

Delegation of Authority Procedure

1. Purpose and Scope

- 1.1 The Delegation of Authority Procedure operationalises the Delegation of Authority Policy.
- 1.2 This policy and its procedure apply to all AIAT academic and non-academic staff, and to internal and external members of AIAT Board of Directors, AIAT Academic Board and all sub-committees.

2. Definition

Refer to *Glossary of Terms* for commonly used terms. The definitions below are those specific to this policy and procedure.

Authorised Agent - a functional position which has been delegated responsibilities by a Delegate. For example, the Head of Institute is delegated responsibilities from the Academic Board; when the Head of Institute delegates some of these responsibilities to the Student Services Team Leader, the Student Services Team Leader is an Authorised Agent.

Delegate – a person or committee authorised to carry out a delegation or act on behalf of the Board of Directors.

Delegation – the subject of the activity to which the delegation relates.

3. Procedure

- 3.1 Delegations Register
 - 3.1.1 Delegations are recorded in the Delegations Register.
 - 3.1.2 Variations to the Delegations Register must be proposed to the Risk, Quality and Audit Committee for approval by the AIAT Board of Directors.
 - 3.1.3 Delegates may only exercise delegations in accordance and consistent with the Delegations Register as assigned and within the scope of the delegation.
- 3.2 Assigning Delegations and Delegation Limits
 - 3.2.1 Delegations are formally assigned by the AIAT Board of Directors and recorded in the Delegations Register. Delegations cannot conflict with those identified in the AIAT Governance Charter.
 - 3.2.2 In assigning delegations, the AIAT Board of Directors will be guided by the following principles:
 - a. Delegations are devolved relevant to nature or subject matter;
 - b. Delegations are aligned with the authority, accountability and capability of the delegate;
 - c. Specialist delegations are assigned to designated positions.

- 3.2.3 Managers must formally acknowledge the delegations assigned to them and undertake necessary training prior to commencing exercise of delegations.
 - 3.2.4 The AIAT Board of Directors approves changes to the Delegations Register and authorises approved delegations against the relevant position. The Risk, Quality and Audit Committee will inform relevant delegates about changes made to the Delegations Register.
 - 3.2.5 Delegates are formally advised, sign and return acknowledgement regarding the assignment of delegation, attend required training and
 - 3.2.6 Following formal assignment of specific delegations, the senior officer responsible for financial matters (for financial delegations), Academic Board (academic delegations) and the senior officer responsible for human resource management (for employment contracts which included formal assignment of delegations) are responsible for ensuring signed acknowledgement of the delegation, training occurs and relevant documentation is filed appropriately for each delegation. Further details are in Section 4 Responsibilities.
- 3.3 Avoiding Conflicts of Interest and Personal Benefits
- 3.3.1 Delegations must be exercised in accordance with relevant legislation and in compliance with AIAT policy including the Delegation of Authority Policy, the Conflict of Interest Policy and the Staff Code of Conduct. Non-compliance will be dealt with under the Staff Code of Conduct. Suspected breaches or misuse of delegations must be reported and investigated in accordance with Section 4.4 of the Delegation of Authority Policy.
 - 3.3.2 A delegate must not exercise a delegation that will result in any form of tangible benefit to themselves or any family, friends or other associated with them. For example, a delegate must not approve their own application for leave, the payment of their own overtime, the employment of a relative or friend, the grant of an allowance or reimbursement to themselves of expenditure, acquisition of items for use by the delegate, or own credit card payment. Further, a delegate must not have such approvals effected by an officer subordinate to them (irrespective of their level of delegation) but rather should submit them for approval by their own manager.
 - 3.3.3 A delegate, or any other staff member who has a conflict of interest, must not make a recommendation to, or seek to influence, a person with respect to the exercise of a delegation.
- 3.4 Reporting and Reviewing
- 3.4.1 Annual reports to the AIAT Board of Directors from the Risk, Quality and Audit Committee will include advice to the Board about the appropriate exercise of delegations during the calendar year.
 - 3.4.2 The Academic Board Chairperson will report to the AIAT Board of Directors on compliance with delegations as part of annual compliance reporting, specifically TEQSA Higher Education Standards Framework Standard 6.1.3(b) and 6.3.2(b) in

terms of the obligation of the governing body to monitor the implementation of delegations.

- 3.4.3 The AIAT Board of Directors will undertake a formal review of the Delegations Register at least biennially to ensure delegations are consistent with legislation, appropriate, documented and observed. This will be informed by reports from the Risk, Quality and Audit Committee.

3.5 Induction and Training

- 3.5.1 Training relevant to the delegation will be completed as necessary, in accordance with section 3.2 of this Procedure. The senior officer responsible for human resource management will ensure that information on delegations is included as part of staff orientation and induction processes.
- 3.5.2 Delegates will be required to complete delegation training as part of their induction and before they can exercise their delegations.
- 3.5.3 Delegates will be required to complete delegations training biennially.
- 3.5.4 The senior officer responsible for human resource management will maintain records of this training as part of staff records.

3.6 Proposals for new or amended delegations

- 3.6.1 Proposals requesting amendments to the Delegations Register must be sent to the Risk, Quality and Audit Committee.
- 3.6.2 The Risk, Quality and Audit Committee will
- d. review the proposed amendments and make a recommendation to the AIAT Board of Directors for approval.
 - e. notify delegates and relevant managers by email when a new or amended delegation is approved.
 - f. record the delegation in the Delegations Register.

