

SCHEME OF DELEGATION AND DECISION MAKING AUTHORITIES

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Introduction

1. DURATION OF VALIDITY

This original Scheme of Delegation took effect from 9 October 2019. This version outlines the current scope of final and delegated responsibilities until determined otherwise. It is presented to Council on an annual basis, with an in-depth review undertaken every five years.

2. PURPOSE

To identify the responsibilities and delegated authorities for making key decisions in the name of, or on behalf of, the University of Warwick.

3. COVERAGE

Particular emphasis is placed on the powers reserved to and delegated from the Council, the ultimate decision-making body of the University. Reference is also made to responsibilities for key decisions stipulated in the University's Charter and Statutes, Ordinances, Regulations and published Policy. Other key decision-making authorities, which are not formally recorded in the Governing Instruments or related to the responsibilities of the Council, are outlined in this Scheme. Whilst this Scheme of Delegation cannot be exhaustive, it does provide a frame of reference to inform decision making in other areas.

4. REPORTING ARRANGEMENTS

It should be assumed that all material matters (see Annex 1) are reported to the Council, unless otherwise explicitly stated. Whilst this Scheme identifies that certain powers are delegated to specific committees or office-holders, any committee or office-holder may decide that a particular issue needs to be ratified by a higher level of authority. In the event of uncertainty as to whom a decision or process should be delegated, a guiding principle is to 'delegate upwards'. Where powers are reserved to individuals, it should be assumed that a nominated deputy or alternate may exercise the same power in the absence of the post-holder.

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Theme identifier	Theme title	Sub-theme identifier	SUB-THEME	RELATED REGULATORY BODY/ LEGISLATION	SCHEME XREF	Issue/ decision identifier	ISSUE/ DECISION	GOVERNANCE OVERSIGHT (Body responsible for oversight)	RESERVED POWER AND/OR FINAL AUTHORITY (Body/individual responsible for final approval within designated limits)	RECOMMENDATION AND PREVIOUS AUTHORITY/SIGN OFF (Body/individual responsible for recommending approval, or for prior sign-off, in whole or in part within designated limits)	CONTEXT, PROCESS & DELIVERY	E LIMITS	SOURCES
ACA	ACADEMIC & STUDENT MATTERS	ACA.01	Welfare and wellbeing of students	OFS E6		ACA.01.01	Oversight of-welfare/wellbeing of students	Council	Senate	University Executive Board	Council ultimately responsible for welfare and wellbeing of students. Recommendations from the Senate must be taken into account. Student Wellbeing Strategy Group monitors and reviews the implementation of the Wellbeing Strategy, and agreed objectives relating to the Wellbeing Strategic aims and reports to UEB. Student Wellbeing is defined in the scope of Academic Governance in the Academic Governance Framework. Senate will recommend to Council matters relating to Students welfare/ wellbeing, student support and student experience. Student Success Subcommittee will recommend to Education and Student Experience Committee and University Executive Board, the University's strategies for Wellbeing, Active Lifestyles and Sport, and other campus services, as they relate to students and education.	Ordinance 4.4 Ordinance 5.1 Committee Terms of Reference	
ACA	ACADEMIC & STUDENT MATTERS	ACA.02	Quality Assurance			ACA.02.01	Academic oversight	Senate	Senate	Senate Sub-Committees	Senate is principal academic authority subject to the powers of the Council enshrined in the Charter, Statutes and Ordinances. Senate approves new major academic policies, and significant changes to existing policies, and establishes the academic conventions on what a student has to pass to progress or be awarded a qualification.	Article 7 Statute 8	
ACA	ACADEMIC & STUDENT MATTERS	ACA.02	Compliance & Assurance			ACA.02.02	Oversight of the Education Quality Framework	Council	Audit & Risk Committee	Senate	Senate sub-committees provide assurance to Senate		Education Quality Framework
ACA	ACADEMIC & STUDENT MATTERS	ACA.02	Compliance & Assurance	OFS A1		ACA.02.03	Approval of Access and Participation Plan	Council Senate	Vice-Chancellor	Education and Student Experience Committee	The Student Success Subcommittee has responsibility for creating an inclusive education and experience where students are welcomed from early point of contact and enabled to succeed to their full potential. It will recommend to Education and Student Experience Committee and Senate, the University's Access and Participation Plan.		Committee Terms of Reference
