

**SCHEME OF DELEGATION  
AND  
DECISION MAKING AUTHORITIES  
*(SUMMARISED VERSION)***

**Version Number:** 2.0

**Owner:** Sharon Tuersley, Secretary to Council

**Issued by:** Governance Services

**Effective date:** 14 October 2020

**Review date:** 13 October 2021

## Introduction

This is a summarised version of the Scheme of Delegation which took effect from 14 October 2020. The summary has been produced to simplify navigation of the Scheme and assist with quick referencing. Please refer to the full Scheme of Delegation for further details.

## Summarised Scheme of Delegation

| NO.  | ISSUE   | GOVERNANCE OVERSIGHT | RESERVED POWER AND/OR FINAL AUTHORITY | RECOMMENDATION AND PREVIOUS AUTHORITY/SIGN OFF  | £ LIMITS |
|--|---|----------------------|---------------------------------------|---|----------|
| <b>1. GOVERNANCE, MANAGEMENT &amp; CONTROL</b> |   |                      |                                       |   |          |
| 1.1  | Amendments to Charter   | Privy Council        | Privy Council                         | Council   |          |
| 1.2  | New, amended or repealed Statutes   | Privy Council        | Privy Council                         | Council   |          |
| 1.3  | New, amended or repealed Ordinances   | Council              | Council                               | Senate  |          |
| 1.4  | New, amended or repealed Regulations  | Council              | Senate                                |   |          |
| 1.5  | Custody and use of the Seal   | Council              | Council                               | Secretary to Council  |          |
| 1.6  | Execution of the responsibilities of the Chancellor                           | Council              | Chancellor                            | Pro-Chancellor  |          |
| 1.7  | Execution of the responsibilities of the Vice-Chancellor                      | Council              | Vice-Chancellor                       | Provost<br>Pro-Vice-Chancellors   |          |
| 1.8  | Execution of the responsibilities of the Council                              | Council              | Council                               | Finance & General Purposes Committee  |          |
| 1.9  | Execution of the responsibilities of the Finance & General Purposes Committee | Council              | Finance & General Purposes Committee  | Authorised Sub-Group  |          |
| 1.10   | Investigation of activities within the remit of Audit & Risk Committee        | Council              | Council                               | Audit & Risk Committee  |          |
| 1.11   | Legal and professional advice for the Audit & Risk Committee                  | Council              | Council                               | Audit & Risk Committee  | <£100k   |
| 1.12   | Control and accountability  | Council              | Vice-Chancellor                       |   |          |
| 1.13   | Approval of OfS Annual Accountability Returns                                 | Council              | Council                               | Audit & Risk Committee<br>-----<br>Finance & General Purposes Committee<br>-----<br>Accountable Officer |          |

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| 1.14  | Approval of the Scheme of Delegation   | Council                    | Council                               | Secretary to Council   | <£50     |
|   |  |                            |                                       | Group Finance Director   | >£50k    |
| 1.15  | Conflicts of Interests   | Council                    | Council                               | Secretary to Council   |          |
|   |  |                            |                                       | Chairs of Committees   |          |
|   |  |                            |                                       | Heads of Department/Centre/Activity                                  |          |
|   |  |                            |                                       | Senior Staff   |          |
|   |  |                            |                                       | Director of Research & Impact Services                               |          |
| 1.16  | Whistleblowing   | Council                    | Council                               | Audit & Risk Committee   |          |
| 1.17  | Gifts received in the name of the University                                     | Council                    | Council                               | Director of Development  | <£100k   |
|   |  |                            |                                       | Fundraising Ethics Committee   | >£100k   |
|   |  |                            |                                       | Finance & General Purposes Committee                                 |          |
| 1.18  | Gifts received in the name of individuals  | University Executive Board | Head of Department/Centre /Activity   |  | <£50     |
| 1.19  | Intellectual property  | Council                    | Council                               | Finance & General Purposes Committee                                 |          |
| 1.20  | Recommendations to Council and Senate on any matter relating to the University   | Council<br>Senate          | Assembly                              |  |          |
| <b>2. STRATEGY &amp; POLICY DEVELOPMENT</b> |  |                            |                                       |  |          |
| 2.1   | Approval of the University vision, mission, Strategy and associated plans        | Council                    | Council                               | University Executive Board   |          |
| 2.2   | Setting and reviewing of transformational KPIs                                   | Council                    | Council                               | University Executive Board   |          |
| 2.3   | Approval of the Risk Management Framework and associated policies and procedures | Council                    | Council                               | Audit & Risk Committee   |          |
| 2.4   | Compliance with GDPR   | Council                    | Council                               | Audit & Risk Committee<br>University Executive Board                 |          |
| 2.5   | Approval of all staff and student related policies                               | Council                    | Council                               | Policy Oversight Group (on behalf of the University Executive Board) |          |

