

Note: The University is currently updating its delegations schedules

Where delegations have been struck out, check the other delegations schedules for the new applicable delegations

| General Delegation | | Role | Subdelegations | Supporting legislation, regulations, policy, and specific requirements. |
|--------------------|---|---------------------|----------------|---|
| | Administrative Delegations (Governance) | | | |
| 1 | Power to make statutes as specifically outlined in the legislation. | University Council. | No. | <u>Education Act 1989</u> – s. 194(1). Registrar is given authority to coordinate drafting but Council must approve. |
| 2 | The power to establish boards, bodies, or committees to advise Council. | University Council. | No. | <u>Education Act 1989</u> ss. 193(2)(i), (3). |
| 3 | Power to establish Academic Board. | University Council. | No. | <u>Education Act 1989</u> – ss. 182(2), 193(3). Established by a formal resolution of Council. |
| 4 | Amalgamation or de-amalgamation of UC with any other institution. | University Council. | No. | <u>Education Act 1989</u> – ss. 193(2)(e), (ea). |
| 5 | To approve the setting of fees. | University Council. | No. | <u>Education Act 1989</u> – ss. 193(2)(h), 227, 227A, 228, 228A. Vice-Chancellor to recommend for Council's approval via FPRC. By statute, detailing fees calculated and set in accordance with ss. 227 and 228, together with appropriate written communication to students regarding refunds. Must also include details on fee refunds, and international student fees calculations. |

| | | | | |
|--------------------|---|--|----------------|---|
| 6 | Authorisation or granting of loans to the chief executive or members of staff, students, students' association, or the guarantee of such loans. | University Council. | No. | <u>Education Act 1989</u> – s. 193(2)(c). |
| 7 | Conferring an Honorary Title, Award, or Degree. | University Council. | No. | <u>Honorary Awards and Honours Conferred by the University Council Policy and - Guidelines</u> |
| 8 | Granting naming rights within the University. | University Council for whole buildings and major spaces. VC for all other structures, facilities or entities consistent with capital expenditure delegations (below). | No. | <u>Naming Rights Policy</u> Conditions outlined in policy to be applied. |
| General Delegation | | Role | Subdelegations | Supporting legislation, regulations, policy, and specific requirements. |
| 9 | Acceptance of gifts and bequests on behalf of UC. | Executive Director of Student Services and Communications. | Yes. | <u>Education Act 1989</u> – s. 193(2)(d); <u>Fundraising Activities Policy</u> Gifts and bequests to the University must be channelled through the UC Foundation. |
| 10 | Approval of new faculty colour. | University Council. | No | <u>Introduction of New Faculty Colours Guidelines</u> Independent Board of Studies to apply to Academic Board; who then make a recommendation to Council. |
| 11 | Striving to manage UC in a way that seeks the highest standards of excellence in education, training and research. | SMT members for their areas of responsibility. | Yes. | <u>Education Act 1989</u> – s. 181(a). This is an overarching principle which should inform all performing of functions and exercise of powers by delegates. Consultation with Academic Board required. |

| | | | | |
|----|--|---|---|--|
| 12 | Granting of awards, fellowships, scholarships, bursaries, and prizes. | VC. | Yes, to DVC(A) and PVCs. | <u>Education Act 1989</u> – ss. 193(2)(a),(b), 182(2)(a). Consultation with Academic Administration Committee required. "Awards" refers to financial awards. |
| 13 | Acknowledging the principles of the Treaty of Waitangi. | SMT members. VC retains overall coordination. | Yes. | <u>Education Act 1989</u> – s. 181(b). This is an overarching principle which should inform all performing of functions and exercise of powers by delegates. Consultation with the AVC (Māori) is required. |
| 14 | Relationship management and communication obligations: responsibility for specific key alliances (e.g., other TEIs, Ngāi Tahu, Ministry of Education, TEC, CUAP). | VC. | Yes. | <u>Education Act 1989</u> – s. 196(1). |
| 15 | Preparing and negotiating with the Tertiary Education Commission (TEC) the Investment Plan; and proposing amendments from time to time. | GFO and Registrar. | Yes. | <u>Education Act 1989</u> – ss. 159P, 159T, 180(b). The final Investment Plan must be formally approved by Council – delegation is for preparation purposes only. |
| 16 | Periodically consulting with interested parties and receiving submissions on the Investment Plan. | GFO and Registrar. | Yes. | <u>Education Act 1989</u> – ss. 159X. SMT must be consulted. Proposed amendments resulting from consultation must be reported to Council and are subject to its approval. |
| 17 | Managing the academic and administrative affairs of the University, in accordance with Strategic Plan and Investment Plan (approved strategic planning and funding documents) to protect and promote the interests of the University within the law, and subject to the restrictions embedded in the Delegations Schedule. | VC. | Yes, to SMT members as appropriate for their areas of responsibility. | <u>Education Act 1989</u> – ss. 196(1), 180(c), (d), (e). Consultation with Council committees as appropriate is required. These delegations are subject to appropriate level of key performance indicator reporting to Council and/or nominated committee as determined and advised by Council from time to time. |
| | Administrative Delegations (Management) | | | |