ACA	ACADEMIC & STUDENT MATTERS	ACA.02	Compliance & Assurance	OFS A2	ACA.13.01	ACA.02.04	Approval of Access and Participation Statement	Council	Vice-Chancellor	Senate	Student Success Subcommittee recommends to Education and Student Experience Committee, Policies and Sub-Strategies of work in support of the Education and Student Experience Strategy and the Access and Participation Plan, including the University's Inclusive Education Model, personal tutoring and strategic approach to employability and skills. Student Success Subcommittee recommends to Academic Resourcing Committee, proposals for investment to support the implementation of the University's Access and Participation Plan, including scholarships and bursaries.		
ACA	ACADEMIC & STUDENT MATTERS	ACA.02	Quality Assurance	OFS B1 OFS B2		ACA.02.05	Responsibility for provision of high quality academic experience and reliable standards	Council	Vice-Chancellor	Audit & Risk Committee Senate	Senate is assured by: Education and Student Experience Committee Quality and Standards Subcommittee Learning and Teaching Subcommittee Education Partnerships Oversight Panel		Education Quality Framework
ACA	ACADEMIC & STUDENT MATTERS	ACA.02	Quality Assurance	OFS B3		ACA.02.06.01	Responsibility for the delivery of successful outcomes for students	Council	Vice-Chancellor	Senate	Senate is assured by: Education and Student Experience Committee Quality and Standards Subcommittee Learning and Teaching Subcommittee Education Partnerships Oversight Panel		
ACA	ACADEMIC & STUDENT MATTERS	ACA.02	Quality Assurance			ACA.02.06.02	Approval of Degree Outcomes Statement	Council	Council Senate	Quality and Standards Subcommittee	The Degree Outcomes Statement is drafted by the Education Policy and Quality Team and reviewed by Education Executive		
ACA	ACADEMIC & STUDENT MATTERS	ACA.02	Quality Assurance	OFS B4		ACA.02.07	Responsibility for Assessment, Awards (credible and comparable), English proficiency	Council	Vice-Chancellor	Senate	Assurance is provided by: Education and Student Experience Committee Quality and Standards Subcommittee Learning and Teaching Subcommittee Education Partnerships Oversight Panel Senate Awarding Panel		
ACA	ACADEMIC & STUDENT MATTERS	ACA.02	Quality Assurance	OFS B5		ACA.02.08	Responsibility for quality and reliability of awards granted to students who complete a higher education course provided by, or on behalf of, the provider (whether or not the provider is the awarding body)	Council	Vice-Chancellor	Audit & Risk Committee Senate	Assurance is provided by: Education and Student Experience Committee Quality and Standards Subcommittee Learning and Teaching Subcommittee Education Partnerships Oversight Panel Senate Awarding Panel		
ACA	ACADEMIC & STUDENT MATTERS	ACA.02	Quality Assurance	OFS B6		ACA.02.09	Approval of Teaching Excellence and Student Outcomes Framework Submission	Council Senate	Vice-Chancellor	University Executive Board	Education and Student Experience Committee recommends to the Senate, the Council and the University Executive Board as appropriate, Regulatory submissions required by the Office for Students, including the Teaching Excellence Framework submission.		
ACA	ACADEMIC & STUDENT MATTERS	ACA.02	Quality Assurance	OFS B8		ACA.02.10	Responsibility for consistency of awards with any applicable sector-recognised standards	Council	Vice-Chancellor	Audit & Risk Committee Senate	Initial condition of registration only. Senate is assured by: Education and Student Experience Committee Quality and Standards Subcommittee Learning and Teaching Subcommittee Education Partnerships Oversight Panel Senate Awarding Panel		Committee Terms of Reference
ACA	ACADEMIC & STUDENT MATTERS	ACA.02	Compliance & Assurance	OFS C3		ACA.02.11	Approval of Student Protection Plan	Council	Vice-Chancellor	Senate			
ACA	ACADEMIC & STUDENT MATTERS	ACA.02	Quality Assurance	OFS F2		ACA.02.12	Responsible for publication and provision to OfS of arrangements for a student to transfer	Council	Senate	Quality and Standards Subcommittee	Processes for a student to transfer are the responsibility of the Academic Registrar		
ACA	ACADEMIC & STUDENT MATTERS	ACA.03	Compliance & Assurance			ACA.03.01	Approval of the Education and Student Experience Strategy	Council	Council	Senate	Education and Student Experience Committee responsible for development/oversight of the Education and Student Experience Strategy. Academic Strategy Committee provides oversight on behalf of UEB.		University Strategy Committee Terms of Reference