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| 2.6                                   | Approval of Health & Safety policies and procedures   | Council  | Council  | Vice-Chancellor  |          |
| 2.7                                   | Approval of Equality & Diversity policies and procedures  | Council<br>Senate                                  | Council<br>Senate                                  | Social Inclusion Committee   |          |
| 2.8                                   | Approval of policies and procedures related to corporate governance compliance                    | Council  | Council  | Secretary to Council   |          |
| <b>3. APPOINTMENTS &amp; STAFFING</b> |   |  |  |  |          |
| 3.1                                   | Appointment of Chancellor   | Council<br>Senate                                  | Council<br>Senate                                  |  |          |
| 3.2                                   | Appointment of Pro-Chancellors  | Council  | Council  |  |          |
| 3.3                                   | Appointment of Chair and Vice-Chair of Council  | Council  | Council  |  |          |
| 3.4                                   | Appointment of Treasurer  | Council  | Council  |  |          |
| 3.5                                   | Appointment of independent members to the Council   | Council  | Council  | Nominations Committee  |          |
| 3.6                                   | Appointment of individuals external to the University to membership of the Council sub-committees | Council  | Council  | Nominations Committee  |          |
| 3.7                                   | Appointment of academic representatives of the Council  | Senate   | Senate   |  |          |
| 3.8                                   | Appointment of professional services staff representative of the Council                          | Council  | Council  | Nominations Committee  |          |
| 3.9                                   | Appointment of Vice-Chancellor  | Council  | Council  |  |          |
| 3.10                                  | Appointment of Provost  | Council  | Council  | Vice-Chancellor (supported by Search Committee of the Senate)              |          |
| 3.11                                  | Appointment of Pro-Vice-Chancellors   | Council  | Council  | Vice-Chancellor<br>-----<br>Appointment Committee for Pro-Vice-Chancellors |          |
| 3.12                                  | Appointment of Secretary to Council   | Council  | Council  |  |          |
| 3.13                                  | Appointment of Academic Heads of Department   | Committee on the Appointment of Head of Department | Committee on the Appointment of Head of Department | Departments  |          |
| 3.14                                  | Establishment of academic posts   | Council  | Council  | Senate   |          |

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|      |   |   |  | Academic Resourcing Committee   |          |
| 3.15 | Approve all matters affecting the appointment, duties and conditions of service of academic staff                               | Council                                   | Council  | Senate  |          |
| 3.16 | Determination of salaries and performance related pay for the Senior Management Team  | Council                                   | Council  | Remuneration Committee  |          |
| 3.17 | Approval of the Framework for Senior Remuneration   | Council                                   | Council  | Remuneration Committee  |          |
| 3.18 | Determination of salaries and performance related pay for senior professional/professorial staff outside published salary scale | University Executive Board (Remuneration) | University Executive Board (Remuneration)        |   |          |
| 3.19 | Recruitment, training, promotion, resignation, dismissal and retirement of all professional services staff                      | Council                                   | Council  | Vice-Chancellor<br>Registrar<br>Group Finance Director<br>Commercial Director<br>Secretary to Council |          |
| 3.20 | Pension arrangements for all employees  | Council                                   | Council  | Finance & General Purposes Committee  |          |
| 3.21 | Dismissal and redundancy of academic staff, including the Vice-Chancellor   | Council                                   | Council  | Academic Freedom Review Committee   |          |
| 3.22 | Determination of severance pay for staff members  | Council                                   | Council  | Remuneration Committee  | >£100k   |
|      |   |   |  | Human Resources   | <£100k   |
| 3.23 | Legal cases involving employment matters or the good name of the University   | Council                                   | Council  | Vice-Chancellor / Treasurer   |          |
|      |   |   |  | Chair of Council  |          |
|      |   |   |  | Finance & General Purposes Committee  |          |
| 3.24 | Granting of Honorary Degrees  | Council<br>Senate                         | Council<br>Senate                                | Honorary Degrees Committee  |          |
| 3.25 | Revocation of Honorary Degrees  | Council<br>Senate                         | Vice-Chancellor (in capacity as Chair of Senate) | Honorary Degrees Committee  |          |
| 3.26 | Granting of title of Emeritus Professor   | Senate                                    | Senate   |   |          |
| 3.27 | Appointment of External Auditors  | Council                                   | Council  | Audit & Risk Committee  |          |

