

SCHEDULE 1
COUNCIL DELEGATIONS SCHEDULE – 2020

Basis of Delegations

A delegation in this Schedule 1 authorises the delegate to exercise the delegated power on behalf of the Council.

A decision or action taken in exercise of a delegated power is binding on the Council without its confirmation.

A delegate may further delegate a power to act where that is provided for, and such further delegation may be subject to such limitations as the Council's delegate thinks fit.

These delegations operate alongside the University's Financial Delegations Policy. Where a decision has a financial consequence, it must be taken by persons with the appropriate authority under both this Schedule and the Financial Delegations Policy.

Other delegations of Council's powers are contained in the Statutes established by the Council. For information purposes, a summary of the delegations is attached as Schedule 2.

SCHEDULE 1

Education Act 1989	Function or Power	Standing Delegation	Further Potential Delegation
S.159YC(1) S.159ZD(1)	Supply information to the Tertiary Education Commission or Minister as required	Vice-Chancellor	Suitably qualified staff
S.159YA(3)(b) S.159YG(2)(b) S.159YJ(2) S.159ZF(2)(b) S.159ZH(2)	Make submissions to TEC on decisions relating to the University Plan and funding	Vice-Chancellor	Director, Strategy, Analytics and Reporting

Education Act 1989	Function or Power	Standing Delegation	Further Potential Delegation
S.180(1)(c)	To manage University in accordance with, and determine policies to implement, Investment Plan	Vice-Chancellor	Suitably qualified staff
S.180(1)(d)	To determine, subject to the State Sector Act 1988, policies for the management of its affairs	Vice-Chancellor	Suitably qualified staff
S.193(2)(b)	To grant fellowships, scholarships, bursaries or prizes	Vice-Chancellor	Scholarships Committee and/or suitably qualified staff
S.193(2)(c)	To make grants or loans to staff or students or to any association of staff or students	Vice-Chancellor	Chief Financial Officer Director, Human Resources
S.193(2)(d)	To accept gifts and bequests on behalf of the University	Vice-Chancellor	Deputy Vice-Chancellor (External Engagement) Chief Operating Officer Registrar Director, Development and Alumni Relations
S.193(2)(f)	To arrange the manufacture or distribution of any article or anything bearing a mark, symbol or writing associated with the University	Vice-Chancellor	Deputy Vice-Chancellor (External Engagement) Head, Marketing Services Registrar
S.193(2)(g)	To arrange for the provision of goods or services to staff, students or other persons using or otherwise attending at facilities of the University	Vice-Chancellor	Suitably qualified staff

Education Act 1989	Function or Power	Standing Delegation	Further Potential Delegation
S.193(2)(h)	Prescribe fees payable by students <i>(Other than those fees set by Council under Fees Statute)</i>	Vice-Chancellor	None
S.200 S.158 Crown Entities Act 2004	Establish, maintain and operate bank accounts	Vice-Chancellor	Chief Financial Officer
S.201 S 168(1) & (2) Crown Entities Act 2004	Proper accounts to be kept	Vice-Chancellor	Chief Financial Officer
S.201A	Apply income and capital to accomplish plan and carry out functions characteristic of a University.	Vice-Chancellor	Suitably qualified staff
S.201B(1) S.167 Crown Entities Act 2004	Accept or disclaim any money or property gifted to the University	Vice-Chancellor	Chief Financial Officer Chief Operating Officer
S.203(4) S.65I(1) & (2) Public Finance Act	Investment of money	Vice-Chancellor	Chief Financial Officer
S.220(1)&(2) S.154 Crown Entities Act 2004	Preparation of the Annual Report on the operations of the University	Vice-Chancellor	Suitably qualified staff
S.221	Annual Report to be available for inspection without charge	Registrar	Suitably qualified staff

Education Act 1989	Function or Power	Standing Delegation	Further Potential Delegation
224(12)	Refuse to permit or cancel enrolment at University or in particular programme on basis person is not of good character, guilty of misconduct, person enrolled full-time at another institution or at school, person made insufficient progress after a reasonable trial	Delegated to Vice-Chancellor under Statute	Suitably qualified staff under University Statutes and Regulations and the Academic Progress Policy
S.225	Records relating to students	Vice-Chancellor	Suitably qualified staff
226(A)	Supplying information	Vice-Chancellor	Suitably qualified staff
S.227(4)	Ensure each student is given written notice of the circumstances in which students may get a refund	Vice-Chancellor	Suitably qualified staff
S.228(1),(2A),(2B),(7) & (8)	Powers under named sections relating to international students	Vice-Chancellor	Suitably qualified staff
S.229C	Hear and determine complaints in respect of undue influence in relation to membership of a students' association under S.229B	Vice-Chancellor	Registrar
S.229CA(4),(5) & (8)	Collection of student association membership fees	Vice-Chancellor	Chief Financial Officer