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ACA	ACADEMIC & STUDENT MATTERS	ACA.04	Student Recruitment Strategy			ACA.04.01	Approval of Student Recruitment Strategy	Senate	Academic Resourcing Committee	Student Recruitment Strategy Steering Group	Academic Strategy Committee provides oversight on behalf of UEB.		Committee Terms of Reference Student Recruitment Strategy
ACA	ACADEMIC & STUDENT MATTERS	ACA.05	Discipline of students			ACA.05.01	Authority to deal with minor offences	Senate	Senate	Authorised Officers: Registrar Academic Registrar Director of Wellbeing & Safeguarding Head of Community Safety & Security Librarian (only in relation to matters concerning the Library) Heads of Departments Director of Conduct and Resolution	Senate has authorised University Officers to deal with minor offences: Registrar Academic Registrar Director of Wellbeing & Safeguarding Head of Community Safety & Security Librarian (only in relation to matters concerning the Library) Heads of Departments Director of Conduct and Resolution Definition and non-financial penalties outlined in Sanctions Guidance	For certain drugs offences a fine not exceeding £250; A fine not exceeding £150; Sanctions Framework	Regulation 23 Regulation 23 Regulation 27 Sanctions Guidance
ACA	ACADEMIC & STUDENT MATTERS	ACA.05	Discipline of students			ACA.05.02	Authority to deal with major offences	Senate	Senate	Student Misconduct Panel	Student Misconduct Panel established at the request of Director of Conduct and Resolution or the Student Discipline Review Group to consider major offences. Panel has power to suspend or expel students. Definition and non-financial penalties outlined in Sanctions Guidance	Sanctions Guidance ranging from a reprimand to expulsion	Regulation 23
ACA	ACADEMIC & STUDENT MATTERS	ACA.06	Student complaints	OFS C2 CUC 3.7	GOV.24	ACA.06.01	Authority to manage Stage 1 student complaints	Senate	Senate	Academic School, Department or Service Area	Stage 1: complaints are resolved at a frontline/local level.		Student Complaints Resolution Procedure
ACA	ACADEMIC & STUDENT MATTERS	ACA.06	Student complaints	OFS C2 CUC 3.7	GOV.24	ACA.06.02	Authority to manage Stage 2 student complaints	Senate	Senate	Heads of Department/Centre/Activity	Stage 2: complaints managed by Central Student Complaints and Academic Casework Team. Heads of Department ultimately accountable for the outcome of stage 2 complaints.		Student Complaints Resolution Procedure
ACA	ACADEMIC & STUDENT MATTERS	ACA.06	Student complaints	OFS C2 CUC 3.7	GOV.24	ACA.06.03	Determination of whether a student complaint can be considered at Stage 3	Senate	Senate	Provost	A complainant who is dissatisfied with the outcome of stage 2 may request a stage 3 review. Provost (or a nominee) determines whether a case can be considered at stage 3.		Student Complaints Resolution Procedure
ACA	ACADEMIC & STUDENT MATTERS	ACA.06	Student complaints	OFS C2 CUC 3.7	GOV.24	ACA.06.04	Authority to refer back, reject or uphold a Stage 3 Student Complaint	Senate	Senate	Student Complaints Resolution Procedure Panel	If there are sufficient grounds for a complaint at stage 3, a panel approved by Provost and chaired by a Pro-Vice-Chancellor, Vice-President, Deputy Pro-Vice-Chancellor or authorised nominee of Registrar will be constituted.		Student Complaints Resolution Procedure
ACA	ACADEMIC & STUDENT MATTERS	ACA.06	Student complaints	OFS C2 CUC 3.7	GOV.24	ACA.06.05	Oversight of student complaints and casework	Senate	Senate	Quality and Standards Subcommittee	QSC receives reports on data, thematic issues and operational matters arising from the operation of the student complaints, appeals and other areas of student casework. Quarterly complaints review meeting chaired by the Academic Registrar.		Committee Terms of Reference
