

<b>Scheme of Delegation</b>	
Document title	Scheme of Delegation
Owner and lead contact	Secretary to the Governing Body
Approving body	Governing Body
Scope	Governors, external committee members, all staff
Date of approval/last review	Approved Governing Body, July 2020
Related documents	<a href="#">Financial Regulations</a> <a href="#">Articles of Association</a> <a href="#">Terms of Reference for Committees</a>
Relevant external legislation/regulation	<a href="#">HE Code of Governance</a> <a href="#">Office for Students Regulatory Framework for higher education in England</a>
Equality analysis completed	Yes 24/09/15
Next review date	June 2021

## 1. Introduction

This schedule documents where authority rests within the University for particular types of decision made in the University's name. It does not seek to replace existing constitutional and regulatory documents but draw together a framework for decision-making based on those documents and current practices, including appropriate references. The framework is not exhaustive but should assist in identifying authority levels required for decisions not explicitly listed.

The HE Code of Governance (2014 <http://www.universitychairs.ac.uk/wp-content/uploads/2015/02/Code-Final.pdf>) suggests that governing bodies adopt a clear scheme of delegation as a way of providing assurance that decisions which might have significant reputation or financial risks undergo a rigorous process of due diligence.

Staff members should read the Scheme of Delegation alongside individual role descriptions that set out in more detail the parameters of individual decision-making in specific areas.

The Scheme of Delegation is available on the University's website via the [University Secretary's Office](#), with links to the Finance and the [staff Committee pages](#).

## 2. Scope

This Scheme of Delegation applies to decisions made in the University's name and is relevant to Governors, external committee members and all staff members. It also aids transparency of decision-making for our students.

## 3. Framework and principles of delegation

- a) The powers of the University are set out in its Articles of Association. These are kept under review by the Governance and Nominations Committee.
- b) The Governing Body is ultimately responsible for decisions made in the University's name. As set out in Article 13.6, some powers are reserved to the Governing Body alone. Other powers are delegated to Governing Body committees, to the University's Academic Board or to the Vice Chancellor as the University's Chief Executive Officer. These three main routes of delegation are illustrated in the diagram appended.
- c) The University, in common with other Higher Education Institutions (HEIs), is subject to regulation by a number of bodies including the Office for Students (OfS). This scheme of delegation seeks to capture where decisions must be taken by a particular body or role holder in order to comply with external regulation. However, in the event of any disparity, the regulatory documents of the body in question should take precedence over this scheme.
- d) The Executive Board assists the Vice Chancellor in the leadership and management of the University. Within the provisions set out in the Articles of Association (Article 17) and related constitutional documents, it takes key executive decisions. The Executive Board is advised by the wider senior leadership team.
- e) In turn, members of the Executive Board delegate operational responsibilities to the senior team (Heads of Schools, Directors and Heads of Service/Deputy Directors). These designated individuals may delegate responsibility for specific aspects of management to other senior members of their teams but retain ultimate responsibility.
- f) It is the responsibility of all senior staff to be familiar with and operate within this scheme of delegation. Senior staff are also responsible for ensuring that the scheme of delegation is adhered to within their own area.
- g) Except as required under defining constitutional and regulatory documents (e.g., Articles of Association; Financial Regulations), individuals and bodies in whom authority is vested by this scheme of delegation may delegate those powers to others provided that such delegation is explicitly documented (either through policies or in individual cases) and is recorded and reported appropriately (eg. to the Chief Operating Officer in respect of financial authority levels).

#### 4. Emergency Decision making

The University has in place a [Major Incident Plan](#) which makes provision for decision-making in emergency situations. The University's Major Incident Co-ordinator is the University Secretary.

#### 5. Process for Approval and Review

The scheme of delegation will be reviewed annually by the Executive Board before submission to Governance and Nominations Committee for recommendation to Governing Body for approval. It is the responsibility of the University Secretary to keep the scheme under review.

NOTES: The table below shows the highest level of internal approval required (**bold**). Where another body has a responsibility for making recommendations to the higher body, this is also shown. Approval required by external bodies is not shown here.

'And' is used to indicate that approval is required from all named role holders. 'Or' is used to indicate that any designated role holder may make the decision.

Area of responsibility	Governing Body	Academic Board	Committee (named)	Vice Chancellor	Executive Board member (named)	Senior Team member (named)	Other Role holder
<b>Governance and compliance</b>							
Approval of Articles of Association (subject to Privy Council approval)	✓		✓ (G&N)				
Approval of Strategic Plan, including mission, vision and values	✓				✓		
Approval of Financial Regulations (University, subsidiaries and students)	✓		✓ (FCDC)				
Approval of Student Financial Regulations and Refund and Compensation Policy		✓	✓ (PC)				
Establishment or dissolution of Governing Body committee or sub-committee	✓		✓ (G&N)				
Annual accountability returns to the OfS	✓		✓ (AuC)		✓		
Appointment (and re-appointment) of internal and external auditors	✓		✓ (AuC)				
Establishment or winding up of spin-off or subsidiary company or any other venture that requires the establishment of a separate legal entity	✓		✓ (FCDC)				

