

# Delegation of Authority Framework

## Section 1 - Introduction

(1) The [University of Newcastle Act](#) (the Act) establishes the University Council as the University of Newcastle's (University) governing body with the power to delegate all or any of its functions, except the power of delegation, to any member, committee, or officer of the University.

(2) The granting of delegated authority ensures that the most appropriate persons or bodies can make informed decisions within the scope of their roles, responsibilities, and allocated resources. As such, delegates are required to exercise delegated authority in a way that will establish trust in the University, demonstrate transparent and accountable decision making, and withstand the highest degree of scrutiny.

(3) This Delegation of Authority Framework (this Framework) is an integral part of the University's governance framework. In accordance with the requirements of the [Act](#) and the [Governance Rule](#), this Framework:

- a. provides the overarching governance arrangements for the devolution of delegated authority within the University's governance arrangements and organisational structure;
- b. sets out decision making arrangements; and
- c. allocates administrative responsibilities in a systematic way.

## Section 2 - Purpose

(4) This Framework establishes the requirements for:

- a. the creation, maintenance and review of delegations of authority and sub-delegation in accordance with the [Governance Rule](#);
- b. the administration of delegations of authority across the University; and
- c. exercising delegated authority.

(5) In the event of any inconsistency between the contents of this document and the contents of any Rule, the content of the Rule will prevail.

(6) In the event of any inconsistency between the contents of the [Delegations Register](#) or a Delegations Schedule and the content of any Policy or Procedure document, the content of the relevant [Delegations Register](#) or a Delegations Schedule will prevail.

(7) Nothing in this document, or its associated Schedules, has the effect of invalidating past acts validly performed by delegates under previous delegations.

(8) The [Delegation of Authority Guidelines](#) is a supporting document to this Framework and should be read in conjunction with this document.

## Section 3 - Scope

(9) This Framework applies to the following delegations:

- a. [Matters Reserved by Council](#);
- b. [Academic delegations](#); and
- c. the [Vice-Chancellor's operational sub-delegations](#).

(10) This Framework applies to the exercise of delegated authority:

- a. by staff or personnel of the University;
- b. by Committees of the University;
- c. for relevant University functions and activities;
- d. relating to all campuses and locations, including those of all non-incorporated University bodies such as centres, academies, and institutes unless otherwise stated in a related agreement (please see [Framework to define College Units, Research Centres, Academies and Institutes](#)).

(11) This Framework does not apply to controlled entities of the University, or to entities in which the University has an interest.

## Section 4 - Audience

(12) This Framework should be read and understood by:

- a. all staff of the University, including those who provide advice to others in relation to matters that require the exercise of delegated authority;
- b. persons who are appointed to positions or committees that have been delegated or sub-delegated authority; and
- c. all other delegates.

(13) This document should be read in conjunction with:

- a. the [Governance Rule](#);
- b. Schedule 4 Conditions of Delegation;
- c. [Delegations of Authority Guidelines](#); and
- d. Delegation Schedules (See Section 11).

## Section 5 - Definitions

(14) In the context of this document:

- a. "acting" refers to the appointment of a staff member who will temporarily perform all the duties of a position, other than their substantive position, for a period of 5 days or more. An interim appointment to a role is also considered to be acting where the appointment is for a period of 5 days or more;
- b. "condition", when referring to a condition of delegation, means a requirement that must be met when exercising the delegated authority;
- c. "Delegation Record" refers to an entry in the [Delegations Register](#) that assigns a delegate to a holder;

- d. "Delegation Schedule" refers to an approved schedule of delegated authorities;
- e. "[Delegations Register](#)" refers to the on-line University searchable register of delegations of authority;
- f. "Executive Leadership Team" refers to the standing committee to the Vice-Chancellor, established in accordance with its terms of reference (see [Executive Committee Terms of Reference](#));
- g. "exercise", when referring to the exercise of a delegated authority, means to act in accordance with the delegated authority;
- h. "function" means the function or activity that a delegate is authorised to exercise or perform;
- i. "holder" means the organisational position or body that a delegated authority is granted or sub-delegated to;
- j. "limit" refers to a ceiling or restriction imposed on a delegated authority, which may or may not be financial;
- k. "position group" refers to a grouping of like positions within the [Delegations Register](#), with similar levels of responsibility, position nomenclature, and position classification, to allow for efficient sub-delegation;
- l. "reasonability" means if an action cannot be considered "reasonable" or "acceptable" by an objective third person, that action should not be performed;
- m. "senior executive" refers to members of the University Executive Leadership Team; and
- n. "sub-delegation" refers to a power that has been granted to the Vice-Chancellor by the Council, by which they may grant their delegated authority to a lower-level position within the University, with or without limits and conditions.