ACA	ACADEMIC & STUDENT MATTERS	ACA.07	Academic Governance		GOV.28.01	ACA.07.01	Approval of establishment and disestablishment of Academic Organisation, including naming or renaming of Academic Faculties and Departments	Council	Council	Senate	Faculties and Departments established on recommendation of Senate.		Ordinance 5.1 Ordinance 7 Committee Terms of Reference
ACA	ACADEMIC & STUDENT MATTERS	ACA.08	Academic Governance	OFS B4.3 OFS B5		ACA.08.01	Approval of establishment of Degrees	Council	Council	Senate	Council establishes degrees on recommendations of Senate. Managed via Ordinance 8, which lists degrees/diplomas/certificates the University confers.		Ordinance 4.4 Ordinance 5.1 Ordinance 8 Committee Terms of Reference
ACA	ACADEMIC & STUDENT MATTERS	ACA.09	Quality Assurance	OFS B4.3	APP.23.01	ACA.09.01	Granting and revocation of degrees and other academic distinctions to persons who have pursued a course of study and passed relevant examinations	Senate	Senate	Senate Awarding Panel	Excludes granting of Honorary Degrees. Senate has delegated authority to a Panel for approval of pass lists for undergraduate and postgraduate taught awards, on the recommendation of Boards of Examiners.		Ordinance 5.1 Ordinance 7.1 Committee Terms of Reference
ACA	ACADEMIC & STUDENT MATTERS	ACA.09	Quality Assurance	OFS B4.3	APP.23.01	ACA.09.02	Granting of Posthumous Awards in the event of a student death	Senate	Senate	Board of Examiners Senate Awarding Panel	Excludes granting of Honorary Degrees. Senate has delegated authority to the relevant Board of Examiners to make Posthumous Awards to a deceased student, where the examinations that were unable to be taken do not cumulatively contribute more than 30 per cent of the credit towards the final degree. Senate has delegated authority to the Senate Awarding Panel to make Posthumous Awards to a deceased student, where the examinations that were unable to be taken cumulatively contribute more than 30 per cent of the degree weighted credit.		Ordinance 8 Regulation 12
ACA	ACADEMIC & STUDENT MATTERS	ACA.10	Quality Assurance	OFS B4.3		ACA.10.01	Approval of decision record logs/ pass lists for UG and PGT awards	Senate	Senate	Senate Awarding Panel	Senate has delegated authority to a Panel for approval of pass lists for undergraduate and postgraduate taught awards, on the recommendation of Boards of Examiners.		Ordinance 5.1 Ordinance 7.1 Committee Terms of Reference
ACA	ACADEMIC & STUDENT MATTERS	ACA.10	Quality Assurance	OFS B4.3		ACA.10.02	Approval of pass lists for PGR awards	Senate	Senate	Vice-Chancellor			Ordinance 5.1 Ordinance 7.1 Committee Terms of Reference
ACA	ACADEMIC & STUDENT MATTERS	ACA.11	Quality Assurance	OFS B1 OFS B4		ACA.11.01	Design and approval of new courses / amendments to existing courses	Senate	Quality and Standards Subcommittee	Curriculum Approval Panel	Senate has delegated authority to Curriculum Approval Panel regarding approval of all new courses and amendments to existing courses. Proposals developed at departmental level and submitted to Education Policy & Quality via the course approval online system. The level of scrutiny granted to proposals depends on the proposal type but will always culminate with an approvals decision being made by the Course Proposal Scrutiny Panel. Decisions of Curriculum Approval Panel reported to Quality and Standards Subcommittee.		Paper S.68/14-15 Course Approval Online System Committee Terms of Reference
ACA	ACADEMIC & STUDENT MATTERS	ACA.11	Quality Assurance	OFS B1 OFS B4		ACA.11.02	Design and approval of new non-credit bearing courses / amendments to existing non-credit bearing courses	Senate	Curriculum Approval Panel Quality and Standards Subcommittee	Academic Departments			Financial Procedure 11

