

University of Plymouth

Schedule of Delegation

In order for the University to operate effectively, staff at all levels need to be confident of the decision-making authority, which has been delegated to them. The purpose of this Schedule of Delegation is to set out where authority to take particular decisions or actions in the name, or on behalf, of the University of Plymouth lies within the institution.

Where an issue arises which is not addressed by the Schedule, please refer to the University Registrar & Secretary "Registrar and Secretary".

1 Structure of this Schedule

This Schedule is structured in four columns as follows:

The first column identifies in general terms the type of decision/action	The second column identifies the party to initiate the relevant decision/ action	The third column identifies the party with ultimate responsibility for that decision/action	The fourth column identifies the party charged with implementing the relevant decision/ action or signing the relevant document
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A Schedule of Financial Limits (which is referred to in the Schedule of Delegation) is incorporated in Appendix B to the University's Financial Regulations (the Financial Regulations [are available here.](#))

This Schedule addresses activities by area under the following headings:

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2 University Structure

- 2.1 The respective responsibilities of the Board of Governors and its committees, the Vice-Chancellor and Chief Executive "**Vice Chancellor**" (and UEG members) and the Senate and its committees are set out in the University's **Instrument & Articles of Government**, as supplemented by the University's **Bye-laws** and **this Schedule**.
- 2.2 The **Board of Governors'** principal responsibilities (which cannot generally be delegated) include the approval of the University strategy (and associated plans and budgets); oversight of the governance framework; monitoring institutional and executive performance; and determining major business decisions and corporate policies. The **HE Code of Governance** of the **Committee of University Chairs (CUC)**, allows the Board of Governors:

'to delegate authority to the head of the institution, as chief executive, for the academic,

corporate, financial, estate and human resource management of the institution. And to establish and keep under regular review the policies, procedures and limits within such management functions as shall be undertaken by and under the authority of the head of the institution’.

- 2.3 The **Senate** is responsible to the **Board of Governors** for academic governance, and specifically for regulating the maintenance and enhancement of academic standards, the admission of students, the curriculum and its delivery and assessment, and the award of degrees and other qualifications. Operational responsibility for these matters is generally delegated to the Senate’s committees.
- 2.4 The **University Executive Group (UEG)** is the advisory body to the Vice-Chancellor to support the exercise of her/his responsibilities. As such, UEG develops and implements the University’s strategy and is responsible for its operations, management and overall performance. In particular, UEG reviews, approves and implements key University projects, monitors the University’s financial performance and key performance indicators (which are then reviewed by the Board of Governors) and assesses the wider HE policy environment. UEG includes the Vice-Chancellor, the University **‘Registrar & Secretary’**, Deputy Vice-Chancellors, the Chief Financial Officer and the Executive Deans.
- 2.5 The **Vice-Chancellor** is the principal, chief executive and senior academic officer of the University and is responsible to the **Board of Governors** for all aspects of the University’s operational management within the framework set out in:
- the University’s **Instrument and Articles of Government, and Bye-laws**
 - this **Schedule of Delegation**
 - the University’s **Financial Regulations** (including the **Schedule of Financial Limits**)
 - the CUC’s **HE Code of Governance**, and
 - the **Terms and Conditions of Funding for Higher Education Institutions and Terms of Conditions of Research England Grant issued by the Office for Students and Research England**

The **Vice-Chancellor** delegates responsibility for specific aspects of the University’s management to members of UEG but retains ultimate responsibility for their work.

- 2.6 The **Executive Deans** are responsible for the leadership and overall management of their respective faculties in accordance with their job descriptions and the University’s policies and procedures (including its Financial Regulations). They delegate responsibility for specific aspects of faculty management to Heads of School and other faculty members but remain ultimately responsible for the management of their faculties

- 2.7 The Registrar & Secretary shares the responsibility for the leadership and overall management of the professional services areas with the Chief Financial Officer. The Registrar and Secretary is responsible for the following PSLT services (Academic Registry, Academic Partnerships, Library and Educational Development, Planning and Analytics and Research and Innovation) in accordance with the University's policies and procedures. They delegate responsibility for specific aspects of service management to the **Heads of the Directorates** (this term includes chief officers and directors of professional services areas) but remain ultimately responsible for the management and provision of these services. **The Registrar and Secretary acts as secretary to the Board and are the "Secretary" for the purposes of the Instrument.**
- 2.8 The **Chief Financial Officer** In addition the Chief Financial Officer shares joint responsibility for the leadership and overall management of the professional services with the University Registrar and Secretary, specifically Technology and Information Services, Estates and Facilities, Human Resources, Finance and Procurement. They delegate responsibility for specific aspects of service management to the **Heads of the Directorates** but remain ultimately responsible for the management and provision of these services. The Chief Financial Officer is responsible for the University's financial strategy, sustainability, management and conduct of the University, the maintenance of its financial records and the production of its financial statements and accounts, in accordance with the University's policies and procedures (including its Financial Regulations), They delegate responsibility for specific aspects of these functions to members of the Finance Department but remain ultimately responsible for the management and provision of these services.
- 2.9 The **Schedule of Financial Limits** (which is contained in Appendix B to the Financial Regulations) sets out the authority required for specified levels of expenditure.

