | VC  | Council Rem Committee | ED: HR or nominee      | Report to RemCom in annual report | Inform             |
|  | 12.2.2                                    | Peromnes 1 – 3   | Organisational Design Specialist                       | ED: HR  | Chair of Position Evaluation Committee<br>VC<br>RemCom            | Council               | ED: HR or nominee      | Report to Council                 | Inform             |
| 13   | REDUNDANCY, REDEPLOYMENT AND RETRENCHMENT |  |  |   |   |                       |                        |                                   |                    |
| 13.1   |   | Approval of commencement of formal consultation  | Dean/Director:GSB/CFO/<br>Registrar/Director/ED/DVC/VC | ED:HR   | ERMC  |                       | Chair ERMC<br>(ED: HR) |                                   |                    |
| 13.2   |   | Approval of disestablishment of post/s   | Dean/Director:GSB/CFO/<br>Registrar/Director/ED/DVC/VC | ED:HR   | ERMC  |                       | Chair ERMC<br>(ED: HR) |                                   |                    |
| 14   | PERMISSION TO UNDERTAKE PRIVATE WORK      |  |  |   |   |                       |                        |                                   |                    |
| 14.1   |   | Academic and PASS  | Line Manager   | ED: HR  | Dean/Director:GSB/ED/Director/<br>Registrar/CFO/DVC/VC            |                       |                        |                                   |                    |
| 14.2   |   | Clinical (joint WCG/UCT) staff on UCT conditions   | HOD  | LPP and private/additional work committee           | Dean after consultation with Hospital CEO                         |                       |                        |                                   |                    |
| 14.3   |   | Joint UCT/NHLS staff on UCT conditions   | Private work not permitted                             |   |   |                       |                        |                                   |                    |
| 15   | TERMINATIONS (excluding end of contract)  |  |  |   |   |                       |                        |                                   |                    |
| 15.1   | Standard Terminations                     |  |  |   |   |                       |                        |                                   |                    |
|  | 15.1.1                                    | Standard terminations (resignation, normal and early retirement) of VC, DVC                      | Chair of Council                                       | ED: HR  | Council   | PC                    | ED: HR or nominee      |                                   |                    |
|  | 15.1.2                                    | Standard terminations (resignation, normal and early retirement)<br>Dean/ED/Registrar/CFO        | VC/DVC   | ED: HR  | DVC/VC/Chair of Council or Council                                | PC                    | ED: HR or nominee      |                                   |                    |
|  | 15.1.3                                    | Standard terminations (resignation, normal and early retirement) for all academic and PASS staff | Line manager   | ED: HR  | Dean/Director:GSB/ED/CFO/<br>Director/Registrar/DVC/VC or nominee | PC                    | ED: HR or nominee      |                                   |                    |
| 15.2   |   | Incentivised early retirement  | Dean/Director:GSB/ED/Director/CFO/Registrar/DVC/VC     | ED: HR  | VC, Remuneration Committee of Council (RemCom)                    | PC                    | ED: HR, VC             |                                   |                    |
| 15.3   |   | Deferred retirement  | HOD and Dean/Director:GSB                              | ED: HR  | VC with input from DVC  | PC                    | DVC, VC                |                                   |                    |
| 15.4   |   | Dismissal (poor performance, ill health)   | Chairperson of the Hearing                             | ED: HR  | ED: HR  | PC                    | ED: HR or nominee      |                                   |                    |
| 15.5   |   | Dismissal (misconduct)   | Chairperson of the Hearing                             | ED: HR  | VC or nominee   | PC                    | ED: HR or nominee      |                                   |                    |

# **GEN002 Schedule B: HR and Related**

| <b>NOTES:</b>   |   |  |                                       |   |                                      |                    |                    |   |                    |
|---|---|--|---------------------------------------|---|--------------------------------------|--------------------|--------------------|---|--------------------|
| <b>CFO</b> = Chief Financial Officer; <b>COO</b> = Chief Operating Officer; <b>ED</b> = Executive Director; <b>HOD</b> = Head of Department; <b>DVC</b> = Deputy Vice-Chancellor; <b>VC</b> = Vice-Chancellor |   |  |                                       |   |                                      |                    |                    |   |                    |
| <b>COE</b> = Cost of Employment, <b>ERMC</b> = Employee Relations Management Committee, <b>RemCom</b> = Remuneration Committee, <b>SASP</b> = Standard Academic Salary Package                                |   |  |                                       |   |                                      |                    |                    |   |                    |
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| Any HR policy deviation must be approved by the VC, <b>and reported to Council for noting</b> . Where the VC is the direct line manager, the policy deviation must be approved by Council.                    |   |  |                                       |   |                                      |                    |                    |   |                    |
| <b>Nominees are specifically designated where applicable.</b>   |   |  |                                       |   |                                      |                    |                    |   |                    |
| Category of Decision  |   |  | Recommending Authority<br>(signs off) | Procedural Authority -<br>(accountable for process) | Final Authority<br>(final signature) | Action<br>reported | Signing of letters | Comments  | Consult/<br>Inform |
| <b>16</b>   | <b>SEVERANCE AND DISPUTE / SETTLEMENT PACKAGES (on retrenchment or in order to settle disputes)</b> |  |                                       |   |                                      |                    |                    |   |                    |
| 16.1  |   | In accordance with standard retrenchment formula up to R249,999                  | Line Manager                          | ED: HR or nominee                                   | ED: HR or nominee                    |                    | ED: HR or nominee  |   |                    |
| 16.2  |   | In accordance with standard retrenchment formula in excess of R249,999 and up to | Line Manager                          | ED: HR or nominee                                   | ED: HR or nominee                    |                    | ED: HR or nominee  |   |                    |
| 16.3  |   | In accordance with standard retrenchment formula in excess of R800,000           | ED: HR                                | ED: HR or nominee                                   | VC                                   |                    | ED: HR or nominee  |   |                    |
| 16.4  |   | Settlement of up to R500,000   | Director: Employee Relations          | ED: HR or nominee                                   | ED: HR                               |                    | ED: HR or nominee  | Report to RemCom in annual report   | Inform             |
| 16.5  |   | Settlement from R500,001 to R800,000   | ED: HR                                | ED: HR or nominee                                   | VC                                   |                    | ED: HR or nominee  | Report to RemCom in annual report   | Inform             |
| 16.6  |   | Settlement in excess of R800 000   | VC                                    | ED: HR or nominee                                   | RemCom                               | Council            | ED: HR or nominee  |   |                    |
| 16.7  |   | Non-monetary settlement  | Line Manager                          | ED: HR or nominee                                   | ED: HR or nominee                    |                    | ED: HR or nominee  |   |                    |
| <b>17</b>   | <b>APPOINTMENT OF EMPLOYER TRUSTEES OF THE UCT RETIREMENT FUND (UCTRF)</b>                          |  |                                       |   |                                      |                    |                    |   |                    |
| 17.1  |   | UCT/Employer Trustees of the UCT Retirement Fund                                 | VC                                    | VC's Executive Meeting                              | Council                              | Council            | ED: HR or nominee  | Nomination of Employer Trustees as part of the UCTRF elections every four years | Inform             |
| <b>18</b>   | <b>APPOINTMENT OF ADVISORY PANEL MEMBERS</b>  |  |                                       |   |                                      |                    |                    |   |                    |
| 18.1  |   | Policy addressing bullying Advisory Panel appointment                            | Director: Employee Relations          | ED: HR or nominee                                   | ED: HR or nominee                    |                    | ED:HR or nominee   |   |                    |
| 18.2  |   | Appointment of disciplinary chairpersons and Case Presenters                     | Director: Employee Relations          | ED: HR or nominee                                   | ED: HR or nominee                    |                    | ED: HR or nominee  |   |                    |