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ACA	ACADEMIC & STUDENT MATTERS	ACA.12	Quality Assurance	OFS B1 OFS B4		ACA.12.01	Approval of withdrawal or suspension of courses	Senate	Quality and Standards Subcommittee	Curriculum Approval Panel	Requests for discontinuation submitted to the Curriculum Approval Panel for consideration. Requests involving a partner organisation require approval from Education Partnerships Oversight Panel On approval, department notified by the Education Policy & Quality Team. Strategic Planning and Analytics also notified to update Student Record System (SITS).		Discontinuation of Courses Policy and Procedure
ACA	ACADEMIC & STUDENT MATTERS	ACA.12	Quality Assurance	OFS B1 OFS B4		ACA.12.02	Approval of withdrawal or suspension of courses involving a partner organisation	Senate	Quality and Standards Subcommittee	Education Partnerships Oversight Panel	Requests for discontinuation submitted to the Curriculum Approval Panel for consideration. Requests involving a partner organisation require approval from Education Partnerships Oversight Panel On approval, department notified by the Education Policy & Quality Team. Strategic Planning and Analytics also notified to update Student Record System (SITS).		Discontinuation of Courses Policy and Procedure
ACA	ACADEMIC & STUDENT MATTERS	ACA.13	Academic Governance		ACA.02.04	ACA.13.01	Establishment of bursaries and scholarships	Council	Council Finance and General Purposes Committee	Senate sub-committees Academic Resourcing Committee Financial Plan Committee	Council has delegated responsibility to Senate sub-committees for the establishment of prizes, subject to approval of funding by Academic Resourcing Committee and/or Financial Plan Committee.		Code of Practice on Corporate Governance Committee Terms of Reference
ACA	ACADEMIC & STUDENT MATTERS	ACA.14	Quality Assurance	OFS B5 CUC 6.5		ACA.14.01	Approval of collaborative provision / academic partnerships for low /medium risk proposals and where no new course is required	Senate	Senate	Quality and Standards Subcommittee Education Partnerships Oversight Panel	Proposals for collaborative provision / academic partnerships considered by an outline panel. If panel do not support proposal it is referred to the University Executive Board. If proposal is low /medium risk and no new course is required, it is approved by Education Partnerships Oversight Panel If proposal is high risk, it is approved by Quality & Standards Subcommittee. All decisions taken reported to Senate.		Committee Terms of Reference Financial Procedure 11?
ACA	ACADEMIC & STUDENT MATTERS	ACA.14	Quality Assurance	OFS B5 CUC 6.5		ACA.14.02	Approval of collaborative provision / academic partnerships for high risk proposals	Senate	Senate	Quality and Standards Subcommittee	Proposals for collaborative provision / academic partnerships considered by an outline panel. If panel do not support proposal it is referred to the University Executive Board. If proposal is low /medium risk and no new course is required, it is approved by Education Partnerships Oversight Panel If proposal is high risk, it is approved by Quality & Standards Subcommittee. All decisions taken reported to Senate.		Committee Terms of Reference Financial Procedure 11?
ACA	ACADEMIC & STUDENT MATTERS	ACA.14	Quality Assurance	CUC 6.5	INT.02.01, INT.02.02	ACA.14.03	Oversight of significant partnership or working arrangements with other organisations	Council	Vice-Chancellor	Audit & Risk Committee Senate Finance & General Purposes Committee	Senate is assured (as appropriate) by: Education and Student Experience Committee Research Committee Quality and Standards Subcommittee Education Partnerships Oversight Panel Academic Strategy Committee considers, at an early stage, proposed new opportunities for research and education partnerships.		Committee Terms of Reference Financial Procedure 11?
ACA	ACADEMIC & STUDENT MATTERS	ACA.15	Quality Assurance	OFS A OFS B Ofsted		ACA.15.01	Approval of degree apprenticeships	Senate	Senate	Quality and Standards Subcommittee Apprenticeships Oversight Panel	Proposals developed departmentally via Departmental Education Committees. Apprenticeship Approvals and Review Group then considers proposals and recommends to Curriculum Approval Panel and to the Apprenticeships Oversight Panel and Quality and Standards Subcommittee for approval.		Committee Terms of Reference Financial Procedure 11
ACA	ACADEMIC & STUDENT MATTERS	ACA.16	Academic Governance			ACA.16.01	Appointment of members of Boards of Examiners for all taught courses	Senate	Senate	Senate Awarding Panel	Senate Awarding Panel considers recommendations from Heads of Department/Centre/Activity for the appointment of members of Boards of Examiners for all taught courses for programmes within their area.		Ordinance 5.1 Regulation 9 Committee Terms of Reference
ACA	ACADEMIC & STUDENT MATTERS	ACA.17	Academic Governance			ACA.17.01	Appointment of external examiners (undergraduate and postgraduate taught)	Senate	Senate	Senate Awarding Panel	Senate has delegated authority to a Panel of Senate for appointment of undergraduate and postgraduate taught external examiner appointments, and to the Board of Graduate Studies for postgraduate research arrangements.		Ordinance 5.1 Regulation 9 Committee Terms of Reference
ACA	ACADEMIC & STUDENT MATTERS	ACA.17	Academic Governance			ACA.17.02	Appointment of external examiners (postgraduate research)	Senate	Senate	Senate Awarding Panel	Senate has delegated authority to a Panel of Senate for appointment of undergraduate and postgraduate teaching external examiner appointments, and to the Board of Graduate Studies for postgraduate research arrangements.		Ordinance 5.1 Regulation 9 Committee Terms of Reference
ACA	ACADEMIC & STUDENT MATTERS	ACA.18	Academic Governance			ACA.18.01	Approval of University term dates	Council	Senate	Institutional Governance Team	The Senate and Council approve a ten-year rolling schedule of term dates, proposed by the Institutional Governance Team as part of the setting of the University Committee Timetable.		
ACA	ACADEMIC & STUDENT MATTERS	ACA.19	Academic Governance			ACA.19.01	Committee diversity	Senate	Senate Nominations Panel	Education, Policy and Quality Team	To enable oversight of and encourage committee diversity, we recommend establishing a Senate Nominations Panel similar to the Nominations Committee. This Panel would work on behalf of the Senate to monitor and report on the implementation of a key aim of the Review, to improve the diversity of memberships over time. This Panel would additionally be responsible for organising and delivering the recruitment of committee members to some of the newer categories of membership that are not ex-officio or elected. The Panel would have oversight of the diversity composition of Senate and its Subcommittees, which would sit within its remit, via a data dashboard.		Committee Terms of Reference
ACA	ACADEMIC & STUDENT MATTERS	ACA.20	Academic Governance			ACA.20.01	Approval of changes to the Academic Governance Framework	Senate	Senate	Education and Student Experience Committee	Education and Student Experience Committee recommends to the Senate, University regulations on matters pertaining to education and the student experience.		Committee Terms of Reference
APP	APPOINTMENTS & STAFFING	APP.01	Statutory Appointments			APP.01.01	Appointment of Chancellor	Council Senate	Council Senate		Chancellor appointed in a joint session of Council and Senate.		Article 5 Ordinance 3.1
APP	APPOINTMENTS & STAFFING	APP.02	Statutory Appointments			APP.02.01	Appointment of Pro-Chancellors	Council	Council		Chair and Vice-Chair of Council appointed to the office of Pro-Chancellor, unless Council determines otherwise.		Article 5 Ordinance 3.3