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| <b>4. ACADEMIC &amp; STUDENT MATTERS</b> |   |                      |                                       |  |  |
| 4.1                                      | Overall welfare of students   | Council              | Council                               | Senate   |  |
| 4.2                                      | Academic oversight  | Senate               | Senate                                | Senate Sub-Committees                          |  |
| 4.3                                      | Approval of the Education Strategy  | Council              | Council                               | Senate   |  |
| 4.4                                      | Approval of Student Recruitment Strategy  | Senate               | Academic Resourcing Committee         | Student Recruitment Strategy Steering Group    |  |
| 4.5                                      | Discipline of students  | Senate               | Senate                                | Authorised Officers                            | For certain drugs offences a fine not exceeding £250<br><br>A fine not exceeding £150<br><br>Sanctions Framework |
|  |   |                      |                                       | Discipline Committee                           | Sanctions framework ranging from a reprimand to expulsion  |
| 4.6                                      | Student complaints  | Senate               | Senate                                | Academic School, Department or Service Area    |  |
|  |   |                      |                                       | Heads of Department/Centre/Activity            |  |
|  |   |                      |                                       | Provost  |  |
|  |   |                      |                                       | Student Complaints Resolution Procedure Panel  |  |
| 4.7                                      | Establishment and disestablishment of Academic Bodies, including naming or renaming of Academic Faculties and Departments                         | Council              | Council                               | Senate   |  |
| 4.8                                      | Establishment of Degrees  | Council              | Council                               | Senate   |  |
| 4.9                                      | Granting and revocation of degrees and other academic distinctions to persons who have pursued a course of study and passed relevant examinations | Senate               | Senate                                | Faculty Boards                                 |  |

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| 4.10  | Approval of pass lists  | Senate               | Senate                                | Senate Sub-Group   |          |
| 4.11  | Design and approval of new courses / amendments to existing courses   | Senate               | Senate                                | Course Proposal Scrutiny Panel                                     |          |
| 4.12  | Approval of withdrawal or suspension of programmes  | Senate               | Senate                                | Course Proposal Scrutiny Panel<br>Partnerships Committee           |          |
| 4.13  | Establishment of fellowships, studentships, scholarships and prizes   | Council              | Council                               | Senate   |          |
| 4.14  | Approval of collaborative provision / academic partnerships   | Senate               | Senate                                | Partnerships Committee<br>Academic Quality & Standards Committee   |          |
| 4.15  | Approval of degree apprenticeships  | Senate               | Senate                                | Partnership Committee<br>Course Proposal Scrutiny Panel            |          |
| 4.16  | Appointment of internal examiners / Boards of Examiners   | Senate               | Senate                                | Heads of Department/Centre/Activity                                |          |
| 4.17  | Appointment of external examiners   | Senate               | Senate                                | Senate Sub-Group<br>Board of Graduate Studies                      |          |
| <b>5. BUDGETARY &amp; FINANCIAL MATTERS</b> |   |                      |                                       |  |          |
| 5.1   | Appointment of University Bankers   | Council              | Council                               | Finance & General Purposes Committee                               |          |
| 5.2   | Operation of University bank accounts   | Council              | Council                               | Finance & General Purposes Committee                               |          |
| 5.3   | Approval of the University annual budget and Financial Plan   | Council              | Council                               | Finance & General Purposes Committee                               |          |
| 5.4   | Approval of financial forecast submissions to the OfS   | Council              | Council                               | Finance & General Purposes Committee                               |          |
| 5.5   | Approval of the Financial Statements  | Council              | Council                               | Finance & General Purposes Committee<br>Audit & Risk Committee     |          |
| 5.6   | Distribution and allocation of resources for academic and non-academic purposes, in accordance with the University Financial Plan | Council              | Council                               | Finance & General Purposes Committee<br>University Executive Board |          |