Foundation Trust Deed	Function or Power	Standing Delegation	Further Potential Delegation
Clause 8.1	Power to make recommendations regarding use of Trust funds.	Vice-Chancellor	Suitably qualified staff

SCHEDULE 2

SUMMARY OF DELEGATIONS MADE UNDER STATUTE

Academic Statute 2011

Function or Power	Delegation	Statute Ref.	Further Divisional Delegations			
			Commerce	Health Sciences	Humanities	Sciences
Approval and publication of rules governing courses of study and training of the University for which degrees, diplomas and certificates may be awarded	Senate	3.1	-	-	-	-
Confirmation of any regulations or change which involves anything described in clauses (a) to (d) of 3.2 inclusive	None – power retained by Council	3.2	-	-	-	-
Approval of Examination and Assessment Regulations	Senate	4	-	-	-	-
Establishment of Student Academic Misconduct Procedures	Senate	5.2	-	-	-	-
The power to deal with Complaints of Academic Misconduct in relation to doctoral degrees, and to decide any of the outcomes relating to such Complaints as listed in clauses 5.7 (a) to (f) inclusive	Deputy Vice-Chancellor (Research & Enterprise) in consultation with the relevant Pro-Vice-Chancellor	5.4 (a) & 5.7	-	-	-	-
The power to deal with Complaints of Academic Misconduct (except those relating to doctoral degrees or that come within the definition of Level One Academic Misconduct), and to decide any of the outcomes relating to such Complaints as listed in clauses 5.8 (a) to (i) inclusive	Pro-Vice-Chancellors	5.4 (b) & 5.8	Associate Dean (Academic)	Associate Dean (Academic)	Associate Dean (Academic)	Associate Dean (Academic)
The power to deal with Complaints of Academic Misconduct that come within the definition of Level One Academic Misconduct (except those relating to doctoral degrees), and to decide any of the outcomes relating to such Complaints as listed in clauses 5.8 (a) to (e) inclusive	Heads of Departments	5.4 (b) & 5.9	-	-	-	-
Power to further delegate powers given under Statute and Student Academic Misconduct Procedures	Pro-Vice-Chancellors & Heads of Departments	5.5	Associate Dean (Academic)	Associate Dean (Academic)	Associate Dean (Academic)	Associate Dean (Academic)
In relation to Complaints of Academic Misconduct, the exercise of any of the powers in clauses 5.7 (a) to (e) and 5.8 (a) to (h) inclusive and in addition the power to exclude from the University permanently or for such period as she/he may determine	Vice-Chancellor	5.10	-	-	-	-
The power to review a penalty imposed under this Statute by a Head of Department	Pro-Vice-Chancellors	5.11 (a)	Associate Dean (Academic)	Associate Dean (Academic)	Associate Dean (Academic)	Associate Dean (Academic)
The power to review a penalty imposed under this Statute by the Vice-Chancellor, the Deputy-Vice-Chancellor (Research and Enterprise) or a Pro-Vice-Chancellor	The Appeals Board of the University Council	5.11 (b)	-	-	-	-

'Heads of Departments' includes Heads of Schools and Deans where these roles are functionally equivalent to Heads of Departments