## Section 6 - Delegations Structure

(15) The [Governance Rule](#) establishes the levels of delegation of authority within the University. These include:

- a. Matters Reserved for Council, Council Committees and Academic Senate (see [Schedule 1 of the Governance Rule - Matters Reserved for the Council and Council Committees](#));
- b. Academic Matters (see [Schedule 2 - Governance Rule - Delegation of Academic Matters](#)); and
- c. Operational Matters (see [Vice-Chancellor's Operational Sub-Delegations](#)) which can be sub-delegated by the Vice-Chancellor.

### When is a Delegation of Authority Required?

(16) A delegation of authority permits a delegate to take action, make a decision, incur costs, receive income, or exercise powers. The exercise of a delegated authority results in making a binding commitment upon the University.

(17) A delegation of authority may be required when:

- a. responsibility for those matters outlined in Clause 16 could be granted to a position to achieve operational efficiency or effectiveness;
- b. risks, decision-making, functions or activities need to be controlled or limited; or
- c. legal or other obligations need to be met.

(18) A delegation of authority may not necessarily be required where the sole aim is to assign responsibility to a role for a step within a process.

### Sub-Delegation

(19) In accordance with the [Act](#), the [Governance Rule](#), and the Conditions of Delegation, sub-delegation by any officer other than the Vice-Chancellor is strictly prohibited.

## Sub-Delegation Model

(20) The model of sub-delegation is such that:

- a. the delegation of authority will reflect the University's governance arrangements and [organisational structure](#);
- b. a delegation of authority may be conferred on a position, or position group; and
- c. a delegation of authority may be conferred to governing bodies or committees of governing bodies.

(21) Positions may be assigned to a position group, and as such approved incumbents to the position will be entitled to exercise authorities granted to the position group, where:

- a. assigning the position to a position group is in accordance with the University's governance arrangements for the delegated authority, and all other relevant University policies;
- b. evidence is provided that the position has the same or similar level of responsibility and classification to those existing within the position group; and
- c. an approved rule or policy document provides for the appointment of a position to a position group (such as this Framework, or the [Framework to define College Units, Research Centres, Academies and Institutes](#)).

(22) A position title or any classification of the position must not be used to interpret that the position will be granted any delegated authority or assigned to a position group.

(23) Any change to the model of sub-delegation must be in accordance with the provisions of higher level documents including the [University of Newcastle Act](#) and the [Governance Rule](#) and its associated documents, and must be approved as an amendment to this Framework.

(24) The [Act](#) and the Conditions of Delegation establish limits as to who may be granted a delegated authority, and these limits must be complied with.

## Delegation Schedules

(25) The University will maintain and publish all delegations of authority in the form of Delegation Schedules. Each Delegation Schedule will include all approved delegations of authority, and for each delegated authority will:

- a. ensure clarity as to what may be exercised;
- b. nominate the holders;
- c. clearly express the limits of each delegated authority, if applicable;
- d. identify the conditions that are to be met when exercising a delegated authority, if applicable; and
- e. provide a link to any associated or relevant policy documents.

(26) Delegations of authority must be contained within an approved Delegation Schedule. Delegations expressed in policy documents (as defined by the [Policy Framework](#)), but not contained in an approved Delegation Schedule are not considered to be delegations of authority.

(27) Delegation Schedules will, unless otherwise authorised, be published using the University's [Delegations Register](#).

(28) The [Delegations Register](#), from the date of its implementation and to the extent possible, will maintain records of persons appointed to or acting in positions that have been delegated authority.

(29) The University will retain historical versions of Delegations Schedules in accordance with the [State Records Act](#) and the [Records Governance Policy](#).

(30) Delegation Schedules may be varied from time to time, or may be rescinded at any time. Any contextual variation

to a Delegation Schedule must be authorised by an appropriate approval authority as defined by the [Act](#) and [Governance Rule](#).

(31) It is the responsibility of the staff member accessing or referring to a Delegation Schedule to ensure reference is being made to the current version.

(32) Administration of the [Delegations Register](#) is the responsibility of Governance and Assurance Services.