| | | | | |
|--------------------|---|--|--|--|
| 18 | Development of institution-wide policies. | SMT members for their areas of responsibility. | No. | <u>Education Act 1989</u> – ss. 180(1)(d), 182, 196(1); <u>Metapolicy</u> SMT members may delegate the drafting and general development of policies; but retain responsibility for approval. SMT members as Approval Authorities must present documents in development or major review at SMT meetings prior to formal approval. SMT members cannot delegate to each other or up (to the VC or Council) in the management policies they approve. Where this would be necessary, the VC or Council must approve the document. |
| General Delegation | | Role | Subdelegations | Supporting legislation, regulations, policy, and specific requirements. |
| 19 | Encouraging participation by communities served by UC so as to maximise the educational potential of all members of the communities. | SMT members for their areas of responsibility. | Yes. | <u>Education Act 1989</u> – s. 181(c). This is an overarching principle which should inform all performing of functions and exercise of powers by delegates. Consultation with the AVC (Māori) and Executive Director of Student Services and Communications required. |
| 20 | Managing UC in a way that does not unfairly discriminate against any person. | SMT members. | Yes. | <u>Education Act 1989</u> – s. 181(d). |
| 21 | Managing systems established for the coordination of, and accountability for, activities within UC to ensure the responsible use of public resources. | CFO for finance. Executive Director of Learning Resources for property matters. Registrar for risk management. DVC(RI) for IP resources. | Yes, to budget holders. Yes, to budget holders. Yes. Yes, but not in respect of signing contracts. | <u>Education Act 1989</u> – s. 181(e). This is an overarching principle which should inform all performing of functions and exercise of powers by delegates. Must report on these systems to Council, or a committee of Council, e.g., Finance, Planning and Resources; Audit and Risk, if directed by Council. |
| 22 | Managing UC in a way that ensures proper standards of integrity, conduct, and concern for the public interest and the well-being of students are monitored. | SMT members for their areas of responsibility. | No. | <u>Education Act 1989</u> – s. 181(f). This is an overarching principle which should inform all performing of functions and exercise of powers by delegates. Consultation required with relevant committees and units. |

| | | | | |
|--------------------|---|---|----------------|--|
| 23 | Providing courses of study or training. | DVC(A), PVCs. | No. | <u>Education Act 1989</u> – ss. 193(2)(a), 182(2)(a). Consultation with Academic Board required; Academic Board must review courses and course changes prior to approval. |
| 24 | Power to commission ad hoc reviews of qualifications. | VC, DVC(A), PVC of relevant college. | No. | <u>Academic Reviews Policy and Guidelines</u> The DVC(A) and AVC(Māori) shall be advised of all academic review proposals before they take place. |
| 25 | Approval of requests for memorial services on campus. | Executive Director of Student Services and Communications. | No. | <u>Memorials Policy</u> |
| 26 | Approval of requests for memorials other than those described in the <u>Memorials Policy</u> . | VC. | No. | <u>Memorials Policy</u> Must consult with the Chancellor. |
| 27 | Arrange the manufacture or distribution of any article or anything bearing a mark, symbol, or writing associated with UC. | Executive Director of Student Services and Communications. | Yes. | <u>Education Act</u> – s. 193(2)(f). Consultation required with Marketing Manager where proposed arrangements have UC-wide implications. |
| 28 | Final decisions about the use of the University logo and identity. | Marketing Manager. | No. | <u>Advertising and Brand Management Policy</u> Includes oversight of all University advertising and promotional material. Has the delegation to require compliance with the style guide from all parts of the University. |
| General Delegation | | Role | Subdelegations | Supporting legislation, regulations, policy, and specific requirements. |
| 29 | Allocation of space within the University. | Executive Director of Learning Resources. | No. | <u>Space Allocation Policy</u> Reviews of decisions may be requested by SMT members. Requests for review must be in writing to the Executive Director of Learning Resources, no later than a fortnight after the space allocation decision. The SMT Space Advisory Sub-Committee will then make a decision. |
| 30 | Permission for students to hold major functions on central campus. | Manager, Campus Services; or Group Manager, Engineering Services. | No. | <u>Student Events on Campus Procedures</u> |