Admission to University Statute 2011

Function or Power	Delegation	Further Delegation	Statute Ref.	Divisional Delegations			
				Commerce	Health Sciences	Humanities	Sciences
Prescribing the application and enrolment processes	DVC (Academic)	Head, Student Experience	4.4	-	-	-	-
Declining or cancelling enrolment due to failure to satisfy requirements or conditions in University regulations	Vice-Chancellor	Course Approvers in accordance with clause 13.2(b), otherwise none	4.5 (a)	-	-	-	-
Declining or cancelling enrolment due to insufficiency of resources in relation to paper or course for which the person wishes to enrol	Vice-Chancellor	Course Approvers in accordance with any restrictions approved under clause 10, otherwise none	4.5 (b)	-	-	-	-
Declining or cancelling enrolment as the person's academic record is such that he or she has been declined enrolment at this or another university	Vice-Chancellor	Head, Student Experience	4.5 (c)	-	-	-	-
Declining or cancelling enrolment due to false or misleading information provided to support application	Vice-Chancellor	-	4.5 (d)	-	-	-	-
Declining or cancelling enrolment because the person is not of good character	Vice-Chancellor	Dean of College of Education for initial teacher education programmes, otherwise none	4.5(e)	-	-	-	-
Establishment of requirements for the judgement of competency in the use and understanding of written and spoken English	DVC (Academic)	-	5.1 (b)	-	-	-	-
Publication of standards of achievement in NZ school qualifications required for matriculation purposes	DVC (Academic)	Head, Student Experience	5.2	-	-	-	-
Approval of admission ad eundem statum at graduate level	DVC (Academic) in consultation with relevant Pro-Vice-Chancellor	Pro-Vice-Chancellor	6.6	Associate Dean (Post-graduate)	Associate Dean (Post-graduate)	-	-
Recognition of a student, in exceptional circumstances, who does not meet age requirement for Special Admission, as adequately prepared for University study	DVC (Academic)	-	7.3	-	-	-	-
Publication of requirements for the consideration of applications for Discretionary Entrance	DVC (Academic)	Head, Student Experience	8.1	-	-	-	-

DVC = Deputy Vice-Chancellor

Function or Power	Delegation	Further Delegation	Statute Ref.	Divisional Delegations			
				Commerce	Health Sciences	Humanities	Sciences
Establishment of entrance standards to assess applications for enrolment in Foundation Studies programmes	Academic Board, University of Otago Foundation Studies Limited	-	9.2	-	-	-	-
Determination of the maximum number of students who may be enrolled in specific programmes, courses or papers at the University in a particular year	None – power retained by Council	-	10.1	-	-	-	-
Establishment of criteria for selection of students for available places where limitation of enrolment applies and where there is no provision in the relevant Programme Regulations	DVC (Academic)	-	10.1	-	-	-	-
Where required, establishment of further criteria for the ranking of applicants for admission to programmes subject to limitation of enrolment	DVC (Academic) with the approval of Senate	-	10.2	-	-	-	-
Where required, establishment of criteria for admission to Summer School papers or second semester papers where enrolment has been sought after the closing date for first semester enrolments	DVC (Academic) with the approval of Senate	-	10.3	-	-	-	-
Establishment of requirements for Preferential Entry and criteria for the grant of places to those on the Competitive Entry pathway	DVC (Academic)	-	10.5	-	-	-	-
Establishment of requirements for the admission of international students	DVC (Academic)	-	11.1	-	-	-	-
Establishment of enrolment formalities	DVC (Academic)	Head, Student Experience	12.1	-	-	-	-
Prescribing the declarations which are part of the enrolment formalities	DVC (Academic)	Head, Student Experience	12.2	-	-	-	-
Approval for any enrolment in, or change of, a course of study	Course Approvers	-	13.1	-	-	-	-
Declining to approve enrolment in a course of study for specified reasons	Course Approvers	-	13.2	-	-	-	-
Review of a decision to decline a course of study	Pro-Vice-Chancellors	-	13.4	Associate Dean (Academic)	Associate Dean (Academic)	Associate Dean (Academic)	AD (Acad.) for declined timetable clashes
Permission to individual students for courses which exceed maximum workload provisions	Pro-Vice-Chancellors	See Divisional Delegations	15.1	AD (Acad.) & LSA	AD (Acad.) & AD (PG)	Associate Dean (Academic)	AD (Acad.) & LSA

DVC = Deputy Vice-Chancellor; AD (Acad.) = Associate Dean (Academic); AD (PG) = Associate Dean (Postgraduate); LSA = Lead Student Advisor