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| 5.7  | Approval of resources not included in the University Financial Plan                                 | Council              | Council                               | Finance & General Purposes Committee               | <£1m     |
|      |   |                      |                                       | Financial Plan Sub-Committee                       | <£500k*  |
|      |   |                      |                                       | University Executive Board (Covid-19 reserve fund) |          |
| 5.8  | Approval of Investment Policy, associated decisions and maintaining budgetary control               | Council              | Council                               | Finance & General Purposes Committee               |          |
| 5.9  | Approval of Treasury Management Policy  | Council              | Council                               | Finance & General Purposes Committee               |          |
| 5.10 | Appointment of professional Treasury Management Advisers  | Council              | Council                               | Finance & General Purposes Committee               |          |
| 5.11 | Investment of funds in accordance with the approved Treasury Management Policy                      | Council              | Finance & General Purposes Committee  | Authorised Signatories                             |          |
| 5.12 | Approval of borrowing   | Council              | Council                               | Finance & General Purposes Committee               |          |
| 5.13 | Approval of accounting policies   | Council              | Council                               | Finance & General Purposes Committee               |          |
| 5.14 | Approval of the University's Financial Regulations and Procedures                                   | Council              | Council                               | Finance & General Purposes Committee               |          |
| 5.15 | Approval of, and alterations to, tuition fees and other academic fees, and associated fees policies | Council              | Council                               | Finance & General Purposes Committee               |          |
| 5.16 | Write off of bad debt related to tuition fees   | Council              | Council                               | Finance & General Purposes Committee               | >£20k    |
|      |   |                      |                                       | Group Finance Director                             | <£20k    |
|      |   |                      |                                       | Academic Registrar/Deputy Academic Registrar       | <£7.5k   |
|      |   |                      |                                       | Head of Student Finance                            | <£1k     |
|      |   |                      |                                       | Student Finance Manager                            | <£500    |
|      |   |                      |                                       | Credit Controllers in Student Finance Office       | <£100    |
| 5.17 | Write off of non-student bad debt   | Council              | Council                               | Finance & General Purposes Committee               | >£20k    |
|      |   |                      |                                       | Group Finance Director                             | <£20k    |



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|                            |   |                                      |                                       | Finance Director /Financial Controller / Deputy Finance Director                 | <£1k     |
|                            |   |                                      |                                       | Accounts Receivable Supervisor   | <£50     |
|                            |   |                                      |                                       | Credit Controller in Accounts Receivable Office                                  | <£20     |
| 5.18                       | Approval of accommodation rates   | Council                              | Finance & General Purposes Committee  | Working Party on Student Rents<br>Warwick Accommodation Strategic Planning Group |          |
| 5.19                       | Approval of administration charges associated to late payment of residential charges or academic fees | Council                              | Finance & General Purposes Committee  | Group Finance Director   |          |
| 5.20                       | Approval for student payments to be deferred / paid in instalments                                    | Council                              | Finance & General Purposes Committee  | Student Finance Office   |          |
| 5.21                       | Insurance (level and scope)   | Council                              | Finance & General Purposes Committee  | Finance & General Purposes Committee   |          |
| 5.21                       | Approval of external statutory audit fee  | Council                              | Council                               | Audit & Risk Committee   |          |
| 5.22                       | Approval to engage external auditors for non-audit services   | Council                              | Council                               | Audit & Risk Committee   |          |
| 5.23                       | Approval of income-generating non-research contracts  | University Executive Board           | Authorised signatories                |  |          |
| 5.24                       | Procurement of goods and services   | University Executive Board (Finance) | Heads of Department/Centre /Activity  |  |          |
|                            |   |                                      | Procurement and Insurance Office      |  | >£35k    |
|                            |   |                                      | Authorised Finance personnel          |  | >£50k    |
| <b>6. RELATED ENTITIES</b> |   |                                      |                                       |  |          |
| 6.1                        | Approve the structure, establishment and winding up of all University trading entities                | Council                              | Finance & General Purposes Committee  | Finance & General Purposes Committee   |          |
| 6.2                        | Approve relevant appointments to the Boards of the University's trading entities                      | Council                              | Finance & General Purposes Committee  | Finance & General Purposes Committee   |          |

