

# Delegation of Authority Policy

Version number	2
Approved by	Corporate Governance Board
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## Purpose

Integral to the operation of Sydney Institute of Higher Education (SI) as a higher education provider is a clear delegations framework that ensures all necessary functions of the organisation are carried out effectively by appropriately qualified staff, with appropriate monitoring and reporting lines in place. As a governance mechanism, the delegations framework establishes clearly defined levels of decision-making authority, with the *Corporate Governance Board* remaining accountable and exercising appropriate oversight.

The *Delegation of Authority Policy* defines the principles and procedures guiding this system. Accountability and transparency is built into all delegations of authority through comprehensive record-keeping processes, staff training and information, and reporting and monitoring cycles.

## Scope

This policy applies to SI Boards and committees, including external members, and all SI staff. It covers all organisational functions including administrative, legal, financial, human resource management, research, and academic functions.

## Principles

The *Corporate Governance Board* is accountable for all activities undertaken under delegated authority and must maintain appropriate oversight, ensuring that delegations are compliant with relevant regulatory frameworks and effectively implemented in accordance with this policy.

SI recognises that an effective delegations system is a key component of effective risk management.

Delegations of authority are made to positions and bodies, not individuals. The level of authority must be appropriate to the capabilities and seniority of the position or body to whom it is delegated.

Some positions and bodies are entitled to further delegate their responsibilities to other positions or bodies.

Delegations of authority should be made as efficiently as possible. As such, decision-making power should remain as close as possible to the process or product that it affects. Academic authority is delegated to the *Academic Board*, remaining separate to the *Corporate Governance Board*, which in turn

delegates duties down through relevant committees and *Executive Management Team*.

All delegations must be consistent and internally coherent with other delegations, regardless of the area of operation.

Accurate and comprehensive records of delegations must be kept in the form of a *Delegations Register*, and made available to all relevant staff.

## Procedures

### *The Delegations Register*

The *Corporate Governance Board* will document and approve a *Delegations Register*. Each delegation of authority in SI will be recorded according to:

- Position or body to which authority is delegated
- Specific roles and duties of the delegation
- Limits to authority.

The *Delegations Register* must be available to all staff. It must be version controlled with dates of the most recent amendment.

The *Delegations Register* will be reviewed and updated every three years or more often as required.

### *Delegations structure*

The *Corporate Governance Board* delegates authority to:

- *Academic Board*
- *Executive Management Team*
- Committees for risk monitoring and reporting.

The *Academic Board* delegates to:

- Academic committees.

*Executive Management Team* delegates to:

- Staff.

It is the responsibility of the *Corporate Governance Board* to:

- Clearly define roles and duties of delegations
- Establish delegations and record details in the *Delegations Register*
- Define responsibilities that cannot be delegated
- Monitor the effective implementation of delegations.

It is the responsibility of the *Academic Board* to:

- Carry out the responsibilities identified in the *Academic Governance Policy* and the *Academic*

*Board Terms of Reference*, under delegated authority from the *Corporate Governance Board*

- Delegate activities to academic committees
- Define responsibilities that cannot be delegated
- Ensure that academic delegations are implemented
- Provide advice and report to the Corporate Governance Board on academic matters, including delegations.

For further information, consult the *Academic Governance Policy*, *Corporate Governance Policy*, the *Corporate Governance Board Terms of Reference*, the *Academic Board Terms of Reference* and the *Delegations Register*.

### **Responsibilities**

The position or body responsible for approving a delegation of authority must ensure that:

- Authority is delegated to appropriately qualified positions or bodies
- There are clear limits to the authority delegated
- Details of the delegation are recorded in the *Delegations Register*
- Ensure that the individual(s) occupying the position or body are properly informed of their responsibilities, and receive training if necessary
- Monitor the activities that are carried out under the delegation.

The individual(s) occupying the position or body to which a delegation of authority is made must at all times:

- Act within the limits of their delegated authority
- Act in good faith
- Comply with the policies and procedures of SI
- Attend any training or information sessions regarding their responsibilities
- Contribute actively to all reporting and monitoring activities as required
- Refer to the *Delegations Register* if unsure about any aspect of their authority.

Additionally, positions or bodies with delegated authority should be aware that:

- A staff member occupying a position or body with delegated authority who does not believe they are appropriately qualified to exercise their delegated authority may refer to their superior
- All individuals at SI are expected to refrain from exercising their delegated authority if a conflict of interest presents itself, and to disclose that conflict of interest at the earliest opportunity.

### **Responding to a delegation breach**

Any breach of this policy will be treated as a serious failing of SI's responsibility to remain accountable and transparent in its operations, which in turn presents a risk to SI operations. If any person within the organisation (staff, student, or visitor) detects a problem with a delegation of authority, they are strongly encouraged to report it Executive Management Team, who must then report it to the *Corporate Governance Board*.

SI will determine disciplinary responses depending on the level of severity of the breach.

Disciplinary responses may include:

- Written warning
- Removal of or further limitations on delegated authority
- Suspension
- Demotion
- Termination of employment.

## Policy Implementation and Monitoring

Day-to-day implementation of this policy is the responsibility of all Boards, committees, and staff members who hold positions with delegated authority, or delegate responsibilities to other positions or bodies.

The *Delegations Register* must be reviewed periodically, in accordance with the *Compliance Calendar*, by:

- The *Corporate Governance Board*
- The *Audit and Risk Committee*
- The *Academic Board*.

Any position or body that oversees its own delegations (notably the *Corporate Governance Board* and *Academic Board*) must monitor the *Delegations Register* on an ongoing basis.

The *Corporate Governance Board*, responsible for oversight of all delegations, will review all periodic reports on delegations from the *Academic Board*, relevant committees, and staff members, in accordance with the *Compliance Calendar*.

The *Corporate Governance Board* must ensure that findings from these monitoring activities are taken into account in planning, quality assurance and improvement processes.

## Definitions

**Business Plan:** A document detailing SI's financial and business goals that must be met in order to support its overall strategic goals.

**Corporate Governance Board:** The SI governing body responsible for the oversight of all SI operations, including the direction-setting, quality assurance, monitoring, and improvement of academic and non-academic operations. It delegates responsibility for academic matters to the *Academic Board*.

**Delegation of authority:** A shift of decision-making authority from one position or body within SI to another lower position or body. The higher position or body remains accountable for the outcomes of the duties that it delegates.

**Delegations Register:** A schedule that defines the amounts, duties and responsibilities for transactions

and to who authority has been delegated by the *Corporate Governance Board*.

**Executive Management Team:** Comprising any of the following roles: President, Company Secretary, Provost, Dean, Business Development Manager or Finance Manager.

### **Review Schedule**

This policy will be reviewed by the *Corporate Governance Board* every three years.

Version History				
Version number:	Approved by:	Approval date:	Revision notes:	Next review date:
1	Corporate Governance Board	04/09/2017		
2	Corporate Governance Board	16/10/2017		16/10/2020

▲ Related Documents	
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<a href="#">↗</a>	<a href="#">Corporate Governance Policy</a>
<a href="#">↗</a>	<a href="#">Delegations Register</a>
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