Function or Power	Delegation	Further Delegation	Statute Ref.	Divisional Delegations			
				Commerce	Health Sciences	Humanities	Sciences
Crediting of Certificate of Proficiency towards a subsequent degree	Pro-Vice-Chancellors	See Divisional Delegations	16.2	Associate Dean (Academic)	AD (Acad.) & AD (PG)	Associate Dean (Academic)	AD (Acad.) & LSA
Directing the closing of Certificate of Proficiency enrolment for reasons of capacity	DVC (Academic)	-	16.3	-	-	-	-
Permission for Interest Only enrolment in a paper	Heads of Departments	See Divisional Delegations	17.2	-	Associate Dean (Academic)	-	-
Directing closing Interest Only enrolment for reasons of capacity	DVC (Academic)	-	17.2	-	-	-	-
Determining the selection process for Student Exchange	DVC (External Engagement)	Director International	18.4	-	-	-	-
Approval of courses of study for Student Exchange candidates on exchange	Pro-Vice-Chancellors	See Divisional Delegations	18.5	Course Approvers	Associate Dean (Academic)	Course Approvers	AD (Acad.) & LSA
Approval of any changes to a signed learning agreement for Student Exchange candidates	Pro-Vice-Chancellors & Heads of Departments	See Divisional Delegations	18.6	Course Approvers	Associate Dean (Academic)	Associate Dean (Academic)	AD (Acad.) & LSA
Establishment and publication of additional requirements in relation to participation in the Student Exchange Programme	DVC (External Engagement)	-	18.7 (a)	-	-	-	-
In exceptional cases, approval of participation in the Student Exchange Programme by students not meeting the requirements of these regulations	DVC (External Engagement)	Director, International	18.7 (b)	-	-	-	-
Granting of credits for tertiary study undertaken elsewhere or for Recognition of Prior Learning (RPL)	Pro-Vice-Chancellors	See Divisional Delegations	19.1	Associate Dean (Academic)	AD (Acad.) & AD (PG)	Associate Dean (Academic)	AD (Acad.) & LSA
Establishment of a list of credits which may be granted on the basis of passes at non-university tertiary institutions in New Zealand and case-by-case approval for courses not listed	Pro-Vice-Chancellors	See Divisional Delegations	19.3	Associate Dean (Academic)	AD (Acad.) & AD (PG)	Associate Dean (Academic)	AD (Acad.) & LSA
Approval for the taking of papers to complete an Otago qualification at another university in New Zealand	Pro-Vice-Chancellors	(see Divisional Delegations)	20.4	Associate Dean (Academic)	AD (Acad.) & AD (PG)	Associate Dean (Academic)	Lead Student Advisor

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Function or Power	Delegation	Further Delegation	Statute Ref.	Divisional Delegations			
				Commerce	Health Sciences	Humanities	Sciences
Approval to take another paper in place of one required for a particular qualification where the student concerned has already passed that paper but is not permitted to credit it to the qualification in question	Pro-Vice-Chancellors	See Divisional Delegations	21.6	Associate Dean (Academic)	AD (Acad.) & AD (PG)	Associate Dean (Academic)	Associate Dean (Academic)
Establishment of requirements of participation in Distance Learning	DVC (Academic)	-	22.2	-	-	-	-
Power to further delegate powers delegated to them under the Statute	Vice-Chancellor, DVC (Academic), DVC (External Engagement), Pro-Vice-Chancellors, Heads of Departments	Head, Student Experience	24	-	AD (Acad.) & AD (PG)	-	-
Provision for the relief of hardship to a student where it is shown that the new regulations applying from 1992 have caused hardship	Vice-Chancellor	-	25.4	-	-	-	-

DVC = Deputy Vice-Chancellor; AD (Acad.) = Associate Dean (Academic); AD (PG) = Associate Dean (Postgraduate)

'Heads of Departments' includes Heads of Schools and Deans where these roles are functionally equivalent to Heads of Departments

Administration Statute 2011

Function or Power	Delegation	Statute Ref.
Advice provided to Council in relation to the Library Regulations	Board comprising Deputy Vice-Chancellor (Academic), University Librarian and Registrar and Secretary to the Council	3.2
Establishment of Library Regulations	None – power retained by Council but approval shall be in consultation with Senate	3.3
Advice provided to Council in relation to the Information and Communication Technology Regulations	Board comprising Chief Operating Officer, Director, Information Technology Services, and Registrar and Secretary to the Council	4.2
Establishment of Information and Communication Technology Regulations	None – power retained by Council but approval shall be in consultation with Senate	4.3
Advice provided to Council in relation to the Traffic and Parking Regulations	Board comprising Chief Operating Officer, Director, Property Services, and Registrar and Secretary to the Council	5.2
Establishment of Traffic and Parking Regulations	None – power retained by Council	5.3
Advice provided to Council in relation to the University Campuses and Premises Regulations	Board comprising Chief Operating Officer, Director, Property Services, and Registrar and Secretary to the Council	6.2
Establishment of University Campuses and Premises Regulations	None – power retained by Council	6.3
Advice provided to Council in relation to the Alcohol Regulations	Board comprising Chief Operating Officer, Director, Student and Academic Services, and Registrar and Secretary to the Council	7.2
Establishment of Alcohol Regulations	None – power retained by Council	7.3