3 Exercising Authority under this Schedule

- 3.1 The aim of this Schedule is to provide a clear and transparent line of authority with regard to the University's decision-making. The Schedule aims to provide University staff with assurance and protection by confirming the extent of their authority, alongside providing assurance to third parties and regulators.
- 3.2 Those exercising authority must do so in a consultative manner, obtaining advice and information from colleagues where relevant and adhere to the "Nolan" principles of public life (i.e. selflessness, integrity, objectivity, accountability, openness, honesty and leadership) and must act in the best interests of the University.
- 3.3 All decisions or actions taken under delegated authority must be recorded in writing and should be open to audit or scrutiny.
- 3.4 Those with authority to take a particular decision or action under this Schedule can sub-delegate that decision or action to others if this is not prohibited under the University's Instrument and Articles, its Byelaws or this Schedule, is consistent with the University's Financial Regulations and other regulations and is properly recorded and reported under those regulations. The person or body who sub-delegates in this way remains accountable for the decision or action so delegated.
- 3.5 Those responsible for taking a decision are entitled to rescind or review that decision if no actions have already been taken or positions compromised on the basis of it.

3.6 Where a particular body or committee holds authority under this Schedule, the Chair of that body/committee can decide the matter via Chair’s action. Chair’s action can be taken, in accordance with the Bye-laws, in situations where, for example, the matter is routine and does not require further discussion, or involves the implementation of a decision already taken by the relevant body/committee, or requires immediate action and should not be deferred until the next ordinary meeting of that body/committee (paragraph F6.2 of the Bye-laws). Alternatively, a special meeting of that body/committee may be convened (paragraph F2 of the Byelaws) or a resolution passed by e-mail (paragraph F6.1).

4 Interpretation

For the purposes of interpreting this Schedule (and the Schedule of Financial Limits), please note that unless otherwise expressly stated:

- 4.1 where the “**Vice-Chancellor**” is referred to as the Responsible Authority, they may seek the advice of UEG or specific members of UEG with appropriate authority in making relevant decisions.
- 4.2 where financial limits, amounts or values are specified in this Schedule or in the Schedule of Financial Limits with respect to particular types of contracts, transactions or other matters for authorisation purposes, any assessment of whether any such limit, amount or value has been exceeded or is otherwise applicable should take into account contracts, transactions or matters which are related or which should reasonably be regarded as part of the same substantive transaction or matter. Accordingly, a single contract, transaction or matter should not be sub-divided into smaller components for the purposes of bringing it within a financial limit, which would not otherwise have applied;
- 4.3 references to “**the University**” include all wholly owned subsidiaries of the University and any other entities in which the University has a controlling interest in its management or ownership;
- 4.4 reference to an “**associated company or entity**” means a corporate or other body in which the University has a minority shareholding or other stake or non-controlling interest in its management or ownership; and references to the “**capital projects committee**” mean any executive committee responsible for oversight of capital projects and programmes from time to time, by whatever name called.

5 Record of Amendments

Version	Date	Author	Changes
0.1	17.5.2015	Claire Daniells	Development of initial template
0.2	3.6.2015	Claire Daniells	Content added, incorporating feedback from stakeholders
0.3	4.6.2015	Jane Hopkinson	Final version for approval by UEG and Board of Governors
1.0	22.7.2015	Jane Hopkinson	Final version approved by Board
2.0	29.03.2018	Matthew Jackson/Sonia Burgess	Revised version prepared and approved by the Board of Governor

3.0	2020	Gordon Stewart/Emma Hellingsworth	Revised version prepared and to be approved by the Board of Governors
4.0	Nov 2021	Louise Parr-Morley/ Emma Hellingsworth	Revised version prepared for approval by the Board of Governors

Interim Chief Financial Officer November 2021

University of Plymouth: Schedule of Delegation

1. Governance and Compliance

	Key Decision or Activity	Initiating Authority (i.e., first port of call)	Responsible Authority (i.e., body with ultimate responsibility)	Implementation/Signing Authority
1.1	Instrument & Articles of Government – adoption and revision	Registrar & Secretary to consult Vice-Chancellor and Senate.	Board of Governors; then Privy Council to approve.	Registrar & Secretary.
1.2	University Bye-laws – adoption and revision	Registrar & Secretary to make minor amendments subject to approval of Chair of Board/Chair of Senate (see paragraph J2.3 of Byelaws). Registrar & Secretary to initiate other changes in consultation with Vice-Chancellor and (for provisions <i>re</i> Senate and its committees) Senate.	Board of Governors.	Registrar & Secretary (in line with paragraph J2.3 of Byelaws).
1.3	Change of institutional title (currently “University of Plymouth”)	Registrar & Secretary to initiate; then Vice-Chancellor to make proposals.	Board of Governors, then Privy Council to approve.	Registrar & Secretary.
1.4	Change of trading/operating name (currently “University of Plymouth”)	Registrar & Secretary to initiate; then Vice-Chancellor to make proposals.	Board of Governors.	Registrar & Secretary.
1.5	Documents to be executed under University seal	Requests for execution of all University deeds to Registrar & Secretary. Seal to be retained by Registrar & Secretary.	Board of Governors. Annual report on use of seal to Board of Governors.	Registrar & Secretary to be responsible for custody and use (in accordance with Byelaws). Administrative functions (<i>including</i> recording use of seal) may be delegated to the Clerk to the Board.
1.6	Board of Governors - (1) terms of reference composition and membership (For appointments, see Sections 3.4– 3.5)	(As set out in Instrument & Articles and paragraph D1 of Bye-laws) Registrar & Secretary to initiate changes; then Nominations Committee to make recommendation.	Terms in Instrument & Articles: Board of Governors; then Privy Council to approve. Terms in Byelaws: Board of Governors.	Registrar & Secretary.