## **C: RESEARCH, RESEARCH-RELATED AND EXTENSION CONTRACT/AUTHORITIES**

The Council has delegated authority for research, research-related and extension contracts as set out in Schedule C.

### **SCHEDULE C**

1. This schedule covers:

- agreements between UCT and a third party in terms of which UCT contracts to do work, or supply something to, or for, a third party, for a price;
- grant agreements between UCT and third parties for grants to UCT to subvent research or research-related work done by UCT;
- contracts for public-service and/or extension work based on UCT's research-led expertise, widely understood;
- sub-contracts/subawards with third parties;
- other agreements related to UCT's research activities e.g. Confidentiality Agreements, Material Transfer Agreements, Memorandum of Understanding, Data Sharing Agreements, and the commercialisation of research outputs e.g. Memorandum of Incorporation, License Agreements, Assignment Agreements, Shareholder Agreements, Share Subscription Agreements, etc.
- Research related Proposals which need sign-off by an authorised official.

2. This schedule assumes that UCT has costed and priced the work with regard to the cost of doing the work and the need for cost recovery. When specific and non-standard infrastructure requirements, space, staff and equipment arise from the acceptance of this contract, authority may be exercised in terms of this schedule subject to the following condition, namely that those authorised to approve and sign, may only do so having first had a recommendation by the Dean, (or in the case of the GSB, the Director) or the Dean's nominee that the Dean/GSB Director/Dean's nominee:

- gives the assurance on behalf of the Faculty (or GSB) that the Faculty (or GSB), will
  - be able to meet the infrastructure requirements, space, staff and equipment and both direct and indirect services, arising from the acceptance of this contract; or
  - require additional infrastructure in the form of.....[all additional infrastructure facilities to be listed.]

3. The Council has delegated authority to conclude first, second, third and fourth level contracts in terms of the rules and definitions in paragraphs 4 to 10 to the following:

- (a) the Vice-Chancellor;
- (b) the Deputy Vice-Chancellor responsible for research;
- (c) the Registrar;
- (d) the Chief Financial Officer (CFO);

- (e) the Director Research Contracts and Innovation (RC&I);
- (f) the Senior Legal Advisors and Senior Manager: Innovation designated in writing by the Registrar;
- (g) the Legal Advisors: Research Contracts designated in writing by the Registrar.

In addition, the Council has delegated authority to conclude only Special Category first-level contracts to

- (h) the Research Contracts Associate designated in writing by the Registrar.

#### 4. First-level contracts

Simple contracts between UCT and one or more third parties where the:

- value of the contracts is equal or less than R1,000,000 including VAT; and
- contract contains no restrictions on publication; and
- Intellectual Property is owned by UCT.

A first-level contract may be signed on behalf of UCT by any of the officers listed in paragraph 3 (a) to (g) above.

Special Category first-level contracts are contracts between UCT and one or more third parties where there are:

- a non-disclosure or confidentiality agreements, or
- an Addgene Universal Biological (UB) Material Transfer Agreement (MTA), or
- a No Cost Extension (NCE), or
- an amendment to change the name of the Principal Investigator, or
- an amendment to change the reporting timelines.

A first-level Special Category contract may be signed on behalf of UCT by any of the officers listed in paragraph 3 (a) to (h).

#### 5. Second-level contracts

Contracts between UCT and one or more third parties:

- where the value of the contract is equal or less than R10,000,000 including VAT; and
- which do not contain restriction on publication or contains only a standard provision for limited restriction on publications that have been approved by the Deputy Vice-Chancellor responsible for research, and
- which do not contain any provisions considered by the reviewer to be unusual.
- Material Transfer Agreements (MTA) and Data Transfer Agreements (DTA) are treated as second-level contracts and are also subject to the completion of the necessary due diligence documentation by the Principal Investigator.

A second-level contract must be approved by two of the officers listed in paragraphs (a) to (g) below of which at least one must be listed in (a) to (f) of this paragraph

- (a) the Vice-Chancellor;
- (b) the Deputy Vice-Chancellor responsible for research;
- (c) the Registrar;
- (d) the Chief Financial Officer (CFO);
- (e) the Director: Research Contracts & Innovation;
- (f) the Senior Legal Advisors and Senior Manager: Innovation designated in writing by the Registrar;
- (g) The Legal Advisors: Research Contracts designated in writing by the Registrar.

## 6. Third-level contracts

Contracts between UCT and one or more third parties:

- where the value of the contract exceeds R10,000,000 including VAT; and/or
- where there is a non-standard restriction on publication; or
- where the contract contains an unusual provision which in the opinion of reviewer requires review at one level up; or
- contains a provision which the reviewer thinks is contrary to policy; or
- where the contract is one of the following types of agreements: Option Agreements; License Agreements; Inter-Institutional Agreements as related to IP management arrangements; or
- where the contract is one of the following types of agreements: Shareholder Agreement; Share Subscription Agreement; and Memorandum of Incorporation noting the provisos below.

A third-level contract must be approved by two of the officers listed in paragraphs (a) to (g) of which one must be listed in (a) to (e) of this paragraph:

- (a) the Vice-Chancellor;
- (b) the Deputy Vice-Chancellor responsible for research;
- (c) the Registrar;
- (d) the Chief Financial Officer (CFO);
- (e) the Director: Research Contracts & Innovation (RC&I);
- (f) the Senior Legal Advisors and Senior Manager: Innovation designated in writing by the Registrar;
- (g) The Legal Advisors: Research Contracts designated in writing by the Registrar.