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APP	APPOINTMENTS & STAFFING	APP.03	Statutory Appointments			APP.03.01	Appointment of Chair and Vice-Chair of Council	Council	Council		Council appoints Chair and Vice-Chair from amongst its independent members in line with Nominations Committee procedures.		Statute 5 Ordinance 4.3 Code of Practice on Corporate Governance Nominations Committee procedures
APP	APPOINTMENTS & STAFFING	APP.04	Statutory Appointments			APP.04.01	Appointment of Treasurer	Council	Council		Council appoints Treasurer from amongst its independent members.		Article 5 Ordinance 3.6 Ordinance 4.4 Code of Practice on Corporate Governance
APP	APPOINTMENTS & STAFFING	APP.05	Statutory Appointments		APP.07.01	APP.05.01	Appointment and removal of members of Council	Council	Council	Nominations Committee	Nominations Committee has delegated oversight of recruitment and removal process for members of Council (other than ex officio members). Professional services staff eligible to vote on appointment of professional services representative on Council. Voting process managed by Council secretariat. Appointment of academic members of Council is covered by APP.07.01		Ordinance 4.1 Committee Terms of Reference Code of Practice on Corporate Governance; Procedure for Resignation and Removal of members of Council
APP	APPOINTMENTS & STAFFING	APP.06	Corporate Governance			APP.06.01	Appointment of individuals external to the University to membership of the Council sub-committees	Council	Council	Nominations Committee	Nominations Committee has delegated oversight of recruitment process for external members.		Ordinance 4.1 Committee Terms of Reference
APP	APPOINTMENTS & STAFFING	APP.07	Corporate Governance		APP.05.01	APP.07.01	Appointment of academic representatives of the Council	Senate	Senate		Senate appoints up to four of its members to represent views of the Senate on Council, including the Chair of Academic Freedom Review Committee (AFRC). Removal of an academic member of Council is covered by APP.05.01		Statute 5 Ordinance 5.1 Ordinance 11
APP	APPOINTMENTS & STAFFING	APP.08	Corporate Governance			APP.08.01	Appointment to boards and other University appointed external positions	Council	Finance and General Purposes Committee	Group Finance Director University Secretary			
APP	APPOINTMENTS & STAFFING	APP.09	Statutory Appointments			APP.09.01	Appointment of Vice-Chancellor	Council	Council Senate	Joint Council and Senate Committee on the Appointment of the Chancellor	As set out in Ordinance 3.2, on notice of a vacancy in the Vice-Chancellorship, the Council and the Senate will establish a joint committee to consider the position and to recommend an appointment to fill the vacancy.		Article 5 Statute 3 Statute 6 Statute 11 Ordinance 3.2 Ordinance 4.4
APP	APPOINTMENTS & STAFFING	APP.10	Statutory Appointments			APP.10.01	Appointment of Provost	Council	Council	Vice-Chancellor	Vice-Chancellor recommends appointment of Provost to Council. Search Committee of the Senate advises Vice-Chancellor. Council consults Senate on appointment of Provost.		Article 5 Ordinance 4.4 Ordinance 3.4
APP	APPOINTMENTS & STAFFING	APP.11	Statutory Appointments			APP.11.01	Recommendation of number of Pro-Vice-Chancellors to be appointed	Council	Council	Vice-Chancellor	Vice-Chancellor recommends number of Pro-Vice-Chancellors to be appointed.		Article 5 Statute 5 Ordinance 3.5 Ordinance 4.4
APP	APPOINTMENTS & STAFFING	APP.11	Statutory Appointments			APP.11.02	Appointment of Pro-Vice-Chancellors	Council	Council	Appointment Committee for Pro-Vice-Chancellors	Appointment Committee recommends candidates to be appointed.		Article 5 Statute 5 Ordinance 3.5 Ordinance 4.4
APP	APPOINTMENTS & STAFFING	APP.12	Appointment of Secretary to Council			APP.12.01	Appointment of Secretary to Council	Council	Council		Council appoints the Secretary to Council which is a specific function that may (or may not) be the University Secretary (which is a post that is recruited as per usual).		Statute 5 Ordinance 4
APP	APPOINTMENTS & STAFFING	APP.13	Appointment of Academic Heads of Department			APP.13.01	Appointment of Academic Heads of Department	Council Senate	University Executive Board People Committee	Committee on the Appointment of Heads of Department	The Committee on the Appointment of Heads of Department receives and approves recommendations from the formal interview panel for appointment of Heads of Departments and reports into the University Executive Board and People Committee on behalf of the Council and the Senate.		Ordinance 7.2 Committee Terms of Reference
APP	APPOINTMENTS & STAFFING	APP.13	Appointment of Professional Services Heads of Department			APP.13.02	Appointment of Professional Services Heads of Department	Council	University Executive Board	People Team	Standard recruitment process. Subject to line management, recruiting manager is Vice-Chancellor or relevant member of UEB.		
APP	APPOINTMENTS & STAFFING	APP.14	Academic Processes			APP.14.01	Establishment of academic posts: Librarian of the University, other persons of academic staff not provided for elsewhere in Statute	Council	Council	Senate	Senate recommends to Council on the establishment of the following posts: Librarian of the University Other persons of academic staff not provided for elsewhere in Statute		Ordinance 4.4 Ordinance 5.1 Regulation 4 Committee Terms of Reference
APP	APPOINTMENTS & STAFFING	APP.14	Academic Processes			APP.14.02	Establishment of academic posts, excluding those managed by Senate above, subject to not exceeding the resources allocated in the University Financial Plan	Council	Academic Resourcing Committee	Academic Departments	Council has delegated responsibility to Academic Resourcing Committee (ARC) for establishment of academic posts (excluding those managed by Senate above) subject to not exceeding the resources allocated in the University Financial Plan. Academic Strategy Committee ensures that the impact of academic resourcing decisions on other areas such as capital space and planning, professional and support services, commercial services and core academic infrastructure are considered and referred to other bodies as appropriate.	Subject to not exceeding the resources allocated in the University Financial Plan	Ordinance 4.4 Ordinance 5.1 Regulation 4 Committee Terms of Reference