1.7	Board Committees - formation, designation, terms of reference, composition/membership, deletion	(As set out in paragraph D of Bye-laws) Registrar & Secretary to initiate changes; then Nominations Committee to make recommendation.	Board of Governors.	Registrar & Secretary.
1.8	Processes to monitor/evaluate performance and effectiveness of: (1) Board of Governors (2) Board Committees	Registrar & Secretary to initiate. Nominations Committee to supervise.	Board of Governors.	Registrar & Secretary and relevant Committee Chair. (1) Annual internal effectiveness reviews and external reviews every four years. (2) Internal effectiveness reviews at least every two years.
1.9	Register of Interests	Governors to complete on initiation and update as necessary. Annual update to Registrar & Secretary. Annual review as part of external audit.	Board of Governors.	Registrar & Secretary to supervise. Administrative functions may be delegated to the Clerk to the Board.
1.10	Senate – (1) terms of reference (2) composition and membership (For appointments, see Section 3.7)	(As set out in Instrument & Articles and paragraph E1 of Bye-laws) The Academic Registrar in consultation with the Registrar & Secretary to initiate changes; then Vice-Chancellor to make recommendation to Senate.	Terms in Instrument & Articles: Board of Governors, then Privy Council to approve. Terms in Byelaws: Board of Governors.	Registrar & Secretary. Academic Registrar to undertake implementation and signing authority as appropriate and directed by the Registrar and Secretary, along with those administrative functions arising in their role as Clerk to the Senate.
1.11	Senate committees - formation, designation, terms of reference, composition/membership, deletion	(As set out in paragraph E of Bye-laws) The Academic Registrar in consultation with the Registrar & Secretary or Chair of relevant Senate committee to initiate changes; then Vice-Chancellor to make recommendation to Senate	Terms in Byelaws: Board of Governors. Otherwise Senate to decide and report to Board of Governors.	Registrar & Secretary. Academic Registrar to undertake implementation and signing authority as appropriate and directed by the Registrar and Secretary, along with those administrative functions arising in their role as Clerk to the Senate.

1.12	Compliance with the Terms and Conditions of OfS Funding for HEIs and related financial requirements (including compliance with duties as OfS's Accountable Officer	Chief Financial Officer to initiate.	Vice-Chancellor (as accountable officer). Vice-Chancellor to report to, and consult, Board of Governors if any actions/ proposals non-compliant.	Chief Financial Officer.
1.13	Compliance with CUC HE Code of Governance	Registrar & Secretary to initiate supervise annual review and report to Board of Governors via the Audit Committee.	Board of Governors (following recommendation of the Audit Committee)	Registrar & Secretary. Administrative functions may be delegated to the Clerk to the Board.
1.14	Charities Acts requirements	Vice-Chancellor, Registrar & Secretary, Chief Financial Officer or Head of Legal and Compliance to initiate; then Vice-Chancellor to make recommendation to Audit Committee.	Board of Governors (taking account of recommendation of Audit Committee).	Registrar & Secretary. Functions may be delegated to Head of Legal and Compliance (as appropriate).
1.15	Information Governance, including Data Protection , <i>including</i> : (1) information and information governance/data management, quality and security issues; Freedom of Information (<i>including</i> classification of information and University Publication Scheme)	Registrar & Secretary (as Senior Information Risk Owner) to initiate, in consultation with the Director of IT and Data Protection Officer (1) Information and Digital Committee to consider and make recommendation to Vice-Chancellor. (3) Data Protection/Freedom of Information Specialist.	Board of Governors (taking account of recommendation by the Audit Committee) Vice-Chancellor. Annual Information Governance Update to Audit Committee.	(1) IT Director or Data Protection Officer (2) Signatory and implementation of data sharing agreements: Relevant Executive Dean/Head of Directorate. (3) Registrar & Secretary. Functions may be delegated to Data Protection/Freedom of Information Specialist. Chief Financial Officer to carry out FoI internal reviews, following an appeal against a decision.
1.16	Health and Safety of staff, students and third parties on University or related premises (<i>including</i> monitoring compliance and incident management and suspension, and closure of facility, school, institute or activity on health and safety grounds)	Registrar & Secretary and/or Head of Health and Safety to initiate; then University Safety Committee to review and make recommendation.	Vice-Chancellor. Vice-Chancellor to report serious incidents to Board of Governors. Board Health and Safety Assurance Committee to provide assurance to Board	Registrar & Secretary. Functions may be delegated to Head of Health and Safety. All staff and students have individual responsibility for health and safety. Annual health and safety report to Board of Governors. (4) Annual report from Board Health and Safety Assurance Committee

1.17	Regulatory licences/ethical approvals and sponsorship of clinical investigations, research and clinical trials involving human participants (<i>including</i> under the Human Tissue Act 2004, Animals Scientific Procedures Act 1986) – obtaining and revision	Relevant licence holder to initiate and report to Deputy Vice-Chancellor (Research & Enterprise).	Deputy Vice-Chancellor (Research & Enterprise) to report annually to Board of Governors.	Deputy Vice-Chancellor (Research & Enterprise) and relevant licence holder.
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2. Strategy and Policy

	Key Decision or Activity	Initiating Authority (i.e., first port of call)	Responsible Authority (i.e., body with ultimate responsibility)	Implementation/Signing Authority
2.1	Adoption and revision of University's: (1) vision, mission and strategy (<i>including</i> the University's corporate strategy) (2) key performance indicators (KPIs)	Vice-Chancellor to initiate, consult Senate (as appropriate) and make proposals to Board of Governors.	Board of Governors.	Vice-Chancellor.

2.2	Monitoring and evaluation of University's performance against KPIs and approved plans (to be benchmarked against comparable institutions)	UEG to supervise and report to Board of Governors on annual basis or as requested by Board.	Board of Governors.	Deputy Vice-Chancellor (International & Planning). Relevant UEG members to be responsible for performance of KPIs.
2.3	Strategic Risk Register and risk management policy – adoption and revision	Registrar & Secretary to initiate and consult relevant UEG members responsible for respective risks and UEG Risk Review Group; then Vice-Chancellor (VIA UEG) to make proposals to Audit Committee.	Board of Governors (taking account of recommendation of Audit Committee).	Registrar & Secretary and relevant UEG members responsible for risks.
2.4	Value for money strategy and arrangements for securing economy, efficiency and effectiveness – adoption and revision	Chief Financial Officer to initiate; then Vice-Chancellor to make proposals to Audit Committee.	Audit Committee to review the Annual Value for Money Report.	Chief Financial Officer. To report to Audit Committee.