| | | | | |
|----|--|--|--|--|
| 31 | Permission for students to hold minor functions on central campus. | Manager, Campus Services. | Yes – to Manager, Security and Campus Community Support. | <u><i>Student Events on Campus Procedures</i></u> Requests should be directed to the Manager, Security and Campus Community Support in the first instance. |
| 32 | The right to exercise veto over all proposed activities or uses of space that are considered inappropriate use of University facilities. | Executive Director of Learning Resources. | No. | <u><i>Bookable Spaces Management Policy, Principles and Guidelines</i></u> Must be on reasonable and defensible grounds as there may be a significant cost in taking this action. Legal, contractual, and reputational considerations must be taken into account when making this decision. |
| 33 | Responsibility for the accuracy, integrity and security of institutional data. | SMT members for their areas of responsibility. | No. | <u><i>Data Management Policy</i></u> As SMT members are responsible for various business functions, they are also responsible for the corresponding line of business system and data. |
| 34 | Recordkeeping of accurate, timely and secure student records. | Registrar. | Yes. | <u><i>Education Act 1989</i></u> s. 225; <u><i>Privacy Act 1993</i></u> ; <u><i>Public Records Act 2005</i></u> |
| 35 | Supplying statistical information to the Secretary for Education in relation to students generally or a particular class of students. | CFO and Registrar. | Yes. | <u><i>Education Act 1989</i></u> s. 226; <u><i>Privacy Act 1993</i></u> Consultation required with University Privacy Officer. Information supplied to government agencies and any other third parties shall be supplied in accordance with the <u><i>Education Act 1989</i></u> and <u><i>Privacy Act 1993</i></u> . |
| 36 | Supplying information to government agencies and other third parties. | CFO and Registrar. | Yes. | <u><i>Education Act 1989</i></u> s. 226A; <u><i>Privacy Act 1993</i></u> Consultation required with University Privacy Officer. Information supplied to government agencies and any other third parties shall be supplied in accordance with the <u><i>Education Act 1989</i></u> and <u><i>Privacy Act 1993</i></u> . |

| | | | | |
|-----------------------|---|---|----------------|---|
| 37 | Providing official University comment to the media. | | Yes. | <u><i>Academic Freedom Policy and Principles</i></u> ; <u><i>Communications and Media Policy</i></u> - "The Manager, Communications and Engagement and the 'Media Consultant' are authorised to provide comment when appropriate." See below (Legal and Risk Delegations) for delegation to speak to the media with respect to an audit investigation undertaken due to alleged fraud by a staff member, and delegation to provide official University comment following a critical incident. |
| General Delegation | | Role | Subdelegations | Supporting legislation, regulations, policy, and specific requirements. |
| 38 | Approval of emails distributed to the "all-staff" email list. | Relevant SMT member; Manager, Communications and Engagement. | Yes. | <u><i>Communications and Media Policy</i></u> For matters of urgency (e.g., where a new computer virus with a very high level of risk threatens the University network) the Executive Director of Learning Resources or Chief Information Officer, ITS, may approve and issue all-staff emails. Verbal consent must be received from the Communications and Engagement Manager or delegate prior to sending such an email. |
| HR Delegations | | | | |
| 39 | Responsibility for the health and safety of all persons on University campus. | Council, VC, SMT, and everyone who reports directly to an SMT member. | Yes. | <u><i>Health and Safety at Work Act 2015</i></u> ; <u><i>Health and Safety Policy</i></u> New legislation in Health & Safety brings new levels of responsibility at all levels of the University. |
| 40 | Ensure that all employees maintain proper standards and concern for public interest and students' well-being. | SMT members. | Yes. | <u><i>State Sector Act 1988</i></u> – s. 77A(3). Consultation required with Executive Director of Human Resources. |
| 41 | Negotiation of collective employment agreements. | Executive Director of Human Resources. | No. | <u><i>State Sector Act 1988</i></u> – s. 74C. Negotiations with campus unions. |
| 42 | Responsibility for University superannuation processes and procedures. | Executive Director of Human Resources. | No | <u><i>Superannuation Policy</i></u> In consultation with SMT. |

| | | | | |
|---|--|--|--|--|
| 43 | Responsibility for developing and implementing Professional Development and Review (PD&R) practices. | SMT. | Yes. | <u>Professional Development and Review Policy</u> As a minimum each staff member should have an annual discussion with his or her manager (or delegate). Senior/HR Advisors will assist. |
| 44 | Responsibility for overall facilitation of the PD&R process. | Executive Director of Human Resources. | No. | <u>Professional Development and Review Policy</u> |
| 45 | Responsibility for ensuring all departments and schools have processes in place for the identification and allocation of academic activities and the monitoring of individual workloads. | PVCs. | No | <u>Allocation of Academic Activities and Establishing Academic Staff Workload - Policy</u> |
| 46 | Authority to approve new continuing staff roles and all fixed-term roles of six months or more duration. | VC. | No. | <u>HR Toolkit</u> |
| 47 | Authority to approve replacement continuing roles, fixed term roles of less than six months duration and all casual roles. | SMT members for areas of responsibility. | No. | <u>HR Toolkit</u> |
| 48 | Authority to dismiss staff. | VC. | Yes, to SMT members on an ad-hoc basis. | <u>HR Toolkit</u> |
| Financial Management Delegations | | | | |
| General Delegation | | Role | Subdelegations | Supporting legislation, regulations, policy, and specific requirements. |
| 49 | Establish, maintain and operate bank accounts. | CFO. | Yes, for ongoing transactions. No, in respect of negotiating or opening new facilities with new counterparties. | <u>Education Act 1989</u> – s. 200; <u>Public Finance Act 1989</u> – s. 25. Consultation required with SMT. Delegation is restricted to New Zealand bank accounts. |
| 50 | Establish and maintain systems of internal control designed to provide reasonable assurance as to the integrity and reliability of financial reporting. | CFO. | Yes, for accounting systems and controls. | <u>Crown Entities Act 2004</u> – s. 155(a). Areas of responsibility are all accounting systems and controls, financial risk coordination, statutory audit liaison, internal audit liaison. NB. subdelegation only possible for accounting systems and controls. |