### Proviso 1

- provided that where the value of the contract exceeds R30,000,000 including VAT, the contract must be approved by two of the officers listed in (a) to (f) of this paragraph, and signed by any of the officers listed in (a) to (h)

### Proviso 2

- provided that where the value of the contract exceeds R40,000,000 including VAT, the contract must be approved by two of the officers listed in (a) to (e) of this paragraph and signed by any of the officers listed in (a) to (f).

### Proviso 3

- provided that where the agreement arises from the investment of UCT funds for equity in a spin-off company and is a Shareholder Agreement, a Share Subscription Agreement, or a Memorandum of Incorporation, the provisions for the approval of a third-level contract are met, but in addition, the Agreement is signed by the Registrar. This proviso does not apply to instances where UCT obtains equity in a spin-off by providing access to intellectual property.

## 7. Fourth-level contracts (Standard Terms)

A level 4 contract is one where one of the following applies:

- Value exceeds R10,000,000 including VAT; and/or
- where the Client/Contractual Partner is one of the following
  - National Institute of Health
  - Bill and Melinda Gates Foundation
  - Wellcome Trust
  - European Commission
  - The International Development Research Centre
  - UK Research and Innovation
- Where the terms of the agreement are the standard agreed terms of the Client/Contractual Partner

The signing officers must be from the following list and at least one must be (a) to (f):

- (a) the Vice-Chancellor;
  - (b) the Deputy Vice-Chancellor responsible for research;
  - (c) the Registrar;
  - (d) the Chief Financial Officer (CFO);
  - (e) the Director: Research Contracts and Innovation (RC&I);
  - (f) the Senior Legal Advisors and Senior Manager: Innovation designated in writing by the Registrar;
  - (g) The Legal Advisors: Research Contracts designated in writing by the Registrar
- provided that where the value of the contract exceeds R30,000,000 including VAT, at least one must be (a) to (e) of this paragraph, and signed by any of the officers listed in (a) to (f)



8. In approving a research contract, the authorising officer must satisfy themselves, and sign a statement that the draft contract has ethical clearance, is appropriately priced and protects UCT's interests adequately. This statement will be filed with the UCT copy of the contract. The statement must be on the appropriate form (attached as Appendices I-III).
9. Once a contract has been approved by the officer(s) in terms of paragraphs 4 to 8 above, that officer, or one of the other authorising officers as stipulated, may sign the contract.
10. Contracts, which contain secrecy clauses, may not ordinarily be concluded. The Vice-Chancellor personally must approve any contract containing a secrecy provision and must submit a full report to the next Senate meeting explaining the circumstances surrounding this (see policy on secret and embargoed research).

## Schedule C, Appendix I

The details specified below are the minimum requirements that should appear on an Authorisation form.

Level 1 contracts do not require a signed Authorisation form.

### LEVEL 2 CONTRACT- AUTHORISATION FORM

A level 2 contract is one where all of the following apply:

- Value is equal or less than R10,000,000 including VAT; and
- contains no restriction on publication or contains only a standard provision for limited restriction on publications that have been approved by the Deputy Vice-Chancellor responsible for research, and
- the contract has been reviewed by one of the officers listed below and do not contain any provisions considered by the reviewer to be unusual.

|  |  |
|--|--|
| Proposed contract (Project Title)                |  |
| Client/Contractual Partner                       |  |
| Project Leader (Principal Investigator)          |  |
| Fund No. (if available when concluding contract) |  |

#### 1. Approval by first authorised officer

|  |                    |      |
|--|--------------------|------|
| <i>I have satisfied myself that the work covered by this contract, as appropriate:</i> <ul style="list-style-type: none"> <li>• <i>has the ethical clearance required or will not commence until ethical clearance is acquired,</i></li> <li>• <i>that a delegated Faculty finance official has considered the costs,</i></li> <li>• <i>UCT's interests are adequately protected.</i></li> </ul> |                    |      |
| Signature  | Name & Designation | Date |
| <br><br><br>   |                    |      |

#### 2. Approval by second authorised officer

|  |                    |      |
|--|--------------------|------|
| <i>I have satisfied myself that the work covered by this contract, as appropriate:</i> <ul style="list-style-type: none"> <li>• <i>has the ethical clearance required or will not commence until ethical clearance is acquired,</i></li> <li>• <i>that a delegated Faculty finance official has considered the costs,</i></li> <li>• <i>UCT's interests are adequately protected.</i></li> </ul> |                    |      |
| Signature  | Name & Designation | Date |
| <br><br><br>   |                    |      |

This authorisation is in terms of authority delegated by the University Council.

The signing officers must be from the following list and at least one must be (a) to (f):

- (a) the Vice-Chancellor;
- (b) the Deputy Vice-Chancellor responsible for research;
- (c) the Registrar;
- (d) the Chief Financial Officer (CFO);
- (e) the Director: Research Contracts and Innovation (RC&I);
- (f) the Senior Legal Advisors and Senior Manager: Innovation designated in writing by the Registrar;
- (g) the Legal Advisors: Research Contracts designated in writing by the Registrar.

## Schedule C, Appendix II

### LEVEL 3 CONTRACT - AUTHORISATION FORM

A level 3 contract is one where one of the following applies:

- Value exceeds R10,000,000 including VAT; and/or
- contains a non-standard restriction on publication; or
- where the contract contains an unusual provision which in the opinion of a contracts officer requires review at one level up; or
- contains a provision which the reviewing contracts officer thinks is contrary to policy.

|  |  |
|--|--|
| Proposed contract (Project Title)                |  |
| Client/Contractual Partner                       |  |
| Project Leader (Principal Investigator)          |  |
| Fund No. (if available when concluding contract) |  |

#### 2. Approval by first authorised officer

|   |                    |      |
|---|--------------------|------|
| <p><i>I have satisfied myself that the work covered by this contract, as appropriate:</i></p> <ul style="list-style-type: none"> <li>• <i>has the ethical clearance required or will not commence until ethical clearance is acquired,</i></li> <li>• <i>that a delegated Faculty finance official has considered the costs,</i></li> <li>• <i>UCT's interests are adequately protected.</i></li> </ul> |                    |      |
| Signature   | Name & Designation | Date |
|   |                    |      |

#### 3. Approval by second authorised officer

|   |                    |      |
|---|--------------------|------|
| <p><i>I have satisfied myself that the work covered by this contract, as appropriate:</i></p> <ul style="list-style-type: none"> <li>• <i>has the ethical clearance required or will not commence until ethical clearance is acquired,</i></li> <li>• <i>that a delegated Faculty finance official has considered the costs,</i></li> <li>• <i>UCT's interests are adequately protected.</i></li> </ul> |                    |      |
| Signature   | Name & Designation | Date |
|   |                    |      |

This authorisation is in terms of authority delegated by the University Council.