## **Elements of a Delegation of Authority**

### **Description**

(33) Each delegation of authority must be expressed clearly and concisely in a manner that establishes any relevant scope and context, and should:

- a. link to any associated delegated authority if relevant and where possible;
- b. not duplicate in full or in part any other delegated authority;
- c. establish any required control that cannot easily be established by an associated limit or condition.

### **Holder Limits**

(34) Holder limits may be expressed as:

- a. a financial limit;
- b. a functional limit;
- c. a positional limit;
- d. a divisional limit (i.e. limited to exercising within a business division or unit);
- e. inclusive or exclusive components;
- f. a risk rating limit; or
- g. any other limit that is meaningful given the context of the associated delegated authority.

(35) Limits must be in accordance with the Schedule 4 of the Governance Rule – Conditions of Delegation where applicable.

(36) Financial limits must be expressed exclusive of GST.

(37) Positional and divisional limits must be expressed in accordance with the University's [organisational chart](#).

### **Conditions**

(38) Conditions of individual authorities must clearly and concisely establish any requirements that must be met when a delegate exercises the delegated authority. Conditions must be placed within the “Administrative Notes” field in the [Delegations Register](#).

(39) It is the responsibility of the delegate to ensure that they:

- a. only exercise the delegated authorities granted to their position where doing so would be in accordance with any relevant legislative or statutory requirements;
- b. do not exceed any limit attached to the associated delegated authority;
- c. do not exercise a delegated authority in excess of their allocated budget; and
- d. meet all required conditions attached to a delegated authority.

## Delegations Register

(40) The [Delegations Register](#) is administered by the Policy and Delegations Officer (Governance and Assurance Services).

(41) Where practical, a Delegation Record will be created in the [Delegations Register](#) for employees of the University who have been appointed to, or are acting in, a position that holds delegated authority in accordance with the provisions and requirements of this Framework, and upon written confirmation by Human Resource Services of the appointment.

(42) An acting appointment will have a delegation record created in the [Delegations Register](#) where the appointment is:

- a. to a position that holds delegated authority;
- b. of a duration that is equal to or greater than 5 working days; and
- c. confirmed by Human Resource Services in writing to [delegations@newcastle.edu.au](mailto:delegations@newcastle.edu.au).

(43) Positions will be appointed to Position Groups in accordance with the provisions and requirements of this Framework. The University Secretary may, in exceptional circumstances, authorise the assigning of a position to a Position Group where this appointment does not meet the provisions or requirements of this Framework, subject to adequate justification and risk assessment.

(44) The following must be applied when creating positions in the Delegations Register:

- a. each position must only be assigned to one Position Group, unless they are a Chief Investigator. All members of the Position Group require the same delegations and must have the same limits of authority, unless 44b applies;
- b. a position that is assigned to a Position Group can be granted a limit that is higher than their Position Group, and be listed specifically against a delegation;
- c. a delegate should only be assigned to one Position; and
- d. not all positions need to be assigned to a Position Group.

**Table 1 - Approved Position Groups**

<b>Position Group Title</b>	<b>Approved Position Inclusions</b>
Associate Dean (Research)	Associate Dean (Research) roles.
Associate Dean, International	Associate Dean (International) roles.
Authoriser in FlexiPurchase / Tech One	Delegates appointed to a position with a HEW Classification of HEW8 or above, and approved to be a FlexiPurchase or Tech One authoriser by the Chief Financial Officer (CFO).
Chief Investigator	Individuals assigned as Chief Investigators in the University's financial system.
College Pro Vice-Chancellor	All College Pro Vice-Chancellor roles.
Course Co-ordinator	Individuals assigned as Course Co-ordinators and confirmed in writing by Pro Vice-Chancellor Education Innovation and endorsed by Human Resource Services.
Deputy Head of School	Individuals appointed as Deputy Head of School, as confirmed by Heads of School and Human Resource Services.
Division Pro Vice-Chancellor	All non-College Pro Vice-Chancellor positions.
Executive Leader	Chief Operating Officer, all Deputy Vice-Chancellor positions.