3. Staff and Human Resources

	Key Decision or Activity	Initiating Authority (i.e., first port of call)	Responsible Authority (body with ultimate responsibility)	Implementation/Signing Authority
3.1	(1) Adoption and revision of Human resources / staff recruitment strategies (including any University headcount initiatives such as Voluntary Leaving/Voluntary Severance)	HR Director to initiate (in consultation with trade unions as appropriate); then Vice-Chancellor.	Vice-Chancellor advised by the University Executive Group (taking account of recommendation of HR Director).	HR Director.
3.2	Adoption and revision of staff policies relating to: (2) (1) dismissal/redundancy or potentially leading to termination of employment (3) (2) suspension (4) (3) conduct and discipline (5) (4) grievances (6) (5) progression and promotion (7) (6) rewards (8) (7) promotion of equality of opportunity and diversity	HR Director to initiate (consult trade unions as appropriate) and make proposals through Chief Financial Officer ; then Vice-Chancellor.	Vice-Chancellor advised by the University Executive Group (taking account of the recommendation of the HR Director).	HR Director.
3.3	Approval of, and changes to, general terms and conditions of employment (including pension arrangements)	HR Director to initiate (in consultation with trade unions and Reward & Remuneration Committee as appropriate) and make recommendation.	Vice-Chancellor (within strategies/policies referred to in Sections 3.1 and 3.2, and taking account of recommendation of Reward & Remuneration Committee, as appropriate).	HR Director.
3.4	Approval of recommended nationally-negotiated annual pay award	HR Director.	Vice-Chancellor may accept, reject or modify recommendation. Reward & Remuneration Committee to consider for executive members.	HR Director to implement in accordance with HR policies and procedures.

	Key Decision or Activity	Initiating Authority (i.e., first port of call)	Responsible Authority (body with ultimate responsibility)	Implementation/Signing Authority
3.5	<p>Appointment, appointment terms (<i>including</i> audit fees, audit strategy, nature/scope of audit and provision of non-audit services), appraisal and dismissal/removal/ resignation of:</p> <p>(1) external auditors (2) internal auditors</p>	<p>Chief Financial Officer to initiate. Audit Committee to review and make recommendation (after appointment/ procurement process). Tendering for the external audit function to be overseen by Audit Committee in line with OfS/CUC guidance.</p>	<p>Board of Governors (taking account of recommendation of Audit Committee).</p>	<p>Chief Financial Officer to give subsequent directions to, appraise and supervise internal/external auditors and to report any issues to Audit Committee. Any proposal for termination of appointment to be reported by Audit Committee to Board of Governors for approval.</p>
3.6	<p>Appointment, induction/training, appraisal, grievance, discipline, suspension and dismissal/removal/ resignation/voluntary severance of:</p> <p>(1) Chair of Board of Governors (2) Vice-Chair of Board of Governors (3) Senior Independent Governor</p>	<p>Appointment/election process in accordance with paragraph G3 (for Chair) or G4 (for other officers) of Byelaws. Nominations Committee to supervise process and make recommendation.</p>	<p>Board of Governors (taking account of recommendation of Nominations Committee). Current Chair of Board may provide background information to candidates for role of Chair but must not to participate in decision to appoint successor. Neither Chair nor Vice-Chair to participate in appointment of Senior Independent Governor (paragraph G4.2 of Byelaws).</p>	<p>Registrar & Secretary to arrange appointment in accordance with Byelaws. Chair/Vice-Chair of Board or Senior Independent Governor (as appropriate) to arrange training and appraisal and to report any issues to Nominations Committee. Any proposal for termination to be reported by Nominations Committee to Board of Governors for approval.</p>
3.7	<p>Appointment, induction/training, appraisal, grievance, discipline, suspension and dismissal/removal/resignation/voluntary severance of:</p> <p>(1) independent governors (2) staff governors (3) student governors</p>	<p>(1) Registrar & Secretary to initiate appointment process and report to Nominations Committee, which supervises process and makes recommendation. (2) Two academic staff to be nominated by Senate from within its membership, and one professional services member of staff to be co-opted after election by professional services staff. (3) To be nominated by Students' Union.</p>	<p>Board of Governors (taking account of recommendation of Nominations Committee).</p>	<p>Registrar & Secretary to arrange appointment, training and appraisal and report to Nominations Committee any issues arising.</p>

	Key Decision or Activity	Initiating Authority (i.e., first port of call)	Responsible Authority (body with ultimate responsibility)	Implementation/Signing Authority
3.7 (cont)	(4) Chairs and Vice-Chairs of Board Committees	(4) Registrar & Secretary to initiate appointment/election process in accordance with paragraph G4 of Bye-laws, and to report to Nominations Committee which supervises process and makes recommendation.		Appointment in (4) to comply with paragraph G4 of Bye-laws. Any proposal for termination of appointment to be reported by Nominations Committee to Board of Governors for approval.
3.8	Financial allowances for Governors	Individual governor to make claim for expenses or compensation for loss of earning, in exceptional circumstances (Byelaws para. H3) to Chief Financial Officer.	Chair of Board to decide expenses claims (taking account of recommendation of Chief Financial Officer). Any request for compensation for loss of earnings to be decided by Chair of Board, Chair of Finance Committee and Vice-Chancellor in accordance with paragraph H3 of Byelaws.	Governors' expenses and allowances to be paid in accordance with Part H of Bye-laws. Chief Financial Officer
3.9	Appointment (<i>including</i> election/selection), induction/training, appraisal, grievance, discipline, suspension and dismissal/removal/redundancy/resignation/voluntary severance of members of Senate and Chairs of Senate Committees	Registrar & Secretary or Vice-Chancellor to initiate.	Senate.	Registrar & Secretary to arrange appointment in accordance with Part E of Bye-laws. Administrative functions may be delegated to the Academic Registrar as Clerk to Senate. Termination and other issues to be addressed in accordance with employment terms of relevant University staff member and HR policies and procedures