The signing officers must be from the following list and at least one must be (a) to (e):

- (a) the Vice-Chancellor;
- (b) the Deputy Vice-Chancellor responsible for research;
- (c) the Registrar;
- (d) the Chief Financial Officer (CFO);
- (e) the Director: Research Contracts and Innovation (RC&I);
- (f) the Senior Legal Advisors and Senior Manager: Innovation designated in writing by the Registrar;
- (g) The Legal Advisors: Research Contracts designated in writing by the Registrar

- provided that where the value of the contract exceeds R30,000,000 including VAT, it must be approved by two of the officers listed in (a) to (e) of this paragraph, and signed by any of the officers listed in (a) to (e), or
- provided that where the value of the contract exceeds R40,000,000 including VAT, it must be approved by two of the officers listed in (a) to (d) of this paragraph and signed by any of the officers listed in (a) to (e); or
- provided that where the agreement arises from the investment of UCT funds for equity in a spin-off company and is a Shareholder Agreement, a Share Subscription Agreement, or a Memorandum of Incorporation, it must be approved by two of the officers listed in (a) to (f) and signed by the officer listed in (c). This proviso does not apply to instances where UCT obtains equity in a spin-off by providing access to intellectual property.

## Schedule C, Appendix III

### LEVEL 4 STANDARD TERMS CONTRACT - AUTHORISATION FORM

A level 4 contract is one where one of the following applies:

- Value exceeds R10,000,000 including VAT; and/or
- where the Client/Contractual Partner is one of the following
  - National Institute of Health
  - Bill and Melinda Gates Foundation
  - Wellcome Trust
  - European Commission
  - The International Development Research Centre
  - UK Research and Innovation
- Where the terms of the agreement are the standard agreed terms of the Funder/Client/Contractual Partner

|  |  |
|--|--|
| Proposed contract (Project Title)                |  |
| Client/Contractual Partner                       |  |
| Project Leader (Principal Investigator)          |  |
| Fund No. (if available when concluding contract) |  |

#### 4. Approval by first authorised officer

|  |                    |      |
|--|--------------------|------|
| <i>I have satisfied myself that the work covered by this contract, as appropriate:</i> <ul style="list-style-type: none"><li>• <i>has the ethical clearance required or will not commence until ethical clearance is acquired,</i></li><li>• <i>that a delegated Faculty finance official has considered the costs,</i></li><li>• <i>UCT's interests are adequately protected.</i></li></ul> |                    |      |
| Signature  | Name & Designation | Date |
| <br><br><br><br><br>   |                    |      |

#### 5. Approval by second authorised officer

|  |                    |      |
|--|--------------------|------|
| <i>I have satisfied myself that the work covered by this contract, as appropriate:</i> <ul style="list-style-type: none"><li>• <i>has the ethical clearance required or will not commence until ethical clearance is acquired,</i></li><li>• <i>that a delegated Faculty finance official has considered the costs,</i></li><li>• <i>UCT's interests are adequately protected.</i></li></ul> |                    |      |
| Signature  | Name & Designation | Date |
| <br><br><br><br><br>   |                    |      |

The signing officers must be from the following list and at least one must be (a) to (f):

- (a) the Vice-Chancellor;
  - (b) the Deputy Vice-Chancellor responsible for research;
  - (c) the Registrar;
  - (d) the Chief Financial Officer (CFO);
  - (e) the Director: Research Contracts and Innovation (RC&I);
  - (f) the Senior Legal Advisors and Senior Manager: Innovation designated in writing by the Registrar;
  - (g) The Legal Advisors: Research Contracts designated in writing by the Registrar
- provided that where the value of the contract exceeds R30,000,000 including VAT, at least one must be (a) to (e) of this paragraph, and signed by any of the officers listed in (a) to (f)

## **D: AUTHORITIES IN REGARD TO LEGAL PROCEEDINGS**

The Council resolves that the Registrar, in their capacity as the Registrar of the University of Cape Town, acting independently, be and is hereby authorised to:

1. institute legal proceedings in any court of competent jurisdiction for:
  - a) the payment of any monies owing by any natural or juristic person(s) to the University of Cape Town and/or
  - b) the delivery of any goods or assets belonging to or claimable by the University of Cape Town and/or
  - c) the sequestration of the estate of any person or persons and the liquidation or judicial management of any close corporation or company and/or
  - d) any other relief or remedy of whatsoever nature on the University of Cape Town's behalf, and whether by way of action, petition, motion, application or otherwise howsoever.
2. enter appearance to defend and to defend any legal proceedings instituted against the University of Cape Town in any court of law;
3. represent the University of Cape Town in any such legal proceedings and to employ attorneys and agents, and to sign and execute any power of attorney and/or affidavit and/or other document in connection therewith and to proceed to the final end and determination of any such legal proceedings no matter what cause arising;
4. nominate, in writing, and for a specified period, one or more officers of the administration to represent the University in signing any affidavit in relation to legal actions, including but not limited to actions in regard to the student fee debtors collection process, and to do all necessary to institute the legal proceedings pursuant to this;
5. execute powers of attorney where required which without limiting the generality of this shall include powers of attorney in respect of intellectual property protection, in respect of the execution of Council decisions, and in respect of property acquisition and disposal, and to delegate authority to execute powers of attorney to the Director of Research Contracts and Innovation in respect of Intellectual Property protection;

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6. represent the University as shareholder in companies in which the University has a shareholding, other than an investment holding through the Joint Investment Committee, other than in situations where the Vice-Chancellor does so, and to vote the University's shareholding, or to nominate a member of the University to do so, or to grant a proxy to a University-nominated director to do so;
7. recommend University representatives on Companies, Boards, Trusts and other University-affiliated entities to the Vice-Chancellor for final approval; and
8. enter agreements and sign documents on behalf of the University of Cape Town in connection with:
  - a) purchasing or otherwise acquiring, holding, selling, exchanging or otherwise alienating, hypothecating, burdening with a servitude or otherwise dealing with immovable or movable property of any kind, provided that no action in respect of immovable property may be taken unless previously authorized by a resolution of the Council;
  - b) contracts expressly approved by or authorized by resolution of the Council; and
  - c) contracts provided for in the financial authority schedules.

