

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

Version Number: 1

Owner: Sharon Tuersley, Secretary to Council

Issued by: Governance Services

Effective date: 9 October 2019

Review date: 14 October 2020

Introduction

This is a summarised version of the Scheme of Delegation which took effect from 9 October 2019. 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
1.	GOVERNANCE, MANAGEMENT & CONTROL				
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1.2	New, amended or repealed Statutes	Privy Council	Privy Council	Council	
1.3	New, amended or repealed Ordinances	Council	Council	Senate	
1.4	New, amended or repealed Regulations	Council	Senate		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 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	
				Finance & General Purposes Committee	
				Accountable Officer	
1.14	Approval of the Scheme of Delegation	Council	Council	Secretary to Council	<£50k
				Group Finance Director	>£50k

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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 Senate	Assembly		
2.	STRATEGY & POLICY DEVELOPMENT				
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 University Executive Board	
2.5	Approval of all staff and student related policies	Council	Council	Steering Committee	
2.6	Approval of Health & Safety policies and procedures	Council	Council	Vice-Chancellor	

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2.7	Approval of Equality & Diversity policies and procedures	Council Senate	Council Senate	Social Inclusion Committee	
2.8	Approval of policies and procedures related to corporate governance compliance	Council	Council	Secretary to Council	
3.	APPOINTMENTS & STAFFING				
3.1	Appointment of Chancellor	Council Senate	Council 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	
				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	

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3.14	Establishment of academic posts	Council	Council	Senate	
				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 Registrar Group Finance Director Commercial Director 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 Senate	Council Senate	Honorary Degrees Committee	
3.25	Revocation of Honorary Degrees	Council Senate	Vice-Chancellor (in capacity as Chair of Senate)	Honorary Degrees Committee	

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3.26	Granting of title of Emeritus Professor	Senate	Senate		
3.27	Appointment of External Auditors	Council	Council	Audit & Risk Committee	
4.	ACADEMIC & STUDENT MATTERS				
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 A fine not exceeding £150 Sanctions Framework
				Discipline Committee	Sanctions framework ranging from a reprimand to expulsion
4.6	Student complaints	Senate	Senate	Academic School, Department or Service Area	Stage 1
				Heads of Department/Centre/Activity	Stage 2
				Provost	Stage 3
				Student Complaints Resolution Procedure Panel	Stage 3
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	

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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	
4.10	Approval of pass lists	Senate	Senate	Sub-Group of Senate	
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 Partnerships Committee	
4.13	Establishment of fellowships, studentships, scholarships and prizes	Council	Council	Steering Committee	
4.14	Approval of collaborative provision / academic partnerships	Senate	Senate	Partnerships Committee Academic Quality & Standards Committee	
4.15	Approval of degree apprenticeships	Senate	Senate	Partnership Committee 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 Board of Graduate Studies	
5.	BUDGETARY & FINANCIAL MATTERS				
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 Audit & Risk Committee	

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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	
5.7	Approval of resources not included in the University Financial Plan	Council	Council	Finance & General Purposes Committee	>£500k
				Financial Plan Sub-Committee	<£500k
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	Steering 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

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5.17	Write off of non-student bad debt	Council	Council	Finance & General Purposes Committee	>£20k
				Group Finance Director	<£20k
				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 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		Oversight of dept.
			Procurement and Insurance Office		>£35k
			Authorised Finance personnel		>£50k

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6.	RELATED ENTITIES				
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	
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	
7.	CAPITAL PROGRAMME				
7.1	Approval of the Capital Plan	Council	Council	Finance & General Purposes Committee 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 Public Realm and Infrastructure Capital Programme Board	
7.4	<i>Approval of major capital projects – TBC</i>				
8.	ESTATES				
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 Estates Committee 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	

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8.5	Disposal of freehold and leasehold property	Council	Council Finance & General Purposes Committee	University Estate Committee	
8.6	Campus environmental sustainability	Council	Council	University Estate Committee	
9.	IT				
9.1	Approval of the University's IT Strategy	Council	Finance & General Purposes Committee	Finance & General Purposes Committee	
9.2	Approval of the Information Security Framework and associated policies and procedures	Council	Council	Audit & Risk Committee University Executive Board	
10.	MARKETING & COMMUNICATIONS				
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) Head of Campus and Commercial Services Marketing Head of Marketing Services	
10.5	Approval of University's external homepage	University Executive Board	Associate Director (Communications)	Director of Marketing & Communications Head of Marketing Services Head of Digital Marketing Content Manager (Digital)	
11.	INTERNATIONAL				
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 Senate	Council Senate	Research Committee Partnerships Committee	

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12.	RESEARCH				
12.1	Research Strategy	Council	Council	Senate	
12.2	Research integrity	Council Senate	Council Senate	Research Governance & Ethics Committee	
12.3	Research ethical approval	Council Senate	Council Senate	Research Governance & Ethics Committee	
12.4	Human Tissue Authority	Council Senate	Council Senate	Registrar	
12.5	Approval of research governance policies	Council Senate	Council Senate	Research Governance & Ethics Committee	
12.6	Research misconduct	Council Senate	Council Senate	Registrar	
12.7	Research grant and contract pre-award approval	Council	Council Senate	Authorised Officers	
				Vice-Chancellor; Provost; Registrar; Group Finance Director; Finance Director; Deputy Finance Directors	No limit
				Director of Research & Impact Services; Deputy Director of Research & Impact Services; Assistant Director (Research Support, Grants and Contracts).	<£1.5m
				Research Support Managers	<£100k Grant application <£500k
				Research Development Managers	Grant application <£500k
12.8	Research contract and grant post-award claims	Council Senate	Council Senate	Research Finance Office	
12.9	Research Excellence Framework (REF)	Council Senate	REF Executive Steering Group (REF-ESG)	REF Submission Steering Group (REF-SSG)	

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13.	STUDENTS' UNION				
13.1	Assurance of Students' Union governance	Council	Council		
13.2	Approval of Memorandum and Articles of Association	Council	Council		
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).