Position Group Title	Approved Position Inclusions
Executive Officer	Executive Officer roles, Senior Executive Officer roles, School Executive Officer roles. Assistant Director roles, as approved by the University Secretary.
Head of School	All Head of School roles.
Middle Leader	Associate Directors, Deputy Directors, Station Manager, 2NURFM.
Program Convenor	Individuals assigned as Program Convenor's and confirmed in writing by Pro Vice-Chancellor Education Innovation and endorsed by Human Resource Services.
Senior Leader	Chief Digital & Information Officer Chief People and Culture Officer Chief of Staff All Director roles within business units of the University, excluding Director roles that are academic roles; and all other Director roles within the provisions of the <a href="#">Framework to define College Units, Research Centres, Academies and Institutes</a> . Dean of Graduate Research General Counsel University Secretary Head of Wollotuka Institute University Librarian Division General Manager College General Manager Chief Financial Officer Executive Dean of Central Coast Campus Executive Manager, Strategy and Operations.
Supervisor	Positions which have subordinate staff member's directly reporting to the role. (Note: persons appointed or acting in a role that constitutes a supervisor, for the purposes of this position group, will not be added to the Delegations Register).

(45) A Delegation Record within the [Delegations Register](#) will be expired upon receipt of written advice from Human Resource Services that the delegate is no longer appointed to or acting in a position.

## Section 7 - Establishment and Amendment of Delegations

(46) The establishment or amendment of a delegation of authority will be subject to approval in writing (or by minute) by the body or position who is authorised to approve the delegated authority.

(47) All requests for the establishment or amendment of a delegated authority must be submitted to [delegations@newcastle.edu.au](mailto:delegations@newcastle.edu.au) in the first instance. Governance and Assurance Services are responsible for assessing requests for delegations, including amendments, subject to:

- a. the ability of the request to meet the requirements of this Framework and any overarching Rules or legislation;
- b. consistency with policy and [organisational structure](#); and
- c. consideration of reasonability and risk management.

(48) A request to amend or establish a delegated authority may require suitable justification by a subject matter expert, as determined by Governance and Assurance Services. In these circumstances, the subject matter expert may be requested to direct their request to establish or amend a delegated authority through their management line to seek approval, subject to endorsement of the request by Governance and Assurance Services.

(49) In the event a new or revised policy document, as defined by the [Policy Framework](#), requires an amendment to or establishment of a delegation, this may be noted and requested as part of the approval process for the Policy, subject to endorsement by Governance and Assurance Services.

(50) The Policy and Delegations Officer will publish new or amended delegations of authority upon receipt of written confirmation of approval by the appropriate delegate, and will notify all relevant stakeholders.

## Section 8 - Exercising Delegations of Authorities

(51) A delegation of authority is exercised at the point of a decision and must be evidenced by any of the following, either alone or in combination:

- a. signature;
- b. incurring expenditure;
- c. instructing others to give effect to a decision; or
- d. documenting the decision.

(52) Not taking action may also be regarded as exercising a delegation of authority, where this is made evident to the delegate.

(53) Records relating to the exercise of a delegation must comply with the [Records Governance Policy](#).

### General Principles

(54) All delegated authorities must be read subject to, and exercised in accordance with, the relevant:

- a. legislation, in particular the [University of Newcastle Act](#) and its associated [By-Law](#) and Rules;
- b. industrial awards and agreements, including [Enterprise Agreements](#);
- c. contracts and agreements;
- d. University policy documents;
- e. resolutions of the University Council;
- f. approved budgets; and
- g. limits and conditions of the delegated authority.

(55) Unless otherwise stated in this Framework, the delegation of authority to a position allows the incumbent of that position to exercise that delegated authority, providing it is in accordance with any relevant statute, including this Framework.

(56) The delegation of authority to a committee refers to the committee acting as a whole, not to individual members of that committee, unless otherwise noted in the Delegation Schedule.

(57) Where a position or committee is re-named, abolished, or detached, the delegated authority granted to such a position or committee should be taken to be a reference to the principal successor to the functions of that position or committee, providing that such a change has been appropriately approved in writing or by minute. Notification of such changes and evidence of approval should be provided to [delegations@newcastle.edu.au](mailto:delegations@newcastle.edu.au) as soon as possible after approval.

(58) The ability to authorise a transaction or document a decision within a University IT system is not to be understood to constitute a delegated authority. Reference should always be made to the relevant Delegation Schedule to determine if a delegate has delegated authority.

(59) A delegated authority can only be exercised within the scope of the delegate's responsibilities, regardless of the delegated authority limits imposed.

(60) A delegate must not exercise an authority where there is no segregation between effort to develop or propose the

matter and authority to approve the matter.