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APP	APPOINTMENTS & STAFFING	APP.14	Academic Processes			APP.14.03	Confirmation of academic appointment on satisfactory completion of probation and approval of promotion	Council	Senate	Academic Staff Committee	The Academic Staff Committee: Conducts annual reviews of academic staff in all grades below the level of Professor Confirms the appointment of academic staff to Associate Professor on satisfactory completion of the period of probation Approves promotion to Reader Approves promotion to Associate Professor – teaching focussed or research focussed Decisions taken by the ASC reported to Senate.		Ordinance 4.4 Ordinance 5.1 Regulation 4 Committee Terms of Reference
APP	APPOINTMENTS & STAFFING	APP.15	Academic Processes			APP.15.01	Approve all matters affecting the appointment, duties and conditions of service of academic staff	Council	Senate	People Committee	The following are involved as required: Academic Resourcing Committee Academic Strategy Committee Academic Staff Committee Policy Oversight Committee		Statute 11 Ordinance 4.4 Ordinance 5.1 Committee Terms of Reference
APP	APPOINTMENTS & STAFFING	APP.15	Academic Processes			APP.15.02	To approve the establishment and monitoring of processes for academic staff (below the level of Professor) relating to: a) Annual review / appraisal; b) Confirmation of appointment to Associate Professor on satisfactory completion of the period of probation; c) Academic Promotions	Council	Senate	People Committee			Committee Terms of Reference
APP	APPOINTMENTS & STAFFING	APP.16	Senior Remuneration			APP.16.01	Determination of salaries and performance related pay for the Senior Management Team	Council	Council	Remuneration Committee	Within the Remuneration Framework approved by the Council, RemCo reviews and approves pay recommendations for the following: The Vice-Chancellor and President All senior roles that report directly to the Vice-Chancellor: Provost Registrar Pro-Vice-Chancellors Vice-Presidents Group Finance Director Commercial Director University Secretary Chief Information and Transformation Officer Chief Marketing and Communications Officer Chief People Officer Executive Chair of Warwick Innovation District Holders of significant faculty or departmental executive roles which report to the Provost, currently: Executive Dean, WBS Executive Dean, WMS Any other senior role which has a significant influence over reward policy. Initial appointment of staff where proposed salary is above £200,000		Framework for University Senior Remuneration Committee Terms of Reference
APP	APPOINTMENTS & STAFFING	APP.17	Senior Remuneration			APP.17.01	Approval of the Framework for Senior Remuneration	Council	Council	Remuneration Committee	RemCo reviews the Framework for Senior Remuneration on an annual basis and recommends to Council.		Framework for Senior Remuneration
APP	APPOINTMENTS & STAFFING	APP.18	Remuneration			APP.18.01	Oversight of the Remuneration Strategy and associated performance-related pay schemes and bonus schemes of the University for staff at grades 1 to 9 inclusive and any major changes to associated employee benefits structures	Council	University Executive Board	People Committee	People Committee recommends to UEB the Remuneration Strategy. UEB oversees the Remuneration Strategy and reports to Council as required. UEB provides an annual report, prepared by People Team, to the Remuneration Committee on its work specific to remuneration.		Framework for Senior Remuneration Committee Terms of Reference
APP	APPOINTMENTS & STAFFING	APP.18	Remuneration			APP.18.02	Approval of the establishment of new departmental bonus schemes in line with the University's Bonus Framework (in development)	Council	University Executive Board (until Bonus Framework has been approved, after which authority will be delegated to People Committee)	People Committee	People Committee has delegated authority from the University Executive Board (UEB) to approve any new departmental bonus schemes in line with the University's Bonus Framework (currently in development and which will be approved by the UEB). Until the Framework is approved, bonus schemes will continue to be approved by UEB.		Committee Terms of Reference
APP	APPOINTMENTS & STAFFING	APP.19	Pension Arrangements	The Pensions Regulator		APP.19.01	Pension arrangements for all employees	Council	Council	Finance & General Purposes Committee	Council is 'employer' in relation to pension arrangements for employees. FGPC advises Council on pension matters as appropriate. Chief People Officer manages day-to-day superannuation matters.		Financial Procedure 17 Committee Terms of Reference
APP	APPOINTMENTS & STAFFING	APP.19	Pension Arrangements	The Pensions Regulator		APP.19.02	Acting for the University in relation to the University Pension Scheme	Council	Finance & General Purposes Committee	University Executive Board	Acting for the University in relation to the University Pension Scheme is delegated to UEB, on advisement of the Chief People Officer, a nominated Senior Finance representative (currently a Deputy Finance Director), Head of Pensions Strategy/Secretary to UPS and Pensions Administration Manager. FGPC advises Council on pension matters as appropriate. Director of HR manages day-to-day superannuation matters.		Financial Procedure 17 Committee Terms of Reference
APP	APPOINTMENTS & STAFFING	APP.19	Pension Arrangements	The Pensions Regulator		APP.19.03	Responsibility for the University Pension Scheme	Council	Finance & General Purposes Committee	UPS Pension Trustee Limited	The Scheme Trustee is responsible for: supervising the preparation of financial statements which show a true and fair view; such internal control as they determine is necessary to enable the preparation of financial statements that are free from material misstatement, whether due to fraud or error; assessing the Scheme's ability to continue as a going concern, disclosing, as applicable, matters related to going concern; and using the going concern basis of accounting unless they either intend to wind up the Scheme, or have no realistic alternative but to do so.		Scheme Rules Trustee Company's Articles of Association
APP	APPOINTMENTS & STAFFING	APP.20	Dismissal and redundancy of academic staff			APP.20.01	Dismissal and redundancy of academic staff, including the Vice-Chancellor	Council	Council	Academic Freedom Review Committee	University has procedure to determine whether academic freedom has been infringed in cases of dismissal of academic staff, managed by Academic Freedom Review Committee.		Statute 11 Ordinance 11