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| 6.3                         | Approve Governance and Services Agreements between the University and its related entities                | Council   | Finance & General Purposes Committee            | Finance & General Purposes Committee                                      |   |
| 6.4                         | Approve the Financial Statements of the University's wholly owned subsidiary companies and other entities | Council   | Finance & General Purposes Committee            | Financial & General Purposes Committee                                    |   |
| <b>7. CAPITAL PROGRAMME</b> |   |   |   |   |   |
| 7.1                         | Approval of the Capital Plan  | Council   | Council   | Finance & General Purposes Committee<br>University Estate Committee       |   |
| 7.2                         | Procurement, management and delivery of minor projects  | Estates Senior Leadership Team (in line with Estates Office Project Procedures) | Estates Senior Leadership Team                  | Estates Office  | Projects up to £500k and deemed low risk classified as minor projects |
| 7.3                         | Procurement, management and delivery of general infrastructure projects                                   | Council   | University Estate Committee                     | Estates Office<br>Public Realm and Infrastructure Capital Programme Board |   |
| 7.4                         | <i>Approval of major capital projects – TBC</i>   | Council   | Council   | Finance & General Purposes Committee<br>University Estate Committee       |   |
| <b>8. ESTATES</b>           |   |   |   |   |   |
| 8.1                         | Approval of the Estate Strategy   | Council   | Council   | University Estate Committee   |   |
| 8.2                         | Provision and maintenance of buildings, premises and grounds  | Council   | Council   | University Estate Committee<br>Director of Estates                        |   |
| 8.3                         | Naming of University buildings  | Council   | Council   | University Estate Committee   |   |
| 8.4                         | Acquisition of freehold and leasehold property  | Council   | Council   | University Estate Committee   |   |
| 8.5                         | Disposal of freehold and leasehold property   | Council   | Council<br>Finance & General Purposes Committee | University Estate Committee   |   |
| 8.6                         | Campus environmental sustainability   | Council   | Council   | University Estate Committee   |   |
| <b>9. IT</b>                |   |   |   |   |   |
| 9.1                         | Approval of the University's IT Strategy  | Council   | Finance & General Purposes Committee            | Finance & General Purposes Committee                                      |   |

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| 9.2                                       | Approval of the Information Management Policy Framework and associated procedures     | Council                       | Council                                  | Audit & Risk Committee<br>University Executive Board<br>University Information Management Executive Committee  |          |
| <b>10. MARKETING &amp; COMMUNICATIONS</b> |   |                               |  |  |          |
| 10.1                                      | Approval of Marketing Strategy  | University Executive Board    | University Executive Board               | Engagement Group Senior Leadership Team  |          |
| 10.2                                      | Approval and use of University logos  | University Executive Board    | Engagement Group Senior Leadership Team  | Brand Manager  |          |
| 10.3                                      | Authorisation of media releases   | University Executive Board    | Director of Press and Media Relations    | Senior Press and Media Relations Manager   |          |
| 10.4                                      | Approval of filming agreements/advertising and promotions/PR/digital agency contracts | University Executive Board    | Director of Marketing and Communications | Associate Director (Communications)<br>Head of Campus and Commercial Services Marketing<br>Head of Marketing Services  |          |
| 10.5                                      | Approval of University's external homepage  | University Executive Board    | Associate Director (Communications)      | Associate Director of Marketing – University Marketing and Communications<br>Associate Director of Marketing (Campus and Commercial Services)<br>Head of Digital Product and Performance<br>Marketing Communications Manager |          |
| <b>11. INTERNATIONAL</b>                  |   |                               |  |  |          |
| 11.1                                      | Approval of International Strategy  | Council                       | Council                                  | University Executive Board   |          |
| 11.2                                      | Approval of Agency Agreements including fee rates                                     | Academic Resourcing Committee | Academic Resourcing Committee            | Student Recruitment Strategy Steering Group  |          |
| 11.4                                      | Approval of international collaborations  | Council<br>Senate             | Council<br>Senate                        | Research Committee<br>Partnerships Committee   |          |
| <b>12. RESEARCH</b>                       |   |                               |  |  |          |
| 12.1                                      | Research Strategy   | Council                       | Council                                  | Senate   |          |