(61) The decision to exercise a delegated authority must be:

- a. informed by an appropriate level of due diligence, including but not limited to:
  - i. obtaining appropriate and timely risk, legal and other advice from experts within the University or external to the University, before binding the University. Where such advice is acted against the delegate must document their reason(s) for doing so;
  - ii. consideration of the full cost of delivering any associated obligations;
  - iii. consideration of technical expertise required to fulfil the obligations and that these obligations can be achieved without exceeding current constraints or approved resources; and
- b. subject to an assessment of the level of risk associated with any proposed action, and the determination that the assessed level of risk is acceptable to the University. (Please see [Risk Management Framework](#)).

(62) A delegate does not have to exercise a delegated authority if they consider such an act to be inappropriate. In such cases, the matter may be considered by a more senior delegate if necessary.

(63) A senior delegate may instruct a lower level delegate who reports directly to them to not exercise a delegated authority, but cannot instruct a lower level delegate to exercise a delegated authority.

(64) A delegate is not obliged to exercise a delegated authority and should not exercise it if in their opinion there are circumstances that make it more transparent, equitable, or ethical for the matter to be considered at a more senior level.

(65) A delegate may make decisions in either the positive or negative.

(66) Where a delegated authority includes a condition to act on the advice or recommendation of another position, body or committee, the delegate remains responsible for seeking such advice, and for determining if this advice is to be acted upon or against. Where advice is acted against the delegate must document their reasons(s) for doing so.

(67) Where the limit of a delegated authority is subject to the advice, consultation or recommendation of another position, body or committee, the delegate must act upon this advice, unless clause 62 is invoked.

(68) The delegate remains responsible for the proper exercise of a delegated authority, regardless of any advice or recommendation given to inform the exercise of such a delegated authority.

(69) An authority to exercise a delegated authority extends to:

- a. the authority to perform a preliminary or ancillary function related to that delegated authority;
- b. doing all things necessary to negotiate and give effect to any transaction approved including, but not limited to, signing agreements or other instruments relating to the matter, unless otherwise specified or limited in a Schedule; and
- c. subject to any delegated authority financial limits and conditions, and the terms of the relevant agreement or instrument, varying that transaction.

(70) A delegated authority must not be exercised if the delegate has or may have a potential, perceived or actual conflict of interest in connection with the matter. (Please see [Conflict of Interest Policy](#)).

(71) A delegation of authority is made to a position at the lowest point in the organisational structure where the decision can be made, and therefore, every higher position in the same line of management accountability can also exercise that delegated authority in accordance with this Framework.

(72) No delegate other than the Vice-Chancellor, is authorised to sub-delegate any or all of its delegated authorities to another person or group of persons in any manner.

(73) Where a delegated authority to exercise an operational function is not sub-delegated, only the Vice-Chancellor may exercise that function, unless the delegated authority is a [Matter Reserved by Council](#).

(74) Where a delegate creates a binding commitment on the University that is outside of their delegated authority, the binding commitment is not voided.

## **Exercising Financial Authorities**

(75) Delegates must not approve the incurring or reimbursement of their own expenditure, even if it falls within their responsibility levels. Such expenditure must be approved by another appropriate delegate in accordance with this Framework.

(76) Any delegation of authority to incur expenditure must be exercised within the limits of any relevant budget or other approved source of funds, and only for authorised cost collectors or other relevant financial codes or classifications. Delegates must also ensure that there are no other costs incurred as a result of exercising a financial delegation. If there are such costs, these should be added to the value of the transaction in consideration of the delegate's limit.

(77) Breaking transactions into smaller components to circumvent limits of authority or financial systems is strictly prohibited and considered a breach of the University's [Staff Code of Conduct](#).

(78) The expenditure of funds received or designated for a specific purpose (e.g. research funds, bequests or donations) must only be incurred for the specified purpose and be strictly in accordance with any specified terms.

(79) If the cost of a transaction is not certain at the time of exercising a delegation, the delegated authority must be exercised based on a reasonable and appropriately informed estimate of the cost of the transaction, including any in-kind elements. The method of making such an estimate must be appropriately documented.

(80) The total cost of a transaction to the University, including costs for variations and extensions but excluding any deductions, must be used to determine which delegate has an appropriate financial limit to exercise the delegated authority.

(81) If a contract payment indicates that the total value of an already approved contract will be exceeded, a delegate with the financial limit to approve the new total value of the contract (original costs plus variation costs) must approve the contract payment.