Area of responsibility	Governing Body	Academic Board	Committee (named)	Vice Chancellor	Executive Board member (named)	Senior Team member (named)	Other Role holder
Use of University assets by spin-out companies			✓ (FCDC)				
Shareholding in another legal entity	✓		✓ (FCDC or G&N – depending on nature of venture)				
Review and approval of constitutional arrangements relating to the Students' Union (SU)	✓		✓ (G&N)				
Review and approval of SU audited financial statements	✓		✓ (FCDC)				
Approval of Academic Regulations		✓	✓ (QSC) ✓ (HDF), honorary degrees				
Approval of SU annual budget			✓ (FCDC)				
Constitution and terms of reference of committee or formal body and changes to the same	✓ Parent body of the committee or body	✓ Parent body of the committee or body	✓ Parent body of the committee or body				
Appointment of nominated officers for University subsidiary/associated company	✓		✓ (G&N)				
Decisions on overall management structure				✓			
University Policy	✓	✓			✓		

Area of responsibility	Governing Body	Academic Board	Committee (named)	Vice Chancellor	Executive Board member (named)	Senior Team member (named)	Other Role holder
Authorisation of external speakers under the Freedom of Speech Policy					✓ (US)		
Release of information in response to requests under the Freedom of Information Act, other than information already published through the University's Publication Scheme					✓ (US)		
Designation of major incident					✓(US)		
Release of data to third parties under the Data Protection Act					✓(US)		
Decision to enter into litigation where there is a significant reputational or financial risk	✓				✓		
<b>Senior appointments</b>							
Appointment and removal of Chancellor	✓		✓ (Appointing Committee)				
Appointment and removal of Pro Chancellor and Chairman of Governing Body	✓						
Appointment and removal Deputy Pro Chancellor and Deputy Chairman	✓						
Appointment and removal of Vice Chancellor	✓						

Area of responsibility	Governing Body	Academic Board	Committee (named)	Vice Chancellor	Executive Board member (named)	Senior Team member (named)	Other Role holder
Appointment and removal of Governing Body members	✓		✓ (G&N)				
Appointment and removal of Governing Body committee chairs			✓ (G&N)				
Policy framework for remuneration of Executive Board members	✓		✓ (RemCoSLT)	✓			
Policy framework for remuneration of the Vice Chancellor	✓		✓ (RemCoVC)				
New employment contracts/changes for Executive Board members			✓ (RemCoSLT)	✓			
New employment contract/changes for the Vice Chancellor			✓ (RemCoVC)				
Severance payment to members of Executive Board			✓ (RemCoSLT)	✓			
Severance payment to the Vice Chancellor			✓ (RemCoVC)				
New employment contracts/contractual changes for Heads of Schools and Directors				✓			
Severance payments to Heads of Schools and Directors				✓			

Area of responsibility	Governing Body	Academic Board	Committee (named)	Vice Chancellor	Executive Board member (named)	Senior Team member (named)	Other Role holder
Appointment and termination of employment of Executive Board members <sup>1</sup> excluding the Vice Chancellor			✓ (RemCoSLT)	✓			
Expenses: Vice Chancellor	✓ (Chair of FCDC or Chairman of Governing Body)						
Expenses: Executive Board members				✓			
Expenses: Governors				✓	✓ (or US)		
<b>General Staff Employment</b>							
Appointment of honorary positions as approved by Academic Board		✓			✓ (DVC)		
Academic Promotions, including the award of Emeritus Professor			✓ (Academic Promotions Committee)				
Nationally agreed cost of living pay increases				✓	✓ (COO)	✓ (or DHR)	
Termination of employment <i>On performance grounds (disciplinary or capability) indicated in italics</i>				✓	✓ (relevant member)		
Termination of employment during probationary period							✓ Prime Budget Holders

<sup>1</sup> The Governing Body has a specified role in the processes of appointment and removal of the Secretary to the Governing Body (Articles of Association)

Area of responsibility	Governing Body	Academic Board	Committee (named)	Vice Chancellor	Executive Board member (named)	Senior Team member (named)	Other Role holder
New employment contracts					✓		
Change to existing contracts (including pay increases other than nationally agreed cost of living increases)					✓ or relevant EB member and DHR		
Individual severance payments					✓ relevant member of EB advised by DHR		
New payroll deduction schemes					✓ (COO or DHR)		
Additional, non-contractual payroll payments to staff					✓ (COO)		
Advances to employees in cases of hardship due to administrative error or delay					✓ (COO)		✓ (or HHR)
Repayment plans for payroll debt (current employments) <i>For past employees shown in italics</i>					✓ (COO) ✓(COO)		✓ (or HHR)
Expenses: staff							✓ ( Prime Budget Holder)
<b>Student matters</b>							
Student tuition fees, other fees	✓		✓ (PC)				
Accommodation fees			✓ (PC)				