	Key Decision or Activity	Initiating Authority (i.e., first port of call)	Responsible Authority (body with ultimate responsibility)	Implementation/Signing Authority
3.10	Appointment, employment terms (<i>including</i> remuneration, Performance-Related Pay (if applicable) and variations), induction/training, appraisal, grievance, discipline, suspension and dismissal/removal/redundancy/resignation/voluntary severance of Vice-Chancellor	<p><i>Appointment and term</i> to be in accordance with Part B of Byelaws and HR policies and procedures. Terms of employment and any changes to be approved by Reward & Remuneration Committee.</p> <p><i>Termination:</i> Chair of Board to initiate termination in consultation with Chancellor, Registrar & Secretary, HR Director and Head of Legal and Compliance (as appropriate) and in accordance with HR policies and procedures, and to make proposal to Nominations Committee.</p>	Board of Governors (taking account of recommendation of Nominations Committee and Reward & Remuneration Committee, as appropriate).	<p>Registrar & Secretary and HR Director to arrange appointment.</p> <p>Chair of Board to sign appointment letter.</p> <p>Registrar & Secretary (or authorised representative) to arrange training.</p> <p>Chair of Board to conduct appraisal, consult all governors about objectives and performance in accordance with HR procedures, and report outcomes to Reward & Remuneration Committee (other than confidential matters).</p> <p>Chair of Board to report any issues to Nominations Committee.</p> <p>Chair of Board, Registrar & Secretary and HR Director to implement termination of appointment.</p>

	Key Decision or Activity	Initiating Authority (i.e., first port of call)	Responsible Authority (body with ultimate responsibility)	Implementation/Signing Authority
3.11	<p>Appointment, employment terms (<i>including</i> remuneration, Performance-Related Pay (if applicable) and variations), induction/training, appraisal, promotion, grievance, discipline, suspension and dismissal/removal/redundancy/resignation/voluntary severance of:</p> <p>(1) Deputy Vice-Chancellors (2) Registrar & Secretary (3) Chief Financial Officer (4) Executive Deans (5) Other University officers reporting directly to the Vice-Chancellor as appointed from time to time</p>	<p><i>Appointment (including interim appointments) and term</i> to be in accordance with Part B of Byelaws and HR policies and procedures. Terms of employment (and any changes) to be approved by Reward & Remuneration Committee.</p> <p><i>Termination:</i> Vice-Chancellor to initiate termination of appointment in consultation with Chief Financial Officer (except case 3), HR Director and Head of Legal and Compliance (as appropriate) and in accordance with HR policies and procedures.</p>	<p><i>Appointment etc.:</i> Vice-Chancellor (taking account of recommendation of Reward & Remuneration Committee and following appointment process); to report appointments to Board of Governors and all staff.</p> <p><i>Termination:</i> Vice-Chancellor to approve and report to UEG, Senate and Board of Governors.</p>	<p>Vice-Chancellor or HR Director to arrange appointment.</p> <p>Vice-Chancellor to sign appointment letter. Vice-Chancellor or HR Director to arrange training.</p> <p>Vice-Chancellor to conduct appraisals and report outcomes to Reward & Remuneration Committee (other than confidential matters).</p> <p>Office-holder may delegate functions and powers, subject as provided in Instrument & Articles, Byelaws and employment terms.</p> <p>Vice-Chancellor, Chief Financial Officer (except case 3) and HR Director to implement termination.</p>
3.12	<p>Restructuring of professional services</p> <ul style="list-style-type: none"> - For suspension/closure of facility, school, institute or activity on health and safety grounds, see Section 1.17. - For restructuring of Academic staff, see Sections 4.6 and 4.7. 	<p>Chief Financial Officer and Registrar & Secretary or HR Director to initiate (in consultation with trade unions as appropriate) and make proposals to Vice-Chancellor.</p>	<p>Vice-Chancellor.</p>	<p>Chief Financial Officer and Registrar and Secretary who may delegate to Head of relevant Directorate and HR Director.</p>