| | | | | |
|----|---|----------------------------|--|---|
| 51 | Prudent investment of public monies. | CFO. | Yes, for ongoing transactions. No, in respect of negotiating or opening new facilities with new counterparties. | <u>Education Act 1989</u> – s.200; <u>Public Finance Act 1989</u> – s. 25. Establishing, depositing, maintaining UC funds with any registered bank in New Zealand, or in approved public securities. |
| 52 | Preparation and completion of the UC annual budget for presentation to Finance, Planning and Resources Committee and Council. | CFO. | Yes. | <u>Crown Entities Act 2004</u> – s. 154 (1), (3). Consultation required with SMT members. Approval goes through FPRC to Council. |
| 53 | Ensure the University operates in a financially responsible manner. Manage the University's activities within and with regard to Council approved annual financial operating and capital budgets. | CFO for coordination, SMT. | Yes, to budget holders. | <u>Education Act 1989</u> – s. 181(c). Operating costs are correctly allocated within the operating budget for the area that the individual is responsible for. Specifically, costs will not exceed budgeted costs; controllable revenues will meet budgeted revenues. |
| 54 | Review detailed operating budgets by Colleges and Service Units on a quarterly basis. | CFO. | Yes. | <u>Education Act 1989</u> – s. 180(d). Enquire into all significant or unusual variances. Receive full explanations from relevant person/s and report significant findings to the VC and FPRC on a timely basis. Consultation required with SMT. |
| 55 | Preparation of an Annual Report, including annual financial accounts and annual statement of service performance for presentation to Audit and Risk Committee and Council. | CFO and Registrar. | Yes. | <u>Education Act 1989</u> – s.220; <u>Crown Entities Act 2004</u> – ss. 154-157. Annual Report completed, audited, published and filed in accordance with the Act and other statutory requirements. |

| | | | | |
|--------------------|--|---|----------------|--|
| 56 | Power to dispose of assets or interest in assets. | CFO. | No. | <p><u>Education Act 1989</u> – s. 192(1), (4), (5), (7):</p> <p>Must have written consent of the Secretary for Education where the value of the asset or interest exceeds an amount determined by the Minister or an amount ascertained in accordance with a formula determined by the Minister. Where UC seeks the Secretary's approval and it is given, UC must comply with any conditions imposed by the Secretary; inform the Secretary when the transaction has been completed and how the proceeds of the transaction, if any, have been dealt with.</p> <p>Consultation required with Executive Director of Learning Resources. NB. for IP sales an alternative delegation exists (see below).</p> |
| General Delegation | | Role | Subdelegations | Supporting legislation, regulations, policy, and specific requirements. |
| 57 | Power to borrow, issue debentures, or otherwise raise money. | CFO. | No. | <p><u>Education Act 1989</u> – s. 192(1), (4), (5), (7):</p> <p>Must have written consent of the Secretary for Education where the amount to be borrowed, the amount of the debentures, or the amount to be raised exceeds an amount determined by the Minister or an amount ascertained in accordance with a formula determined by the Minister. Where UC seeks the Secretary's approval and it is given, UC must comply with any conditions imposed by the Secretary; inform the Secretary when the transaction has been completed; and how the proceeds of the transaction, if any, have been dealt with.</p> <p>Including the requirement to obtain legal and taxation opinions from UC legal and taxation advisors, where appropriate.</p> <p>Only with Council's written approval and in accordance with ss. 192(4)(c) and 5(b).</p> |
| 58 | Collection of Student Services levy. | CFO, Executive Director of Student Services and Communications. | Yes. | <p><u>Education Act 1989</u> – ss. 227(1B), 227A, 228A. Consultation required with UCSA, through JOAB.</p> |