4. Roles and responsibilities

- 4.1 The AIAT Board of Directors is responsible for:
- 4.1.1 initiating this policy and procedure's review at the required date, and approving or rejecting amendments;
 - 4.1.2 approving modification requests to Delegations Register as proposed via the Risk, Quality and Audit Committee; and
 - 4.1.3 reviewing the Delegations Register at least biennially.
- 4.2 The Risk, Quality and Audit Committee is responsible for:
- 4.2.1 providing recommendations regarding modification requests to a Delegations Register, this policy and/or procedure to the AIAT Board of Directors;
 - 4.2.2 reporting compliance and non-compliance with delegations as part of compliance reporting to the AIAT Board of Directors;
 - 4.2.3 receiving modification requests;
 - 4.2.4 notifying individuals of approved changes to delegations; and
 - 4.2.5 updating the Delegations Register to reflect approved delegations.

- 4.3 Members of the Executive Management Group are responsible for:
 - 4.3.1 receiving reports of suspected breaches or misuse of delegations; and
 - 4.3.2 undertaking initial investigations; and
 - 4.3.3 if the breach is significant, requesting the CEO to investigate.

- 4.4 The Academic Board is responsible for:
 - 4.4.1 fulfilling the Terms of Reference as detailed in the AIAT Governance Charter;
 - 4.4.2 approving the academic and student related policies and procedures that underpin AIAT's compliance with its regulatory obligations;
 - 4.4.3 ensuring delegates assigned academic delegations are
 - g. formally advised and sign and return an acknowledgement regarding the assignment of the delegation/s;
 - h. advised about required training and training is recorded as completed prior to the delegate exercising delegations; and
 - i. relevant documentation is filed appropriately;
 - 4.4.4 reviewing and monitoring the performance of all AIAT academic areas to assist with quality management and the continual improvement of those operational processes; and
 - 4.4.5 reporting non-compliances brought to their attention to the Risk, Quality and Audit Committee.

- 4.5 The Chairperson of the Academic Board is:
 - 4.5.1 responsible and accountable to the Academic Board for the discharge of its responsibilities under its Terms of Reference and in compliance with Standards 6.2.1 and 6.3 of the HESF; and
 - 4.5.2 reporting on compliance with academic related delegations as part of annual compliance reporting.

- 4.6 The Learning and Teaching Committee is responsible for fulfilling the Terms of Reference as detailed in the AIAT Governance Charter. They make recommendations to the Academic Board.

- 4.7 The Chief Executive Officer (CEO) is responsible for:
 - 4.7.1 day-to-day business management of AIAT operations;
 - 4.7.2 ensuring compliance with non-academic policies and procedures;
 - 4.7.3 ensuring compliance with relevant HESF sections in the management of AIAT business operations;
 - 4.7.4 investigating breaches or misuse of delegations;
 - 4.7.5 reporting confirmed breaches or misuse of delegations and actions taken to address the breach or misuse, to the Risk, Quality and Audit Committee; and
 - 4.7.6 reporting confirmed breaches or misuse of academic delegations to the Academic Board.

- 4.8 The senior officer responsible for financial matters ensuring delegates assigned financial delegations are

- 4.8.1 formally advised and sign and return an acknowledgement regarding the assignment of the delegation/s;
 - 4.8.2 advised about required training and training is recorded as completed prior to the delegate exercising delegations; and
 - 4.8.3 relevant documentation is filed appropriately.
- 4.9 The senior officer responsible for human resource management (for employment contracts which include formal assignment of delegations) to ensure that:
- 4.9.1 the delegate is formally advised and signs and returns an acknowledgment regarding the assignment of delegation/s (this may be included in the letter of offer);
 - 4.9.2 the delegate is advised about required training and training is recorded as completed prior to the delegate exercising delegations;
 - 4.9.3 relevant documentation is filed appropriately.
- 4.10 A delegate is responsible for ensuring their exercise of delegation is compliant with legislation, the Delegations Register and with AIAT policies and procedures. They must complete required training prior to commencing exercise of delegation.
- 4.11 All AIAT academic and non-academic staff, and internal and external members of AIAT Board of Directors, AIAT Academic Board and all sub-committees are responsible for complying with this policy and procedure.

5. Procedure Details

Institution	Australian Institute of Advanced Technologies (AIAT)
Procedure name	Delegation of Authority Procedure
Procedure Reference No.	PROC – 61
Procedure Approval	Board of Directors
Procedure Authority	Executive Management Group
Responsible Officer	CEO
Governance Reference Threshold Standards	HESF 6.1.3.b, 6.3.2.b
Related Documents	AIAT Governance Charter Conflict of Interest Policy Delegation of Authority Policy Delegation Register Staff Code of Conduct
Related Legislation	Higher Education Standards Framework (Threshold Standards) 2021 (HESF)
References	AIAT has referred and benchmarked with the following institutions and policies during the creation of this procedure: Griffith University (2020) Delegations Procedure

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Policy Category	Governance

6. Document Version Control

Document No	PROC - 61	Last Modify Date	Summary of Changes
Version No	1.0	NA	Initial version approved by Board of Directors
	1.01	31/3/2022	Fixing typos
Created Date	Dec 2021		