4 Students, Teaching & Learning and Quality & Standards

	Key Decision or Activity	Initiating Authority (i.e., first port of call)	Responsible Authority body with ultimate responsibility	Implementation/Signing Authority
4.1	Approval of Students' Union constitution and bye-laws	Registrar & Secretary to consult Deputy Vice-Chancellor (Education & Student Experience) and Students' Union, and make recommendation	Board of Governors to review every five years or as referred by Registrar & Secretary.	Registrar & Secretary to monitor Students' Union constitution and Byelaws and report to Board of Governors (as appropriate).
4.2	Review of Students' Union's : (1) audited accounts (2) annual budgets (3) annual reports (non-financial) (4) general compliance with section 22, Education Act 1994 – to operate “in a fair and democratic manner and [to be] accountable for its finances”	(1) & (2) Chief Financial Officer to review (in consultation with Students' Union) and to make recommendation to Audit Committee. (3) Registrar & Secretary to review (in consultation with Students' Union) and to make recommendation to Audit Committee. (4) Registrar & Secretary and/or Chief Financial Officer to supervise liaise with Students' Union and report to Audit Committee.	Board of Governors (taking account of recommendation of Audit Committee).	(1) Board of Trustees of Students' Union. (2) Chief Financial Officer to monitor Students' Union's expenditure against budgets and report to Audit Committee. (3) Registrar & Secretary to monitor and report to Audit Committee. (4) Registrar & Secretary and/or Chief Financial Officer to monitor.
4.3	Promotion of equality of opportunity and diversity for students (cf Section 3.2(7))	Deputy Vice-Chancellor (Education & Student Experience) to initiate; then Student Life Committee to make recommendation (in line with its terms of reference).	Senate (taking account of recommendation of Student Life Committee). Board of Governors to approve equality and diversity strategy.	Relevant Executive Dean.
4.4	Adoption, publication, revision and deviation/waiver of Academic Regulations	Academic Registrar to initiate. Academic Regulations Sub-Committee to consider and make proposals to Teaching, Learning & Quality Committee (in line with its terms of reference). - If minor, Teaching, Learning & Quality Committee to agree. If major, Teaching, Learning & Quality Committee to make recommendation to Senate.	Senate (taking account of recommendation of Teaching, Learning and Quality Committee for major changes).	Deputy Vice-Chancellor (Education & Student Experience) who may delegate to relevant Executive Dean or Head of School.

	Key Decision or Activity	Initiating Authority (i.e., first port of call)	Responsible Authority body with ultimate responsibility	Implementation/Signing Authority
4.5	Regulations relating to research /research degrees – adoption, publication, revision and deviation/waiver	Deputy Vice-Chancellor (Research & Enterprise) to initiate and make proposals to Research & Innovation Committee (in line with its terms of reference). <ul style="list-style-type: none"> - If minor changes, Research & Innovation Committee to agree. - If major changes, Research & Innovation Committee to make recommendation to Senate. 	Senate (taking account of recommendation of Research & Innovation Committee for major changes).	Deputy Vice-Chancellor (Research & Enterprise) who may delegate to relevant Executive Dean or Head of School.
4.6	Establishment (including approval of constitution), material restructuring and closure/dissolution of faculty, school or institute , and any other academic restructuring (excluding <ul style="list-style-type: none"> - suspension or closure of facility, school or institute or activity on health and safety grounds - see Section 1.17. - closure or suspension of programme - see Section 4.7) 	Relevant Executive Dean to initiate and consult Deputy Vice-Chancellor (International & Planning) and trade unions (as appropriate). Subject to Vice Chancellor's approval, Academic Development & Partnerships Committee to make proposals to Senate.	Vice-Chancellor following consultation with Senate (taking account of recommendation of Academic Development & Partnerships Committee, as relevant). In the case of any proposals to introduce a new discipline area (with significant resource implications) or to close a discipline area which may have an impact on the University's reputation or which may lead to significant redundancies the Board of Governors shall be consulted by the Vice-Chancellor prior to any decision being made.	Deputy Vice-Chancellor (International & Planning) who may delegate to relevant Executive Dean and HR Director.
4.7	Closure/withdrawal or suspension of programmes (cf Sections 1.17 and 4.7)	Deputy Vice-Chancellor (Education & Student Experience) to initiate and, subject to approval of the Vice-Chancellor, consult: <ul style="list-style-type: none"> - Teaching, Learning & Quality Committee and/or Academic Development & Partnerships Committee (as appropriate and in each case in line with their respective terms of reference); 	Senate (normally delegating the decision-making to Teaching, Learning & Quality Committee and/or Academic Development & Partnerships Committee, as appropriate). Board of Governors to be consulted on any proposals: <ul style="list-style-type: none"> - to close or withdraw programmes which may give 	Deputy Vice-Chancellor (Education & Student Experience) who may delegate to relevant Executive Dean and HR Director.

			rise to reputational impact, or which might lead to significant redundancies.	
4.8	Adoption and revision of policies and procedures for: (1) Student complaints and grievances (2) Student conduct and discipline (<i>including</i> procedures for suspension and exclusion/expulsion) (3) Student conduct and discipline within student accommodation (<i>including</i> procedures for suspension and exclusion/expulsion)	Registrar & Secretary to initiate and consult Deputy Vice-Chancellor (Education & Student Experience), the Students' Union and Student Life Committee (in line with its terms of reference); then Teaching, Learning & Quality Committee to make recommendation.	(1) & (2) Senate (taking account of recommendation of Teaching, Learning & Quality Committee). (3) Vice-Chancellor.	Student Complaints and Appeals Office to administer: (1) student disciplinary cases in line with Student Code of Conduct; and (2) cases and appeals in line with complaints procedure and to make annual report to Teaching, Learning & Quality Committee, Senate and Board of Governors. (3) Head of Residential Accommodation.
4.9	Exclusion/expulsion from the University for: (1) academic reasons (2) disciplinary reasons (3) non-payment of fees	(1) and (2) Relevant Executive Dean or Head of School to initiate, in consultation with Deputy Vice-Chancellor (Education & Student Experience). (3) Chief Financial Officer to initiate.	(1) and (2) Senate. (3) Vice-Chancellor.	Student Complaints & Appeals Office to administer cases in line with (1) Academic Regulations (2) Student Code of Conduct and (3) Finance Regulations, and to make annual report to Senate and Board of Governors.
4.10	Student tuition fee and other fee rates – approval and revision <i>subject to requirements of funding councils or other regulators</i>	Deputy Vice Chancellor International and Planning or Chief Financial Officer to initiate; then Students Fees Committee to make recommendation to Vice- Chancellor.	Vice-Chancellor)	Deputy Vice Chancellor International and Planning and Director of External Relations.