Discipline Statute 2011

Function or Power	Delegation	Statute Ref.
Power to exercise disciplinary authority under this Statute as described in clauses 6.1 and 6.3, and through the imposing of penalties as set out in clause 6.2	The Proctor (including Deputy or Assistant Proctor)	5.1.(a), 6
Power to exercise disciplinary authority under this Statute as described in clauses 7.1 to 7.3 and 7.5 (i), and through the imposing of penalties as set out in clause 7.5 (a) to (h) inclusive	The Provost	5.1.(b), 7
Power to exercise disciplinary authority under this Statute as described in clause 8.1, and through the imposing of penalties as set out in clauses 7.5 (a) to (h) inclusive and 8.2	Vice-Chancellor	5.1.(c), 8
Power to exercise disciplinary authority under this Statute	The Appeals Board of the University Council	5.1.(d)
The power to review a penalty imposed under this Statute by the Proctor	The Provost	9.1
The power to review a penalty imposed under this Statute by the Provost (other than a decision on appeal from the Proctor) or the Vice-Chancellor	The Appeals Board of the University Council	9.2

Degrees and Other Awards Statute 2011

Function or Power	Delegation	Further Delegation	Statute Ref.
The conferring of degrees and awarding of diplomas on behalf of the University Council at Graduation Ceremonies held for this purpose	Chancellor (Pro-Chancellor or Vice-Chancellor in the absence of the Chancellor)	-	3.1
Determination of a students' right to graduate in person and the ceremony at which that may take place.	Registrar and Secretary to the Council	-	3.1
Establishment and publication of details of the circumstances in which a candidate may be allowed to defer having a qualification awarded, which shall include provision to allow the completion of a further qualification or the requirements for a further major subject for a degree.	Registrar and Secretary to the Council	-	3.2
Establishment of provisions not covered by the Statute in respect of individual University of Otago scholarships and prizes	None – power retained by Council, but also requires Senate approval	-	4.1
Award of University of Otago scholarships and prizes	Senate	Scholarships and Prizes Committee	4.2
Suspension or termination of a scholarship if the attendance and progress of a scholar is unsatisfactory	Senate	Scholarships and Prizes Committee	4.6
Delegation of powers afforded to Senate under clause 4 of the Statute	Senate	Scholarships and Prizes Committee	4.8
Admission to an honorary degree	None – power retained by Council, but also requires Senate approval	-	5.3
Issuing of criteria for the award of Hocken Library Fellowships	None – power retained by Council	-	6.2
Conferral of a Hocken Library Fellowship	None – power retained by Council, but also requires Senate approval	-	6.4
Issuing of criteria for the conferring of University of Otago Medals for Outstanding Alumni Service	None – power retained by Council	-	7.1
Conferral of a University of Otago Medal for Outstanding Alumni Service	None – power retained by Council	-	7.4
Issuing of additional criteria for making University of Otago Distinguished Alumni Awards	None – power retained by Council	-	8.1
Award of a University of Otago Distinguished Alumni Award	None – power retained by Council	-	8.4
The power to rescind any degree conferred, or diploma or Certificate awarded under clause 3 of this Statute if requirements were not met or were affected by Academic Misconduct	Vice-Chancellor	-	9.1
The power to review any decision of the Vice-Chancellor under this provision	The Appeals Board of the University Council	-	9.1
Rescinding of granting of any of the awards covered by clauses 5 to 8 of this Statute	None – power retained by Council	-	9.2

Academic Dress Statute 2011

Function or Power	Delegation	Statute Ref.
Advising of occasions at which academic dress should be worn	Vice-Chancellor	3.1(b)

Senate Statute 2011

Function or Power	Delegation	Statute Ref.
Subject to the powers reserved to the Council by Act of Parliament, take such measures and act in such a manner as shall appear to it best calculated to promote the academic work of the University both in teaching and research and for the regulation and superintendence of the education of the students of the University	Senate	5.1

Council Statute 2015

Function or Power	Delegation	Statute Ref.
As Returning Officer, prescribing a nomination form for Council elections	Registrar and Secretary to the Council	7.2
Subject to the provisions of the Statute, as Returning Officer, publishing such rules as appropriate to ensure the fair conduct of the election and of campaigning in connection with the election	Registrar and Secretary to the Council	10.1
As Returning Officer, the power to declare a candidate's nomination or election, or the entire election invalid, in the case of a breach of published rules which has, or may have had, a material effect on the outcome of the election	Registrar and Secretary to the Council	10.1
As Returning Officer, the general power to settle any question that may arise under this Statute and for which no provision is made	Registrar and Secretary to the Council	10.3
The power to decide to interview nominees and to make recommendations to Council on appointments	Nominations Committee	12.3

Note: The 'Affiliated Colleges Statute 2011' has no delegations.