## **E: AUTHORITIES FOR FRAMEWORK, EXCHANGE AND COLLABORATION OF MEMORANDUMS OF UNDERSTANDING (MoU) AND MEMORANDUMS OF AGREEMENT (MoA) WITH OTHER UNIVERSITIES**

The Council has resolved that authority may be exercised on behalf of the University as set out in schedule E by the Vice-Chancellor (VC) or a Deputy Vice-Chancellor (DVC) nominated in writing for this purpose, by the Vice-Chancellor.

### **SCHEDULE E**

The Vice-Chancellor or a Deputy Vice-Chancellor nominated in writing for this purpose by the Vice-Chancellor, may approve, or delegate to the Dean/GSB Director in writing, authority to sign on behalf of the University for their Faculty:

- (a) A framework Memorandum of Understanding (MoU) with an international or local University of standing entered into in terms of UCT's Council and Senate approved internationalisation policy;
- (b) A Memorandum of Agreement (MoA) to provide for an exchange or collaboration agreement with an international University (or Universities), after consultation with the Dean(s) of the Faculty (Faculties)/GSB Director which will be involved in the exchange or collaboration; or

The Vice-Chancellor or a Deputy Vice-Chancellor nominated in writing for this purpose by the Vice-Chancellor, may approve:

- (c) A Memorandum of Agreement (MoA) to provide for a co-badged, joint or consecutive degree programme with one or more Universities of standing, on the recommendation of the Faculty Board(s) concerned, and in terms of Senate policy on co-badged and jointly awarded qualifications.

Provided that, in the case of (a) or (b), or (c) where these agreements are Faculty specific:

- (i) The financial implications have been considered by the Chief Financial Officer (CFO) or nominee and the VC/DVC/Dean/GSB Director is satisfied that the financial and other resource obligations of the agreement have been provided for;
- (ii) There are no financial implications (e.g. fee waivers) to or resources implications (e.g. assistance, support or advice) required from other Faculties or PASS departments at UCT; and
- (iii) A list of agreements which have been signed in the previous semester is published for the information of Senate and Council in the next issue of the Principal's Circular.

In addition, in the case of (a), (b) or (c), where these agreements are signed by the Vice-Chancellor or Deputy Vice-Chancellor

- (iv) The Executive Partnership Committee has considered and approved the proposed relationship; and
- (v) The Intellectual property implications have been considered by Research Contracts & Innovation (RC&I)

## **F: DEVELOPMENT AGREEMENTS AND GRANT APPLICATION AUTHORITIES**

The Council of the University of Cape Town delegates to the Executive Director:  
Development and Alumni Department (DAD) and nominee, authority

1. To approve and sign institutional submissions to grant awarding Foundations and other bodies, including those declarations that must be signed by the head of the institution or an official authorised to make and sign such declarations, provided that the budget for the application has been reviewed and supported by the Chief Financial Officer (CFO) or nominee.
2. To sign grant applications and grant or donor agreements authorised by the relevant UCT committee or the Council on behalf of the University delegated authorities to accept donations detailed in Schedule A of this policy, provided that the budget for the donor agreement has been reviewed and supported by the Chief Financial Officer (CFO) or nominee.

## **G: DELEGATED AUTHORITY IN RESPECT OF SHORT COURSES AND JOINT QUALIFICATIONS**

**A. UCT's Policy on Short Courses, Continuing Professional, and Lifelong Learning** allows a Faculty to approve proposals for short courses to be offered by the University. These short courses may be offered in partnership with external organisations, such as other higher educational institutions, institutions offering programmes on the National Qualifications Framework (NQF) sponsors (e.g. departments at one of the three spheres of government) or professional bodies, and/or with support by a third-party service-provider. Such partnerships are regulated by contracts between the University and the third party or parties.

Council delegates to the Dean (and in the case of a Commerce Faculty-approved GSB short courses the Director: GSB; in the case of CHED, the Dean of CHED) the authority to contract with third-party short course partners and/or service providers subject to any short course to be offered under the terms of the contract complying with Senate short course policy, in particular in regard to certification.

***Note:** Any proposal to offer a **formal qualification** in partnership with a third party, or to use a third-party to support the University in offering a formal qualification, requires Senate, and may require Council, approval. No delegated authority applies in such cases.*

**B. Senate's policy on joint-degrees** implies and/or envisages both framework and/or candidate- specific agreements between the University and another University. Authority to enter inter-institutional co-operation/collaborative agreements has been delegated to the Vice-Chancellor or a Deputy Vice-Chancellor nominated by the Vice-Chancellor, and the agreement must be published in the Principal's Circular (PC) for record and information purposes.

Candidate-specific agreements (referred to as co-tutelle agreements in some EU jurisdictions) deal with the arrangements for joint qualifications for individual candidates.

Council delegates to the Deputy Vice-Chancellor: Research & Internationalisation authority to

- (a) contract with a partner University (either in the form of an umbrella or framework agreement, or as a free-standing contract) for joint degrees to be offered and awarded by UCT and the partner University;
- (b) contract with a partner University a co-tutelle regulating for the arrangements between the two universities for a candidate or candidates for a specific joint qualification; and
- (c) to delegate authority to a Dean/Director: GSB to contract such co-tutelle agreements where a framework or umbrella agreement is in place between UCT and the partner University providing for co-tutelles.

where there is to be a joint degree to be offered in terms of UCT and national policy on joint qualifications and the provisions laid down in this policy document: Schedule E: Authorities for framework, exchange and collaboration of Memorandums of Understanding (MOU) and Memorandums of Agreement (MOA) with other universities.