## **Contracts and Agreements**

### **Collaborative Agreements - Head and Sub Agreements**

(82) Where the University is not a party to a Head Agreement, the risk and value of a related sub-agreement to which the University is a party is to be used to determine which delegate has the delegated authority and limit to sign the sub-agreement.

(83) Where the University is a party to a Head Agreement and a related sub-agreement:

- a. the risk and total value of the Head Agreement to which the University is a party must be used to determine which delegate has the delegated authority and limit to sign the Head Agreement; and
- b. the risk and total value of the sub-agreement to which the University is a party must be used to determine which delegate has the delegated authority and limit to sign the sub-agreement.

(84) Variations to either a Head Agreement or sub-agreement must be dealt with in accordance with Clauses 81 and 82 of this Framework.

(85) Please also refer to [Delegation of Authority Guidelines](#).

## **Authorised Officers**

(86) A delegate may appoint an Authorised Officer to give effect to the exercise of a delegated authority in the name of the delegate, where:

- a. the Authorised Officer is under that delegate's supervision;
- b. the arrangement is for a specified period of time that is less than 12 months;
- c. the Authorised Officer is appropriately qualified to exercise the function and has demonstrated they are properly fulfilling their responsibilities;
- d. the actions to give effect to the exercise of the delegated authority relates to a routine activity and does not require the exercise of significant independent judgement;
- e. the actions to give effect does not require the Authorised Officer to personally form an opinion;
- f. any authority exercised would not significantly affect the rights of an individual (e.g. expulsion); and
- g. the staff member's classification, in accordance with the relevant [Enterprise Agreement](#), is commensurate with the function to be exercised.

(87) An Authorised Officer must be appointed in writing detailing the following:

- a. the name of the Authorised Officer and delegate appointing the Authorised Officer;
- b. the scope of the authorisation;
- c. the period of time in which authorisation may be applied; and
- d. an appropriate review mechanism.

(88) An Authorised Officer appointment may be wholly or partially withdrawn or restricted (permanently or temporarily) at any time by the delegate or a person holding a higher position in the same line of management accountability.

(89) An Authorised Officer appointment must not be made as a substitute to sub-delegation.

(90) An Authorised Officer is not permitted to transfer any authorisation granted to them by a delegate.

(91) The delegate remains responsible for the actions of their appointed Authorised Officer, and the act of the authorised officer will be taken to be the act of the delegate.

(92) Authorised Officers must act in accordance with this Framework and the [Delegations of Authority Guidelines](#).

(93) Authorised Officers will not be reflected in the [Delegations Register](#).

(94) Delegates who appoint Authorised Officer's must maintain a Register of Authorised Officers that is to be stored in accordance with the [Records Governance Policy](#).

## **Record Management and Documentary Requirements**

(95) Delegates should not exercise a delegated authority unless provided with sufficient details about the relevant subject matter and can be satisfied that there is a proper trail of accountability.

(96) In accordance with the [Government Information \(Public Access\) Act 2009](#), where the total value of a contract for

the supply of goods or services to the University is \$150,000 or more, details must be included on the [Contracts Register](#), unless an exemption applies.

(97) The exercise of any authority must be recorded in accordance with the [Records Governance Policy](#).

## Section 9 - Review of Delegations Schedules

(98) A review of each Delegation Schedule will occur:

- a. at least 12-monthly;
- b. following significant organisational changes; or
- c. as directed by the delegate responsible for approving the Schedule.

(99) The review of Delegation Schedules will be coordinated by Governance and Assurance Services who will invite Executive Leadership Team members and relevant stakeholders to contribute to each review, and prepare the submission to the relevant authority holder for approval of the amendments.

(100) Executive Leadership Team members are required to inform proposed changes to any Delegation Schedules from a thorough understanding and assessment of associated risks in accordance with the [Risk Management Framework](#).

(101) Recommendations for amendments to Delegations Schedules will be subject to confirmation by Governance and Assurance Services in accordance with clause 46 of this framework.

(102) Approved amendments to Delegations Schedules will be published in a timely manner by Governance and Assurance Services and notified to relevant stakeholders.

## Section 10 - Non-Compliance

(103) Non-compliance with the University's delegations of authority is a serious matter and may constitute a breach of the [Act](#) and [Staff Code of Conduct](#). Non-compliance may also be considered misconduct or serious misconduct in accordance with any relevant [Enterprise Agreement](#) or employment contract.