5 Financial

	Key Decision or Activity	Initiating Authority (i.e., first port of call)	Responsible Authority (i.e., body with ultimate responsibility)	Implementation/Signing Authority
5.1	Adoption and revision of: (1) medium term financial strategy (2) annual and five year financial plans , estimates of income and expenditure, and budgets (capital and revenue)	Chief Financial Officer to initiate; then Vice-Chancellor to make recommendation to Finance Committee.	Board of Governors (taking account of recommendation of Finance Committee).	Chief Financial Officer to prepare detailed budgets within overall budget framework (<i>including</i> budgets for faculties, schools, institutes and directorates) and to monitor expenditure against budgets.
5.2	Financial Regulations and procedures: (1) adoption and revision (2) compliance and interpretation	(1) Chief Financial Officer to initiate; then Vice-Chancellor to make proposals to Finance Committee. (2) Chief Financial Officer in consultation with Registrar & Secretary.	(1) Board of Governors (taking account of recommendation of Finance Committee). (2) Vice-Chancellor.	(1) and (2) Chief Financial Officer.
5.3	Internal and external audit (interim and final) – approval of scope/strategy: review of major findings of internal audit reviews, management responses, issues and reservations; and co-ordination of internal and external auditors	Chief Financial Officer to initiate; then Vice-Chancellor to make proposals after consulting UEG, as appropriate.	Audit Committee.	Chief Financial Officer to oversee implementation of audit-based recommendations. Internal/External Auditors to report to Audit Committee on progress of recommendation implementation.
5.4	Approval of financial statements and accounts	Chief Financial Officer to initiate; then Vice-Chancellor to make proposals to: - Finance Committee - draft financial statements; makes recommendation. Audit Committee - draft financial statements with external auditors (<i>including</i> formal opinion, statement of members' responsibilities and statement of internal control) (in line with OfS's Accounts Directions) and makes recommendation.	Board of Governors (taking account of recommendation of Finance Committee and Audit Committee). Vice-Chancellor (as accountable officer).	Chief Financial Officer. Signatory: Vice-Chancellor.

	Key Decision or Activity	Initiating Authority (i.e., first port of call)	Responsible Authority (i.e., body with ultimate responsibility)	Implementation/Signing Authority
5.5	Approval of financial statements and accounts of University subsidiaries or other companies/entities in which the University has a direct equity holding, other stake or management role (including spin-outs)	Chief Financial Officer to initiate and, subject to Vice-Chancellor's approval) submit to: - Finance Committee - Audit Committee	Board of Governors to note (taking account of recommendation of Finance Committee and Audit Committee).	Chief Financial Officer. Signatory: chairman of board of relevant company/entity.
5.6	Approval of Annual Financial Return and other periodic assurance/accountability/ financial returns to OfS and other regulators (excluding TRAC returns –see Section 5.7).	Chief Financial Officer or Deputy Vice-Chancellor (International & Planning) to initiate and, subject to Vice-Chancellor's approval, submit to: - Finance Committee - Audit Committee	Board of Governors (as stipulated in the OfS Terms and Conditions of Funding for Higher Education Institutions (taking account of recommendation of Finance Committee and Audit Committee).	Chief Financial Officer. Signatory: Vice-Chancellor (as accountable officer and governor).
5.7	Approval of TRAC return	Chief Financial Officer to initiate; then Vice-Chancellor to submit to Finance Committee for approval.	Vice Chancellor and Finance Committee (as delegated by Board of Governors.	Chief Financial Officer. Signatories: Vice-Chancellor (as accountable officer) and Chair of the Board.
5.8	(1) Appointment of University bankers (2) Opening/closing of, and changes to, University bank accounts (3) Designation/change of University bank account mandates/signatories	Chief Financial Officer to initiate; then Vice-Chancellor to make recommendation to Finance Committee.	(1) Board of Governors (taking account of recommendation of Finance Committee). (2) Chief Financial Officer (3) Finance Committee	Chief Financial Officer to manage/liase with University bankers.
5.9	Adoption and revision of (1) Treasury Management Policy	Chief Financial Officer to initiate and, subject to Vice-Chancellor's approval, make recommendation to Finance Committee.	Finance Committee	Chief Financial Officer. Annual Treasury Management Report to be submitted to Finance Committee. (For sale/purchase of investments, see paragraphs 4.3 and 4.4 of Schedule of Financial Limits.)

6 Academic Partnerships and Other Collaborations

	Key Decision or Activity	Initiating Authority (i.e., first port of call)	Responsible Authority (i.e., body with ultimate responsibility)	Implementation/Signing Authority
6.1	Adoption/revision of standard form agreements for academic partnerships/ collaborations, <i>including</i> : (1) academic co-operation agreement with UK, overseas and other parties (2) student progression/articulation agreement (3) student exchange/overseas study agreement (4) memorandum of understanding	Director of Academic Partnerships to initiate and consult (as appropriate) relevant Deputy Vice-Chancellor, Executive Dean, Quality Office and Head of Legal and Compliance and, in case of international templates, Head of International Office. Academic Development & Partnerships Committee to make recommendation.	Senate (taking account of recommendation of Academic Development & Partnerships Committee).	Director of Academic Partnerships.
6.2	Authorisation/revision of following academic arrangements with new/ existing partner (UK or international): (1) Academic partnership agreement /collaborative provision (<i>including</i> University award, joint/dual award, validation or franchise arrangement) (2) Student progression/articulation arrangement (3) Student exchange/overseas study arrangement (4) Student placement agreement (5) Memorandum of Understanding/ heads of agreement/other non-legally binding terms	Director of Academic Partnerships to initiate and consult (as appropriate) relevant Deputy Vice-Chancellor, Executive Dean, Quality Office and Head of Legal and Compliance. Academic Development & Partnerships Committee to make recommendation.	Senate (normally delegating decision making to Academic Development & Partnerships Committee).	(1) Signatories: Vice-Chancellor or relevant Deputy Vice-Chancellor for new partner or revision of existing agreement. Signatory in other cases with existing partner: Director of Academic Partnerships or relevant Deputy Vice-Chancellor. (2) Signatory: Director of Academic Partnerships (taking account of recommendation of relevant Executive Dean). (3) Signatory: Director of Student Services. (4) Signatories: Director of Academic Partnerships and relevant Executive Dean. (5) (in all cases) Director of Academic Partnerships to implement, taking account of recommendation of relevant Executive Dean. It is permissible and normal that a Memorandum of Understanding may be signed by the Vice-Chancellor or a Deputy Vice-Chancellor taking account of a recommendation of the relevant Executive Dean.