## GEN002 Schedule H: Financial Aid and Postgraduate Funding

### ACRONYMNS:

**USFC** = Undergraduate Studies Funding Committee; **GOB** = General Operating Budget; **SFA** = Student Financial Aid; **NCA** = National Credit Act

**PGFO** = Postgraduate Funding Office; **PSFC** = Postgraduate Studies Funding Committee; **NSFAS** = National Student Financial Aid Scheme; **NRF** = National Research Foundation; **DVC** = Deputy Vice-Chancellor

| ACTION  | CONDITIONS/AMOUNT  | APPROVAL REQUIRED  |
|---|--|--|
| <b>FINANCIAL AID</b>  |  |  |
| Process the Awards allocated by Faculties on their approved criteria  | Subject to approved budget for Financial Aid   | Admissions Committee/Council   |
| Determine the annual allocation of scholarship budget per Faculty. Faculties manage the 'over offer' factor based on historical trends and "under and over" is managed over a 5 year period, to limit undue penalties annually on a Faculty | Subject to approved budget for Financial Aid   | Admissions Committee Chair   |
| Setting eligibility levels for financial aid packages   | Subject to approved budget for Financial Aid   | USFC   |
| Awarding of bursaries/scholarships/student loans  | Entrance, Faculty and named December scholarships awarded as approved by Faculties. Named Entrance Scholarships awarded as per conditions of award.  | USFC & Council (Faculty scholarships)  |
|   | Award made from funds administered by Student Financial Aid Office   | UCT Financial Assistance Programmes Policies approved by USFC and NSFAS as applicable. USFC approves conditions of award for donated or non-GOB bursary funds. Appeals are dealt with by the Chair, USFC (or nominee). |
|   | Award made from departmental or research funds   | All such awards must be channelled through the above processes. No payment may be made in the form of bursary, scholarship or postdoctoral fellowship unless through the PGC&FO or Student Financial Aid Office.       |
| Allocation, processing, and sign-off of UCT Student Loans for historic debt (appeals process) and UCT funded financial assistance programmes.   | SFA processes UCT Student Loans for SFA and PGFO due to alignment of NCA reporting requirements.<br>Subject to approved budget for Financial Aid.  | USFC, PGSFC  |
| <b>POSTGRADUATE SCHOLARSHIPS AND BURSARIES</b>  |  |  |
| Setting award amounts for UCT scholarships  | Subject to approval of the PSFC or delegated responsibility to the Senior Manager: PGFO by the Chair of the PSFC   | PSFC   |
| Setting eligibility levels for funding packages for postgraduate students   | Subject to approval of the PSFC or delegated responsibility to the Senior Manager: PGFO by the Chair of the PSFC   | PSFC   |
| Allocating scholarships, bursaries and funding 'packages' in terms of academic merit, academic merit and need and financial need to applicants for UCT awards   | Subject to approval of the PSFC or delegated responsibility to the Senior Manager: PGFO by the Chair of the PSFC   | PSFC   |
| Awarding of scholarships, bursaries and funding 'packages'  | Administered by PGFO   | Awards confirmed by the Senior Manager: PGFO or nominee  |
|   | Departmental awards - Awards made from departmental (research) funds   | All awards must be made via the PGFO   |
|   | External source - Once-off awards made directly to Fees office from external sources   | Awards are transferred by the Fees Office directly into students' fee accounts   |
| Awarding of NRF bursaries, scholarships and allowances  | Awards made from NRF funds   | Nominations made by the PGFO to the NRF, subject NRF's approval. Funds claimed from the NRF by Central Research Finance  |
| <b>POSTDOCTORAL RESEARCH FELLOWSHIPS</b>  |  |  |
| Setting award amounts for UCT Postdoctoral Research Fellowships   | Subject to approval of the Sub-committee URC (responsible for the postdoctoral sector) or delegated responsibility to the Senior Manager: PGFO by the Chair of the URC sub-committee or DVC Research & Internationalisation- | Sub-committee of URC (responsible for the postdoctoral sector)   |
| Setting eligibility levels for UCT Postdoctoral Research Fellowships  | Subject to approval of the Sub-committee URC (responsible for the postdoctoral sector) or delegated responsibility to the Senior Manager: PGFO by the Chair of the URC sub-committee or DVC Research & Internationalisation. | Sub-committee of URC (responsible for the postdoctoral sector)   |
| Awarding of Postdoctoral Research Fellowships   | Awards made from funds administered by the URC.<br>Awards made from departmental (research) funds  | All awards must be made via the PGFO.  |
| Awarding of NRF fellowships and allowances  | Awards made from NRF funds   | Nominations made by the PGFO to the NRF, subject to approval by NRF.<br>Funds claimed from the NRF by the PGFO.  |

## **I: INTELLECTUAL PROPERTY ADVISORY COMMITTEE (IPAC)**

The Intellectual Property Advisory Committee (IPAC) is a standing committee established in terms of the Intellectual Property Policy overseeing the use of the University's patents and other intellectual property related to research and consists of a Deputy Vice-Chancellor nominated by the Vice-Chancellor, the Chief Financial Officer (CFO), and any such person these members may wish to co-opt. The Department of Research Contracts and Innovation (RC&I) services it.

Council delegates to IPAC

### **1. Authority to**

#### **(a)**

- (i) Grant a license to a third party to use UCT-owned IP and to determine the conditions of the license; or
- (ii) Assign UCT-owned IP to a third party in return for
  - a) Equity in a company to which the IP is to be assigned; or
  - b) Payment;

on the understanding that IPAC will prefer option (a)(i) where this is a viable option and that delegation of authority limits for authorisation of IP contracts are adhered to;

- (b) exercise the UCT shareholder right to approve UCT's shareholding in a spin-out company, including one incorporated in a foreign territory, and approve or not dilution of the percentage of UCT equity in spin-off company where
  - (i) the shareholders' agreement gives UCT the right to approve or not; or
  - (iii) where the UCT stake gives UCT this measure of control; and
  - (iv) an investor takes equity in the company resulting in dilution and IPAC is satisfied that UCT's value in the company is not reduced thereby;
- (c) recommend to Council the formation of spin-off companies that are wholly-owned by UCT, or formation of foundations or not for profit entities that are linked to entities within UCT;
- (d) make allocations from the Evergreen Fund up to a cumulative limit of R15 million in a particular entity:
  - (i) for innovation development; or
  - (ii) for pre- or post- incorporation costs of spin-off companies; or
  - (iii) as loans to spin-off companies in which UCT holds equity, or

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- (iv) as investment in UCT spin-off companies in lieu of equity and/or a royalty arrangement, including where the UCT spin-off company is a foreign entity.

Where the cumulative amount allocated to a particular entity exceeds R15 million but is up to R25 million an allocation may only be made with the approval of the Vice-Chancellor.

For a cumulative amount allocated to a particular entity that exceeds R25 million the allocation may only be made after Council has approved the transaction.