| | | | | |
|----|---|--|-----|---|
| 66 | Enter into contracts for capital expenditure- consistent with the current year annual cost within budget, over up to 5 years. | < \$1.5m VC. < \$500k CFO. < \$200k Executive-Director of Learning-Resources. < \$100k SMT-members. | No. | <u>Education Act 1989</u> – s. 192. Commitment can be no greater than the delegated amounts multiplied by the number of years of the contract. |
| 67 | Enter into contracts for capital expenditure within-Council-approved business-cases. | VC. | No. | <u>Education Act 1989</u> – s. 192. |
| 68 | Enter into contracts for capital expenditure in excess-of Council-approved budget, for specific additional-project/s. | < \$1.5m per project up to a maximum of 2% of the total capital budget (excluding remediation) in any one year VC. < \$500k per project, up to a maximum of 2% of total capital expenditure budget (excluding remediation) per annum CFO. < \$200k per project, up to a maximum of 2% of total capital expenditure budget (excluding remediation) per annum (+ inclusive of any VC/CFO approvals) Executive Director of Learning Resources. | No. | <u>Education Act 1989</u> – s. 192. |

| | | | | |
|--------------------|---|--|----------------|--|
| 69 | Operating expenditure transactions within Council-approved budget. | < \$1.5m VC. < \$500k CFO. < \$200k Executive-Director of Learning-Resources. < \$100k SMT-members. | Yes. | <u>Education Act 1989</u> – ss. 192, 180(d). |
| 70 | Operating expenditure committed to consistent with the current year annual cost within budget, over up to 5 years. | < \$1.5m per annum VC. < \$500k per annum CFO. < \$200k per annum Executive-Director of Learning-Resources. < \$100k per annum SMT-members. | No. | <u>Education Act 1989</u> – ss. 192, 180(d). Commitment can be no greater than the delegated amounts multiplied by the number of years of the contract. |
| General Delegation | | Role | Subdelegations | Supporting legislation, regulations, policy, and specific requirements. |
| 71 | Enter contracts for routine operating expenditure-items [Taxes—mainly GST and PAYE; Utilities—electricity, telephones, coal, software licenses; Studylink-refunds]. | CFO. | Yes. | <u>Education Act 1989</u> – ss. 192, 180(d). |

| | | | | |
|----|--|---|------|--|
| 72 | Operating expenditure in excess of Council approved budget. | <p><\$1.5m per item up to a maximum of 2% of the total operating expenditure budget (excluding depreciation) in any one year VC.</p> <p><\$500k per item up to a maximum of 2% of the total operating expenditure budget (excluding depreciation) in any one year and inclusive of any VC approvals CFO.</p> | No. | <u>Education Act 1989</u> - ss. 192, 180(d). |
| 73 | Arrange for the provision of goods or services to staff, students or other persons, or utilisation of UC facilities. | <p>CFO, Executive Director of Human Resources and Executive Director of Learning Resources where internal resources of UC are to be used.</p> <p>CFO where external sources (including by contract) are to be used.</p> <p>Executive Director of Student Services and Communications for provision of student accommodation.</p> <p>Relevant SMT members in relation to employment contracts, or other contracts of personal service.</p> | Yes. | <p><u>Education Act 1989</u> - , 193(2)(g).</p> <p>These goods or services must be provided for at greater than cost to UC, other than where provided as part of a course of study or individual or collective employment contract.</p> <p>They must be provided within the approved annual budget.</p> <p>Consultation is required with the Executive Director of Human Resources in relation to exercise of SMT members' delegations for employment contracts, or other contracts of personal service.</p> |

| | | | | |
|--------------------|--|---|--|--|
| 74 | Enter teaching related contracts consistent with the current year annual cost within budget, over up to the stipulated number of years. | >\$1.5m net cost per annum for a maximum period of 5 years VC <\$1.5m per annum for a maximum period of 3 years CFO <\$500k per annum for a maximum period of 3 years DVC(A) <\$100k per annum for a maximum period of 3 years PVCs | No. | <u>Education Act 1989</u> – s. 192. |
| General Delegation | | Role | Subdelegations | Supporting legislation, regulations, policy, and specific requirements. |
| 75 | Enter research related contracts consistent with the current year annual cost within budget, over up to the stipulated number of years. | >\$1.5m net cost per annum for a maximum period of 5 years VC <\$1.5m per annum for a maximum period of 3 years CFO <\$500k per annum for a maximum period of 3 years DVC(RI) <\$100k per annum for a maximum period of 3 years PVCs | No. No. Yes, <\$100k to Research Services Director. No. | <u>Education Act 1989</u> – s. 192. Consultation required with Research and Innovation. |
| 76 | Enter into contracts for the provision of consultancy services. | <\$100k Research Services Director, Commercial Director. | No. | <u>Education Act 1989</u> – s. 192. |