(104) Staff who become aware of non-compliance with the University's delegations of authority are responsible for escalating the matter to their supervisor or a senior executive, dependent on the nature of the breach. A breach report can be made in accordance with the [Compliance Management Framework](#).

(105) The [Public Interest Disclosure Policy](#) outlines the provisions for making a Public Interest Disclosure where breach of the University's delegations of authority may constitute corrupt conduct, maladministration or serious and substantial waste of money. (Please also see the [Fraud and Corruption Framework](#)).

## Section 11 - Delegations Schedules

(106) [Schedule 1 to the Governance Rule - Matters Reserved for the Council, Council Committees and Academic Senate](#).

(107) The following schedules are contained in the [Delegations Register](#):

- a. Schedule 1 of the Governance Rule – Matters Reserved for council and Council Committees (Schedule H);
- b. Schedule of the Vice-Chancellor's Operational Sub-Delegations:

- i. Schedule A – Operations;
  - ii. Schedule B – People and Workforce;
  - iii. Schedule C – Governance and Legal;
  - iv. Schedule D – Alumni and Philanthropy;
  - v. Schedule E – Student Administration;
  - vi. Schedule F – Research
- c. Schedule 2 to the Governance Rule – Academic Matters (Schedule G).

## Section 12 - Responsibilities

(108) Governance and Assurance Services are responsible for:

- a. maintaining this Framework and ensuring it is accurate, consistent with University policy and with the University [organisational chart](#);
- b. facilitating reviews of the Delegations Schedules and Register;
- c. maintaining the [Delegations Register](#), including administering delegation records;
- d. maintaining records of historical versions of Delegations Schedules; and
- e. informing and educating the University community about the University's delegations framework.

(109) Senior Executives and Executive Leadership Team members are responsible for:

- a. informing their staff about their responsibilities to act in accordance with this Framework and its associated higher level documents;
- b. ensuring that changes to roles and responsibilities within their portfolio are reflected in relevant updates to the [Delegations Register](#);
- c. reviewing compliance with delegations of authority held in their portfolios on a regular basis.

(110) University staff are responsible for complying with this Framework and the relevant delegations in the Delegations Schedules and [Delegations Register](#).

(111) Delegates are responsible for:

- a. informing themselves of the requirements of this Framework and its associated documents;
- b. completing mandatory Delegation of Authority training before first exercising a delegation, and annual Delegation of Authority training.

## Status and Details

<b>Status</b>	Historic
<b>Effective Date</b>	10th July 2025
<b>Review Date</b>	11th March 2027
<b>Approval Authority</b>	University Council
<b>Approval Date</b>	4th July 2025
<b>Expiry Date</b>	23rd July 2025
<b>Responsible Executive</b>	Daniel Bell University Secretary
<b>Enquiries Contact</b>	Daniel Bell University Secretary <hr/> Legal and Governance Services

## Glossary Terms and Definitions

**"University"** - The University of Newcastle, a body corporate established under sections 4 and 5 of the University of Newcastle Act 1989.

**"Risk"** - Effect of uncertainty on objectives. Note: An effect is a deviation from the expected, whether it is positive and/or negative.

**"Risk management"** - The co-ordination of activities to optimise the management of potential opportunities and reduce the consequence or impact of adverse effects or events.

**"Risk assessment"** - The overall process of risk identification, risk analysis, and risk evaluation.

**"Working day"** - Any day other than Saturday, Sunday, or a public holiday in Newcastle, on which business may be conducted.

**"Controlled entity"** - Has the same meaning as in section 16A of the University of Newcastle Act 1989.

**"Personnel"** - In relation to a party, any employee, officer, agent, contractor, sub-contractor, student or volunteer of that party.

**"Program Convenor"** - The academic staff member with overall responsibility for the management and quality of a program.

**"Research"** - As defined in the Australian Code for the Responsible Conduct of Research, or any replacing Code or document.

**"Staff"** - Means a person who was at the relevant time employed by the University and includes professional and academic staff of the University, by contract or ongoing, as well as conjoint staff but does not include visitors to the University.

**"College"** - An organisational unit established within the University by the Council.

**"Delegate"** - (noun) refers to a person occupying a position that has been granted or sub-delegated a delegation of authority, or a committee or body that has been granted or sub-delegated a delegation of authority.

**"Delegated authority"** - refers to the specific description of the authority that is delegated or sub-delegated to a holder.