- (e) determine the share of royalty or other receipts from spin-off companies due to IP Creators in terms of the University's IP policy, in non-standard cases, when this is referred to IPAC by RC&I; or
- (f) make recommendations to Council via the University Finance Committee (UFC) on the allocation of IP commercialisation revenue (e.g. royalty or other receipts from spin-off companies), to a Research Fund, IP Creator's Department, Faculty, UCT Central Fund and Evergreen Fund, where cumulative income received by UCT from the commercialisation of any IP rights exceeding R10 million;
- (g) Provided that IPAC shall
  - (i) receive an annual report as appropriate from the Director of RC&I in February
  - (ii) make an annual report to the University Research Committee (URC) and the University Finance Committee (UFC) on metrics as appropriate.

And

2. To make recommendation to Council on behalf of IPAC, having regard to the provisions of the Higher Education Act on the sanction of a contract between the University and an employee (other than a Council member or a member of IPAC) for any goods, product or service if and only if the IPAC has satisfied itself that
  - (a) the goods, product or service in question is/are unique; and
  - (b) the supplier is a sole provider; and
  - (c) the contract is both in the best interests of the University, and does not compromise the University in any way; and
  - (d) UCT Procurement has, where necessary, assessed the vendor and provided IPAC with their approval of the vendor in terms of the university's procurement policy.

And

3. To report on a quarterly basis to the VC, via the UCT Executive Committee.

Approved by Council 18 December 2025



## GEN002 Schedule J: Properties and Services

### NOTES:

- All values referred to in this schedule INCLUDE VAT
- Where transaction in foreign currency, rate at date of signature to be applied
- Unless specifically excluded, Nominees are implied in all Delegated Authorities, based on the required written authority

**FH** = Fund Holder; **ED** = Executive Director; **UH** = Unit Head i.e. Dean/Director:GSB or ED/Director of PASS dept or CFO or Registrar; **CFO** = Chief Financial Officer; **LM** = Line Manager; **HOD** = Head of Department; **FM** = Faculty/PASS finance; **REG** = Registrar; **PPS** = Procurement & Payment Services; **P&S** = Properties & Services; **DSA** = Department of Student Affairs; **DVC** = Deputy Vice-Chancellor; **VC** = Vice-Chancellor; **UB&DC** = University Building & Development Committee; **JIC** = Joint Investment Committee; **UFC** = University Finance Committee; **IPAC** = Intellectual Property Advisory Committee; **CNL** = Council

|   |  |   | SIGNATORIES |     |       |     |
|---|--|---|-------------|-----|-------|-----|
| ACTION  | CONDITIONS/AMOUNT  | APPROVAL REQUIRED   | 1st         | 2nd | 3rd   | 4th |
| <b>CAPITAL WORKS - READ WITH THE THRESHOLD VALUES FOR PURCHASING (PPP002)</b>   |  |   |             |     |       |     |
| <b>CAPITAL WORKS:</b> Construction contracts (including the professional team) within the approved Capital Projects budget, including acceptance of the tenders. This may include duly approved Letters of Intent (LOI) authorising early mobilisation or preparatory works, issued pending final contract signature, with any associated costs and activities undertaken at the vendor's discretion and subject to formal contract confirmation. | Building costs < = R5,000,000 (excluding Professional Fees)                              | Director: Properties & Services Operations & Maintenance or Director: Programme Management (depending on where project sits)          | Dir: P&S    |     |       |     |
|   | Professional fees < = R1,000,000   | Relevant Director from Properties & Services (under whichever P&S department this work is being done)                                 | Dir: P&S    |     |       |     |
|   | Building costs > R5,000,000 < = R15,000,000 (excluding Professional Fees)                | ED: Properties & Services   | ED: P&S     |     |       |     |
|   | Professional fees > R1,000,000 and < = R15,000,000                                       | ED: Properties & Services   | ED: P&S     |     |       |     |
|   | Building costs > R15,000,000 and < = R50,000,000   | ED: Properties & Services <b>and</b> CFO for noting to UB&DC  | ED: P&S     | CFO |       |     |
|   | Professional fees > R15,000,000 and < = R35,000,000                                      | ED: Properties & Services <b>and</b> CFO for noting to UB&DC  | ED: P&S     | CFO |       |     |
|   | Building costs > R50,000,000   | ED: Properties & Services <b>and</b> CFO for approval to UB&DC <b>and</b> Council   | ED: P&S     | CFO | UB&DC | CNL |
|   | Professional fees > R35,000,000  | ED: Properties & Services <b>and</b> CFO for approval to UB&DC <b>and</b> Council   | ED: P&S     | CFO | UB&DC | CNL |
| <b>MAINTENANCE - MUST BE READ IN CONJUNCTION WITH THE THRESHOLD VALUES FOR PURCHASING (PPP002)</b>  |  |   |             |     |       |     |
| <b>MAINTENANCE:</b> Maintenance project costs (including the professional team) within the approved Maintenance budget, including acceptance of the tenders. This may include duly approved Letters of Intent (LOIs) authorising early mobilisation or preparatory works, issued pending final contract signature, with any associated costs and activities undertaken at the vendor's discretion and subject to formal contract confirmation.    | Maintenance project costs < = R5,000,000 (excluding Professional Fees)                   | Director: Properties & Services Operations & Maintenance or Director: Programme Management (depending on where project sits)          | Dir: P&S    |     |       |     |
|   | Professional fees < R1,000,000   | Director: Properties & Services Operations & Maintenance or Director: Programme Management (depending on where project sits)          | Dir: P&S    |     |       |     |
|   | Maintenance project costs > R5,000,000 < = R15,000,000 (excluding Professional Fees)     | ED: Properties & Services   | ED: P&S     |     |       |     |
|   | Professional fees > R1,000,000 < = R15,000,000   | ED: Properties & Services   | ED: P&S     |     |       |     |
|   | Maintenance project costs > R15,000,000 and < = R50,000,000                              | ED: Properties & Services <b>and</b> CFO for noting to UB&DC  | ED: P&S     | CFO |       |     |
|   | Professional > R15,000,000 and < = R35,000,000   | ED: Properties & Services <b>and</b> CFO for noting to UB&DC  | ED: P&S     | CFO |       |     |
|   | Maintenance project costs > R50,000,000  | ED: Properties & Services <b>and</b> CFO for approval to UB&DC <b>and</b> Council   | ED: P&S     | CFO | UB&DC | CNL |
|   | Professional project > R35,000,000   | ED: Properties & Services <b>and</b> CFO for approval to UB&DC <b>and</b> Council   | ED: P&S     | CFO | UB&DC | CNL |
| <b>IMMOVEABLE ASSETS - MUST BE READ IN CONJUNCTION WITH THE THRESHOLD VALUES FOR PURCHASING (PPP002)</b>  |  |   |             |     |       |     |
| Land and/or buildings   | For acquisitions requiring urgent action in order to secure rights.                      | Approval managed on an individual and urgent basis via UFC and Council  |             |     |       |     |
|   | Normal acquisition   | Approval managed on an individual basis via UFC and Council   |             |     |       |     |
|   | Disposals  | Council with ministerial approval   |             |     |       |     |
| Land use and building works   | Applications to local and provincial government for building plans and capital projects. | ED: Properties & Services or Director: Capital Planning & Projects or Director: Programme Management in P&S, as approved by the UB&DC |             |     |       |     |