| | | | | |
|--------------------|--|---|----------------|--|
| 77 | Enter into contracts for sale of IP and IP related investments. | Commercial Director, Research and Innovation. | No. | <u>Education Act</u> - 1989 s. 192 (1), (4), (5), (7). Includes transfer of IP; licensing, IP assignments and Share of Benefits Agreements, that do not involve UC taking equity in a company. (7). Must have written consent of the Secretary for Education where the value of the asset or interest exceeds an amount determined by the Minister or an amount ascertained in accordance with a formula determined by the Minister. Where UC seeks the Secretary's approval and it is given, UC must comply with any conditions imposed by the Secretary; inform the Secretary when the transaction has been completed; and how the proceeds of the transaction, if any, have been dealt with. |
| 78 | The ability to enter into express agreements with staff and/or students relating to IP which may be at variance with the Intellectual Property Policy. | VC. | Yes. | <u>Intellectual Property Policy</u> |
| 79 | Enter into contracts for international agency/recruitment contracts, memoranda of understanding and exchange agreements. | VC, DVC(RI), DVC(A), CFO, Executive Director of Student Services and Communications. | No. | <u>Education Act 1989</u> - s. 192. Consultation required with SMT(i). Contracts with a cumulative value of up to \$500k. |
| 80 | Signing off on student exchange agreements. | VC, relevant PVC. | No. | <u>Student Exchange Agreements Policy and Procedures</u> PVC signs off on new exchange proposal from College level; VC to sign final agreement. |
| 81 | Enter into facilities related contracts consistent with the current year annual cost within budget, over up to the stipulated number of years. | >\$500k for a maximum period of 5 years VC. <\$500k for a maximum of 3 years Executive Director of Learning Resources. | No. | <u>Education Act 1989</u> - s. 192. |
| 82 | Authority to lease property for the purposes outlined in an appropriately approved proposal or business case, within regulatory terms required by law, as required. | Executive Director of Learning Resources. | No. | <u>Education Act</u> - s. 192. |
| General Delegation | | Role | Subdelegations | Supporting legislation, regulations, policy, and specific requirements. |

| | | | | |
|-----------------------------------|---|---|-----|--|
| 83 | Authority to grant a lease or license over University property holdings for a term not exceeding 15 years. Term means any initial lease period including all options granted by right. | Executive Director of Learning Resources. | No. | <u>Education Act 1989</u> – s. 192(1), (4), (5), (7); <u>Space Allocation Policy</u> Must have written consent of the Secretary for Education where the lease to be granted exceeds, and when added to any term for which the lease may be renewed exceeds, 15 years. Where UC seeks the Secretary's approval and it is given, UC must comply with any conditions imposed by the Secretary; inform the Secretary when the transaction has been completed; and how the proceeds of the transaction, if any, have been dealt with. Includes the requirement to obtain legal and taxation advisors, where appropriate. Must have Council's written approval, in accordance with ss. 192(4)(c) and (5)(b) of the Act. |
| 84 | Authority to grant easements for the purposes outlined in an appropriately approved proposal or business case, within regulatory terms required by law, as required. | Executive Director of Learning Resources. | No. | <u>Education Act</u> – s. 192. |
| 85 | Enter into contracts outside of the approved budget for the current year, over up to the stipulated number of years , and all finance leases up to a maximum value of 2% of revenue. | <\$1.5m for a maximum period of 5 years VC. <\$500k for a maximum period of 3 years CFO. | No. | <u>Education Act 1989</u> – s. 192. |
| 86 | Authority to engage the Internal Auditors to undertake any consulting work. | CFO. | No. | <u>Education Act 1989</u> - s. 192. |
| Legal and Risk Delegations | | | | |
| 87 | Management responsibility of risk management and legal compliance for the University with escalation to Council for significant and sensitive issues. | SMT members for their areas of responsibility. | No. | <u>Risk Management and Compliance Framework</u> |

| | | | | |
|--------------------|--|--|--|---|
| 88 | Monitoring of Strategic Risk Register and regularly reporting to Audit and Risk Committee on management of risk issues. | Registrar. | Yes, to Senior Risk and Insurance Advisor for preparation. Registrar retains responsibility for presentation to ARC. | <u><i>Risk Management and Compliance Framework</i></u> |
| 89 | Act as University Privacy Officer. | Registrar. | No. | <u><i>Privacy Act 1993 ; Privacy Policy</i></u> The role is mandated by the Act. |
| 90 | Authority to obtain legal advice in respect of any UC activities, subsidiaries or controlled trusts (including establishment thereof). | Registrar. | Yes; as required. | <u><i>Education Act 1989</i></u> s. 196(1). |
| 91 | Authority to advise insurers of a claim or potential claim event. | CFO and Registrar. | Yes. | <u><i>Education Act 1989</i></u> s. 196(1). |
| General Delegation | | Role | Subdelegations | Supporting legislation, regulations, policy, and specific requirements. |
| 92 | Responding to instances of alleged or actual fraud connected to the University. | Registrar, CFO, Executive Director of Human Resources. | No | <u><i>Documentary Fraud Response Policy</i></u> Registrar is first port of call for instances of Documentary Fraud. |
| 93 | Authority to decide on action to be taken where fraud is suspected. | CFO, Executive Director of Human Resources, Registrar. | No. | <u><i>Fraud Response Policy</i></u> Major fraud events require the development of a Fraud Response Plan (FRP) specific to the event. CFO should consider whether necessary to investigate systems other than that which has given rise to suspicion. |
| 94 | Authority to speak to the media with respect to an audit investigation undertaken due to alleged fraud by a staff member. | Manager, Communications and Engagement. | No. | <u><i>Fraud Response Policy</i></u> |