Area of responsibility	Governing Body	Academic Board	Committee (named)	Vice Chancellor	Executive Board member (named)	Senior Team member (named)	Other Role holder
Admissions Policy		✓					
New awards, including joint awards		✓					
New programme of study or major amendment			✓ (QSC)				
Minor amendment to programme of study			✓ (QSC/PASP)				
Suspension or withdrawal of programme of study				✓		✓	
Decision to amend Student Protection Plan resulting from increased risk to continuation of studies			✓ (RRP)				
Policies and procedures relating to the assessment of students			✓(QSC)				
Award of degrees and other awards to individuals			✓ (BEPA)				
Determination of student academic appeals			✓ (SACC)				
Determination of student academic misconduct cases			✓ (SACC)				
Determination of student discipline cases			✓ (SACC)		✓ (US)		
Appointment of external examiners			✓ (QSC)				
Determination of student complaints						✓	

Area of responsibility	Governing Body	Academic Board	Committee (named)	Vice Chancellor	Executive Board member (named)	Senior Team member (named)	Other Role holder
Final right of appeal in relation to all student cases				✓			
Decisions relating to refunds of fees or compensation in relation to student complaints					✓ (COO) ✓ (US)		
Authorisation of press releases and media interviews				✓		✓ (HPACC)	
<b>Financial and budgetary matters, including capital investment</b>							
Sale or purchase of estate, all property leases granted to or by the University	✓						
Annual budget	✓		✓ (FCDC)		✓		
Annual accounts	✓		✓ (AuC)				
Financial transactions over £500k (see below regarding bids)	✓						
Bids for funds over £500k (e.g., research bids)				✓	and ✓ (COO)		
Investments other than cash deposits	✓						
Hedging on borrowings for more than 6 months			✓ (FCDC)		✓		
Approval of new overdraft, revolving credit facility, mortgage or other borrowing facilities	✓		✓ (FCDC)				

Area of responsibility	Governing Body	Academic Board	Committee (named)	Vice Chancellor	Executive Board member (named)	Senior Team member (named)	Other Role holder
Financial transactions between £100,001 and £500k				✓			
Financial transactions between £25,001 and £100k					✓(COO or DVC)		
Financial transactions up to £25k					✓ (plus Directors)		
Severance payments (overall envelope for restructuring specified within budget)	✓		✓ (FCDC)				
Acceptance of donations valued at >£25k				✓		✓ (HPACC and DF)	
Acceptance of donations valued at <£25k						✓(HPACC and DF)	
Licensing of intellectual property					✓(US)		
Debt write-off, payroll debt write off, up to £5k						✓ (DF)	
Debt write-off, including payroll debt write off, over £5k					✓ (COO)		
Open/close bank account or set up a bank mandate					✓ (COO)		
<b>Partnerships and affiliations</b>							
Award of honorary degrees and fellowships		✓	✓ (HDF)				
Formal Franchise or validation partnership agreement		✓	✓ (QSC)				

Area of responsibility	Governing Body	Academic Board	Committee (named)	Vice Chancellor	Executive Board member (named)	Senior Team member (named)	Other Role holder
Memorandum of Understanding			✓ (DDC)	✓ (	✓ (PVCAI)		
Exchange Agreements			✓ (DDC)	✓			
Affiliation of the University to national bodies and consortia				✓			
Use of University logo, including its use by partners						✓ (HPACC)	
Statement of Intent					✓ (US)		
Research agreements (subject to sign-offs relating to financial thresholds)						Head of School	
Material Transfer Agreements (biomedical materials)						Head of School	
<b>Legal contracts</b>							
Contracts not subject to special treatment by virtue of type or value as specified elsewhere				✓			
Contracts requiring data sharing agreements (irrespective of financial value)					✓ (US as DPO or EB member of relevant area)		
Eviction notice				✓			

## **Abbreviations**

### **Committees**

EB – Executive Board  
AuC – Audit Committee  
CPP – Compensation Plan Panel  
FCDC – Finance and Capital Development Committee  
G&N – Governance and Nominations Committee  
RemCoSLT – Remuneration Committee (Senior Leadership Team)  
RemCoVC – Remuneration Committee (Vice Chancellor)  
PC - People Committee  
QSC – Quality and Standards Committee  
PASP – Programme Amendments Scrutiny Panel  
RRP – Risk Review Panel  
BEPA – Board of Examiners for Progress and Award  
SACC – Student Appeals and Conduct Committee  
HDF – Committee on Honorary Degrees and Fellowships  
DDC – Due Diligence Committee

### **Individuals**

COO – Chief Operating Officer, Rob Hickey  
HPACC –, Head of Public Affairs and Corporate Communications, Adam Hewitt  
DF – Director Finance, Joe McCarthy  
DVC – Deputy Vice Chancellor, currently vacant  
DHR – Director Human Resources, Sally Marlow  
HHR – Head of Human Resources, Jo Thompson  
PVCAI – Pro Vice Chancellor Academic and International, Professor Mark Edwards  
US – University Secretary, Dr Amanda Wilcox  
VC – Vice Chancellor, Professor Karen Bryan OBE

# Framework for delegation of powers from Governing Body