GEN002 Schedule K: Local Student Fees

NOTES:

- Unless specifically excluded, Nominees are implied in all Delegated Authorities, based on the required written authority

| ACTION  |                          | CONDITIONS/AMOUNT  | APPROVAL REQUIRED |
|---|--------------------------|--|-------------------|
| LOCAL STUDENT FEE WRITE OFFS  |                          |  |                   |
| Write off of student accounts assessed by the attorneys, after due process, as not recoverable. | <= R100,000              | Manager: Fees, in consultation with the attorneys, with monthly reporting to the Director: Financial Accounting  |                   |
|   | > R100,000               | Manager: Fees recommendation, in consultation with the attorneys, with monthly reporting to the Director: Financial Accounting and approval by the Director responsible for Fees |                   |
| LOCAL STUDENT FEE REFUNDS   |                          |  |                   |
| Local student fee refunds   | <= R50,000               | Fees Administrator   |                   |
|   | > R50,000 and <=R100,000 | Fees Co-ordinator, based on recommendation from Fees Administrator   |                   |
|   | >R100,000 and <=R500,000 | Manager: Fees, based on recommendation from Fees Co-ordinator  |                   |
|   | >R500,000                | Director responsible for Fees, based on recommendation from Manager: Fees  |                   |
| LOCAL STUDENT FEE WAIVERS   |                          |  |                   |
| All Fee waivers, which are out with policy  | All                      | Director responsible for Fees, as requested by Manager: Fees.  |                   |

## L: TECHNOLOGY DEVELOPMENT SUPPORT

The Council has resolved that authority may be exercised on behalf of the University as set out in schedule L by the designated Committees and signatories, with respect to the transfer of technology development support.

### SCHEDULE L

| Pre-Seed Fund: General Operating Budget (GOB) |  |
|---|--|
| Available amount <b>per annum</b>             | Dependent on allocation from GOB   |
| <b>Maximum</b> size of award                  | R100,000   |
| Application consideration and approval        | Research Contracts and Innovation (RC&I) and approval by Director: Research Contracts & Innovation |
| Designated signatory                          | Director: Research Contracts and Innovation (RC&I)   |

| Seed Fund: Evergreen Seed Fund (Donations) |  |
|--|--|
| Available amount                           | Dependent on donations/balance                     |
| <b>Maximum</b> size of award               | R1,500,000   |
| Application consideration and approval     | Evergreen Seed Fund Investment Committee           |
| Designated signatory                       | Director: Research Contracts and Innovation (RC&I) |

| Innovation Builder Fund: General Operating Budget (GOB) |  |
|---|--|
| Available amount <b>per annum</b>                       | Dependent on allocation from GOB                   |
| <b>Maximum</b> size of award                            | R600,000   |
| Application consideration and approval                  | Innovation Builder Fund Steering Committee         |
| Designated signatory                                    | Director: Research Contracts and Innovation (RC&I) |

**Evergreen Fund** – Refer to Schedule I: Intellectual Property Advisory Committee (IPAC)

Approved by Council 18 December 2025

## GEN002 Schedule M: International Student Fees

### NOTES:

- Unless specifically excluded, Nominees are implied in all Delegated Authorities, based on the required written authority

| ACTION   | CONDITIONS/AMOUNT                                 | APPROVAL REQUIRED   |
|--|---|---|
| <b>INTERNATIONAL STUDENT FEE WRITE OFFS</b>  |   |   |
| As per GEN002 - Schedule K: Local Student Fees.<br>The Fees Office carries sole authority and accountability for the recovery of all student fee debt (both local and international).  |   |   |
| <b>INTERNATIONAL STUDENT FEE REFUNDS</b>   |   |   |
| International student fee refunds (via the student fee account to a local bank account)  | <= R100,000                                       | International Office Fees Coordinator   |
|  | > R100,000  | International Office Finance Manager (or nominee)   |
| International student fee refunds (to a foreign bank account)  | As per GEN002, Schedule A: Financial Authorities. |   |
| <b>INTERNATIONAL STUDENT WAIVERS</b>   |   |   |
| As per GEN002 - Schedule K: Local Student Fees <sup>1</sup> :  |   |   |
| Tuition or Course Fees   | All   | Director responsible for Fees, as requested by Manager: Fees.   |
| International Term fee   | All   | Director responsible for Fees, as requested by Manager: Fees, or as per the policy and conditions for managing the Faculty International Student Bursary. |
| In line with Council's resolution (2012) with regards to financial sustainability, and as provided for in the <i>DHET Policy framework for internationalisation of higher education in South Africa</i> , the administrative costs for international and SADC student support are covered by the registering student via an administrative levy. The International Office carries sole authority and accountability for the administrative levy <sup>2</sup> : |   |   |
| International/ SADC Administrative Fee   | All   | Director: Internationalisation on the recommendation of the International Office Finance Manager.   |

<sup>1</sup> In terms of Senate general rules G6.3, GM4.1 and GP3.3, where a candidate for a degree by research (Masters by dissertation only or PhD) or a candidate for a Masters by coursework and dissertation has completed the work for the degree but the result for the thesis or dissertation is outstanding at the start of the next academic year, and where the student is not required to re-register for the purposes of course enrolment for supervision, the student shall be exempted from the International Term Fee and the International Administrative Fee for the period of the student's technical registration in the academic records system (PeopleSoft) where that registration is only required for the entry, into the student's academic record, of the research course examination result.

<sup>2</sup> Where an international student fee waiver is contemplated in terms of a memorandum of agreement for a collaborative academic programme (e.g. student exchange or a collaborative degree such as a co-badged or jointly awarded qualification), Schedules E (Authorities for framework, exchange and collaboration of memorandums of understanding (MOU and memorandums of agreement (MOA) with other universities) and G (Delegated authority in respect of short courses and joint qualifications) of this policy document shall apply.