| | | | | |
|--------------------|--|--|--|---|
| 95 | The right to close down an event (including during the event itself) if there is an unacceptable risk of injury or damage to people, property, or the University's reputation. | Any member of SMT; Managers of Campus Services, Engineering Services, or Security & Campus Community Support; Manager Communications and Engagement. | Yes, only from the Manager Communications and Engagement to the Senior Events Coordinator. | <u>Bookable Spaces Management Policy, Principles and Guidelines</u> Must be on reasonable and defensible grounds as there may be a significant cost in taking this action. Legal, contractual, and reputational considerations must be taken into account when making this decision. |
| 96 | Ability to, where an epidemic, flood, fire, or other emergency occurs, for such a period and on such terms as it thinks fit to accommodate such an emergency, grant waivers to any student or group of students, or suspend the application of all or any part of any University Regulation or Statute, or close the University. | Executive Committee of the University Council. | Yes, to the VC if the Executive Committee cannot meet. | <u>Emergency Statute</u> Exec Committee will act on the advice of the VC. If the VC exercises the delegation then he or she must report his or her actions back to the Exec Committee as soon as practicable. |
| 97 | Chairing the Strategic Emergency Management Group (SEM Group). | VC. | Yes, where the VC is not available the delegation goes to the - DVC(A) or DVC(RI), - Registrar, then - Executive Director of Learning Resources, in that order. | <u>Emergency Management Policy</u> In the unlikely event that none of these persons are available, the Incident Controller will contact another member of SMT who will then assume delegated authority. |
| 98 | Operational responsibility for any significant incident affecting the University. | Incident Controller (IC). | No. | <u>Emergency Management Policy</u> Leads the Incident Management Team (IMT); leads coordinated response leading up to and during an emergency event in conjunction with the Chair of the SEM Group. |
| 99 | Authority to activate or establish a UC Emergency Operations Centre (EOC). | Any established member of the Incident Management Team (IMT). | No. | <u>Emergency Management Policy</u> |
| General Delegation | | Role | Subdelegations | Supporting legislation, regulations, policy, and specific requirements. |

| | | | | |
|-----|---|--|------|--|
| 100 | Authority to make any immediate operational decision necessary to preserve the safety of people and the security of the University. | Incident Controller (IC). | No. | <u>Emergency Management Policy</u> Such decisions may, in extreme events, include the full evacuation and/or the immediate lockdown of some or all of campus. |
| 101 | Authority to assign tasks and delegate responsibilities with both the IMT and the wider University community. | Incident Controller (IC). | No. | <u>Emergency Management Policy</u> May include the secondment of facilities, equipment, resources, and/or expertise to expedite the response from both within and outside the University. |
| 102 | Power to declare a localised emergency. | Chair of the SEM Group. | No. | <u>Emergency Management Policy</u> |
| 103 | Authority to speak to the media on behalf of the University in a planned event or critical incident. | Chair of the SEM Group, Executive Director of Student Services and Communications. | Yes. | <u>Emergency Management Policy</u> See above (Administrative Delegations (Management)) for general delegation to provide official comment on behalf of the University; also above (Legal and Risk Delegations) delegation for providing official University comment with respect to an audit investigation undertaken due to alleged fraud by a staff member. |
| 104 | Activation of the Incident Management Team (IMT) in the event of potentially hazardous conditions. | Incident Controller (IC). | No. | <u>Weather Plan Policy and Guidelines</u> |

| | | | | |
|-----|---|--|---|---|
| 105 | Authority to issue a severe weather warning. | VC, Executive Director of Student Services and Communications. | Yes. | <u>Weather Plan Policy and Guidelines</u> |
| 106 | Authority to determine when the University campus will reopen following a major weather event. | VC. | Yes. | <u>Weather Plan Policy and Guidelines</u> In consultation with the IC. |
| 107 | Ability to mandate University Travellers travelling to high or extreme- risk destination. | SMT members. | No. | <u>Travel Policy</u> Conditions as outlined in the Travel Policy apply. |
| | Student Delegations | | | |
| | General Delegation | Role | Subdelegations | Supporting legislation, regulations, policy, and specific requirements. |
| 108 | Enrolment of students, including eligibility, maximum numbers, and (domestic and international) under-represented classes of persons. | DVC(A). | Yes, for special admissions, ad-eundem admissions, and discretionary enrolment. | <u>Education Act 1989</u> - ss. 193(2)(a), 224(2),(5),(6). Enrolment Regulations [University statutes] to apply. |
| 109 | Enrolment of students: international students' short-course enrolment. | Executive Director of Student Services and Communications. | Yes. | <u>Education Act 1989</u> - s. 224(7)(a). Enrolment Regulations [University statutes] to apply. |