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| 12.2                       | Research integrity                                 | Council<br>Senate    | Council<br>Senate                      | Research Governance & Ethics Committee   |  |
| 12.3                       | Research ethical approval                          | Council<br>Senate    | Council<br>Senate                      | Research Governance & Ethics Committee   |  |
| 12.4                       | Human Tissue Authority                             | Council<br>Senate    | Council<br>Senate                      | Registrar  |  |
| 12.5                       | Approval of research governance policies           | Council<br>Senate    | Council<br>Senate                      | Research Governance & Ethics Committee   |  |
| 12.6                       | Research misconduct                                | Council<br>Senate    | Council<br>Senate                      | Registrar  |  |
| 12.7                       | Research grant and contract pre-award approval     | Council              | Council<br>Senate                      | <p>Authorised Officers</p> <p>Vice-Chancellor; Provost; Registrar; Group Finance Director; Finance Director; Deputy Finance Directors</p> <p>Director of Research &amp; Impact Services; Deputy Director of Research &amp; Impact Services; Assistant Director (Research Support, Grants and Contracts).</p> <p>Research Support Managers</p> <p>Research Development Managers</p> | <p>No limit</p> <p>&lt;£1.5m</p> <p>&lt;£100k<br/>Grant application&lt;£500k</p> <p>Grant application&lt;£500k</p> |
| 12.8                       | Research contract and grant post-award claims      | Council<br>Senate    | Council<br>Senate                      | Research Finance Office  |  |
| 12.9                       | Research Excellence Framework (REF)                | Council<br>Senate    | REF Executive Steering Group (REF-ESG) | REF Submission Steering Group (REF-SSG)  |  |
| <b>13. STUDENTS' UNION</b> |  |                      |  |  |  |
| 13.1                       | Assurance of Students' Union governance            | Council              | Council                                |  |  |
| 13.2                       | Approval of Memorandum and Articles of Association | Council              | Council                                |  |  |

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| 13.3 | Approval of Students' Union Accounts | Council              | Council                               | Finance & General Purposes Committee           |          |
| 13.4 | Student complaints                   | Senate               | Senate                                | Student Complaints Resolution Procedure        |          |

## Annex 1: Chair's Action Guidelines

In general, items of business should be submitted to all members of the Committee and considered at formal meetings of the Committee.

However, the Chair of a Committee is authorised to act on behalf of the Committee to deal with certain items of business which require a formal decision before the next available meeting of the Committee. Examples of where Chair's action should be used are when:

- A strict deadline must be met;
- Action is required to fulfil an explicit and minuted Committee decision; and
- Minor amendments have been made to a proposal previously approved by the Committee.

The decision of the Chair must be confirmed in writing.

All instances of Chair's action must be reported to the next meeting of the Committee and recorded in the minutes.

If any matter is expected to be of significant interest or the subject of significant debate (defined at the discretion of the Chair), then members of the Committee must be consulted before any decision is taken or an extraordinary meeting of the Committee will be scheduled.

## Annex 2: Significant Transaction Definition

In line with the Committee of University Chairs (CUC) Higher Education Code of Governance, the governing body (i.e. the University Council) has a responsibility for all decisions that might have a significant reputational or financial implication.

In most instances, Higher Education legislations allows its institutions to define what constitutes a significant transaction. The aim of the Scheme is to outline the circumstances when approval of the governing body is required, however, this is not exhaustive. Therefore a general definition of a significant transaction is outlined below.

Significant transactions are big decisions. Often the environment for their consideration is particularly febrile, perhaps carrying a heightened sense of urgency and apparent high stakes in supporting or rejecting the proposal. The financial repercussions, reputational effects and impacts on relevant stakeholders can be particularly great.

**All significant transactions must be reported to the Council.** If there is any ambiguity as to whether an item of business is significant please contact the Secretary to Council ([universitycouncil@warwick.ac.uk](mailto:universitycouncil@warwick.ac.uk)).