	Key Decision or Activity	Initiating Authority (i.e., first port of call)	Responsible Authority (i.e., body with ultimate responsibility)	Implementation/Signing Authority
6.3	<p>Authorisation/revision of other UK or international academic co-operation arrangement (not within Section 6.2) <i>including:</i></p> <ul style="list-style-type: none"> - the establishment of foreign/overseas offices/campuses (whether alone or jointly with other parties) - any other arrangements with new or existing overseas academic partner or other international activity <p>any other arrangements with new or existing UK academic partner</p>	<p>Director of Academic Partnerships to initiate and:</p> <ul style="list-style-type: none"> - consult relevant Deputy Vice-Chancellor, Executive Dean, Quality Office and Head of Legal and Compliance (as appropriate); and - carry out due diligence in accordance with University's quality assurance handbook. <p>Academic Development & Partnerships Committee to make recommendation.</p>	<p>Senate (normally delegating the Academic Development & Partnerships Committee).</p> <p>Board of Governors to be consulted on any proposals:</p> <ul style="list-style-type: none"> -for new off-campus delivery arrangements which have; - significant resource implications or financial risk, or -which may give rise to reputational impact. - 	<p>Signatories: Vice-Chancellor or relevant Deputy Vice-Chancellor for new partner or major revision of existing agreement.</p> <p>Signatory in other cases with existing partner: Director of Academic Partnerships or relevant Deputy Vice-Chancellor.</p> <p>Director of Academic Partnerships to implement, taking account of recommendation of relevant Executive Dean.</p>
6.4	<p>Academic partnership arrangement (UK or international) - dissolution</p>	<p>Director of Academic Partnerships to initiate and consult (as appropriate) relevant Deputy Vice-Chancellor, Executive Dean, Quality Office and Head of Legal and Compliance.</p> <p>Academic Development & Partnerships Committee to make recommendation.</p>	<p>Senate (normally delegating the decision to Academic Development & Partnerships Committee).</p> <p>Board of Governors to be consulted on any dissolution proposals which may give rise to:</p> <ul style="list-style-type: none"> - significant financial risk or redundancies, or - reputational impact. - and may refer matter to Vice-Chancellor for further consideration/information. 	<p>Director of Academic Partnerships or to implement.</p>
6.5	<p>Approval of agreement with any professional, statutory or regulatory body (UK or international)</p>	<p>Relevant Deputy Vice-Chancellor to initiate and consult faculties, Teaching, Learning & Quality Committee and Senate (as appropriate).</p>	<p>Vice-Chancellor.</p>	<p>Signatory: Vice-Chancellor (unless otherwise specified in this Schedule and subject to expectation of body concerned).</p>

7. Other Transactions, Contracts and Arrangements (See also Schedule of Financial Limits)

	Key Decision or Activity	Initiating Authority (i.e., first port of call)	Responsible Authority (i.e., body with ultimate responsibility)	Implementation/Signing Authority
7.1	(1) Award of honorary degrees, fellowships and other awards (2) Revoking honorary degrees, fellowships and other awards	Director of External Relations to initiate; then Honorary Awards Committee to agree criteria, approve and make recommendation. Proposals in writing to the University Registrar & Secretary.	Senate to comment on proposals. Board of Governors to approve (taking account of recommendation of Honorary Awards Committee). Honorary Awards Committee to consider proposal and make recommendation to the Senate and Board of Governors for approval	Registrar & Secretary, in consultation with Honorary Awards Committee. Registrar & Secretary.
7.2	Adoption, execution and revision of: (1) Trust deeds for University trusts (2) Powers of attorney by or for benefit of University (<i>including</i> those relating to intellectual property)	Registrar and Secretary or Chief Financial Officer to initiate and to consult Head of Legal and Compliance (as appropriate); then Vice-Chancellor to make recommendation to Finance Committee.	Finance Committee.	Signatory and implementation: Registrar and Secretary .
7.3	Other contracts or documents to be executed by University (except documents under seal (Section 1.5) and those within paragraph 5.6 of the Schedule of Limits) – within the rules of the Schedule of Financial Limits. (including section 3 & 4)	Relevant Executive Dean/Head of Directorate to initiate and consult Head of Legal and Compliance and IP Specialists (Research & Innovation) and Head of Procurement (as appropriate).	Relevant Executive Dean/Head of Directorate.	Signatories and implementation: Relevant Executive Dean/Head of Directorate.
7.4	Revision of:- (1) This Schedule of Delegation (2) The Schedule of Financial Limits	(1) Registrar & Secretary or (2) Chief Financial Officer to initiate; then Vice-Chancellor to make recommendation to Audit Committee.	Board of Governors (taking account of recommendation of Audit Committee).	(1) Registrar & Secretary (2) Chief Financial Officer.
7.5	Interpretation of:- (1) This Schedule of Delegation (2) The Schedule of Financial Limits	User to initiate and consult:- (1) Registrar & Secretary. (2) Chief Financial Officer.	(1) Registrar & Secretary. (2) Chief Financial Officer.	(1) Registrar & Secretary. (2) Chief Financial Officer.