| | | | | |
|-----|--|--|-----------------------------|--|
| 110 | Refusing/cancelling enrolment. | DVC(A) for academic reasons. CFO for financial reasons. Registrar for disciplinary reasons. | Yes. | <u>Education Act 1989</u> – s. 224(12). Enrolment Regulations [University statutes] to apply. |
| 111 | Approval of new applications to enrol for PhD, Master's thesis and dissertation students. | Dean of PG Research and Academic Managers of relevant College. | No. | <u>Financial Enrolment Information: PhD, Masters Thesis Dissertation Students - Policy</u> New PhD students need the Dean of PG Research's approval; new Master's thesis and dissertation students need the Academic Manager of the relevant College's approval. |
| 112 | Approval of late enrolment for PhD, Master's thesis and dissertation students (excluding new thesis students). | Dean of PG Research and Academic Managers of relevant College. | No. | <u>Financial Enrolment Information: PhD, Masters Thesis Dissertation Students - Policy</u> New PhD students need the Dean of PG Research's approval; new Master's dissertation students need the Academic Manager of the relevant College's approval. |
| 113 | Approving the transfer from Master's to PhD. | Dean of PG Research. | No. | <u>Master's Thesis Work Policy and Guidelines</u> |
| 114 | Approval of emails distributed to the 'all-student' email list. | Executive Director of Student Services and Communications; Manager, Communications and Engagement. | Yes – to assigned delegate. | <u>Group Emails to Enrolled Students Policy and Guidelines</u> For matters of urgency (e.g., where a new computer virus with a very high level of risk threatens the University network) the Executive Director of Learning Resources or Chief Information Officer, ITS, may approve and issue all-staff emails. Verbal consent must be received from the Communications and Engagement Manager or delegate prior to sending such an email. |
| 115 | Approval of service area staff using student course email lists. | DVC(A). | No. | <u>Group Emails to Enrolled Students Policy and Guidelines</u> |
| 116 | Use of the Maori student email addresses list. | AVC(Maori), Maori Development Team Manager. | No. | <u>Group Emails to Enrolled Students Policy and Guidelines</u> |
| 117 | Use of the Pacific student email list. | Director of Pasifika. | Yes. | <u>Group Emails to Enrolled Students Policy and Guidelines</u> Pacific Development Team staff may use the list. |

| | | | | |
|-----------------------------|--|---|------------------------------|--|
| 118 | Use of the international student email list. | Director of International Growth Strategies, Student Success Manager. | No. | <u>Group Emails to Enrolled Students Policy and Guidelines</u> |
| 119 | Use of thesis candidates email list. | Dean of PG Research. | Yes. | <u>Group Emails to Enrolled Students Policy and Guidelines</u> |
| General Delegation | | Role | Subdelegations | Supporting legislation, regulations, policy, and specific requirements. |
| 120 | Use of mature students email list. | Student Success Manager. | No. | <u>Group Emails to Enrolled Students Policy and Guidelines</u> |
| 121 | Use of email lists for academic schools, departments, Colleges. | PVCs, HOD/Ss, Deans. | No. | <u>Group Emails to Enrolled Students Policy and Guidelines</u> PVCs may approve emails going to all students within a College; HOD/Ss and Deans can approve emails being distributed to other student cohorts within a College. |
| Research Delegations | | | | |
| 122 | Institutional responsibility for the Animal Ethics Committee (AEC). | DVC(RI). | Yes | <u>Animal Ethics Committee Code of Ethical Conduct</u> Delegates to Dean of Science to act as Chair. |
| 123 | Institutional responsibility for the Human Ethics Committee (HEC) and the Educational Research Human Ethics Committee (ERHEC). | VC. | Unclear. Possibly to DVC(R). | <u>Human Ethics Policy: Research Involving Human Participants</u> NB we could probably look further into this. |
| 124 | Approval of Principal Investigators on research grant applications made to external funding organisations. | HOD/Ss and PVCs. | No. | <u>Research Grants Policy</u> Approval of a general staff member, adjunct staff and researchers external to the University, temporary, fixed-term staff, research associates and Emeritus Professors all require additional approval of DVC(R). |
| 125 | Decision to embargo theses. | DVC(RI). | No. | <u>Thesis Availability Policy</u> Where appropriate should be the Dean of the faculty. Decision to embargo should only occur in exceptional circumstances—listed in the policy. Maximum period of an embargo will be two years. |