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APP	APPOINTMENTS & STAFFING	APP.21	Determination of severance pay for staff members			APP.21.01	Determination of severance pay for staff members: a) outside of any agreed policy in place from time to time, or b) where the payment is equal to or above £100,000, and c) all senior members of staff whose remuneration is determined by the Committee	Council	Council	Remuneration Committee	RemCo approves the level of severance pay to be awarded to members of staff outside of any agreed policy in place from time to time or where the payment is equal to or above £100,000 and all senior members of staff whose remuneration is determined by the Committee.	>£100k	Framework for Senior Remuneration Code of Practice on Corporate Governance Committee Terms of Reference
APP	APPOINTMENTS & STAFFING	APP.21	Determination of severance pay for staff members			APP.21.02	Determination of severance pay for staff members not covered in APP.21.01	Council	People Team Senior Leadership	People Team Senior Leadership	Severance pay for staff that is below £100k is managed by the People Team	<£100k	Framework for Senior Remuneration Code of Practice on Corporate Governance Committee Terms of Reference
APP	APPOINTMENTS & STAFFING	APP.22	Legal cases involving employment matters or the good name of the University			APP.22.01	Legal cases involving employment matters or the good name of the University	Council	Council	Vice-Chancellor / Treasurer	Such legal cases raised with Registrar, who refers to Vice-Chancellor and/or Treasurer as appropriate.		Financial Procedure 17 Committee Terms of Reference
APP	APPOINTMENTS & STAFFING	APP.22	Legal cases involving employment matters or the good name of the University			APP.22.02	Legal cases involving employment matters or the good name of the University (cases involving Registrar, Vice-Chancellor or members of Senate or Council)	Council	Council	Chair of Council	Legal cases involving Registrar, Vice-Chancellor or members of Senate or Council referred to Chair of Council who may consult with appropriate committees.		Financial Procedure 17 Committee Terms of Reference
APP	APPOINTMENTS & STAFFING	APP.22	Legal cases involving employment matters or the good name of the University			APP.22.03	Oversight of instigation/negotiation of legal proceedings in pursuance of management and protection of good name of the University	Council	Council	Finance & General Purposes Committee	FGPC oversees instigation/negotiation of legal proceedings in pursuance of management and protection of good name of the University, referred as required by the Director of Legal and Compliance Services.		Financial Procedure 17 Committee Terms of Reference
APP	APPOINTMENTS & STAFFING	APP.23	Granting of Honorary Degrees	ACA.09.01		APP.23.01	Granting of Honorary Degrees	Council / Senate	Council / Senate	Honorary Degrees Committee	Senate has delegated authority for approval of nominations for honorary degrees and joint honorary degrees to HDC.		Article 4 Ordinance 5.1 Ordinance 9
APP	APPOINTMENTS & STAFFING	APP.24	Revocation of Honorary Degrees			APP.24.01	Revocation of Honorary Degrees	Council / Senate	Vice-Chancellor (in capacity as Chair of Senate)	Honorary Degrees Committee	Cases for revoking an honorary degree submitted to the University Secretary to forward to HDC as appropriate. HDC recommends to Vice-Chancellor, who approves/rejects on behalf of Senate. All revocations are reported to Council and Senate.		Process for Revocation of Honorary Degrees
APP	APPOINTMENTS & STAFFING	APP.25	Granting of title of Emeritus Professor			APP.25.01	Granting of title of Emeritus Professor	Senate	Academic Staff Committee	Relevant People Partner on the recommendation of the Head of Department			Ordinance 5.1 Committee Terms of Reference
APP	APPOINTMENTS & STAFFING	APP.26	Appointment of External Auditors			APP.26.01	Appointment of External Auditors	Council	Council	Audit & Risk Committee	The University's Statutory Auditors are subject to annual reappointment by the Council, on the recommendation of the Audit & Risk Committee.		OfS Audit Code of Practice Statute 4 Ordinance 12 Committee Terms of Reference Financial Procedure 2
APP	APPOINTMENTS & STAFFING	APP.27	Appointment of Regius Professor			APP.27.01	Appointment of Regius Professor	Senate	Provost	Panel Chaired by the Provost	When a Regius Professor title becomes available, usually due to an existing titleholder leaving the University, appointment takes place through the usual Professor appointment process of an Electoral Board. The position is advertised externally and a panel chaired by the Provost makes the appointment. The salary is agreed in negotiation with the candidate by the Provost.		People Team Process
CAP	CAPITAL PROGRAMME	CAP.01	Capital Projects			CAP.01.01	Approval of the Capital Plan	Council	Council	Finance & General Purposes Committee	Financial Plan Committee recommends Capital Plan to FGPC, who recommend to Council for approval. University Estate & Environment Committee consulted on site, appearance and value for money of capital projects.		Financial Procedure 18 Committee Terms of Reference
CAP	CAPITAL PROGRAMME	CAP.02	Capital Projects			CAP.02.01	Procurement, management and delivery of minor capital projects	Estates Senior Leadership Team (in line with Estates Office Project Procedures)	Estates Senior Leadership Team	Estates Office	Projects up to £1m if not determined to be governed as a major project	Up to £1m	Financial Procedure 18 Capital Programme Minor Project Management Procedure
CAP	CAPITAL PROGRAMME	CAP.02	Capital Projects			CAP.02.02	Approval of seed funding for project development	Council	Finance & General Purposes Committee	Financial Plan Committee			Financial Procedure 18
CAP	CAPITAL PROGRAMME	CAP.02	Capital Projects			CAP.02.03	Utilisation of contingency budget to manage project risks or use of project underspends to enable change of scope	Council	Finance & General Purposes Committee	Project Progressing Group Group Finance Director Finance Director	Capital Programme Board/PPG provided project remains on target. Aggregate variations greater than £100k to be agreed and countersigned by GFD/FD. Schedule of authorities for delegated sign off of variations to be agreed on each project by PPG in consultation with GFD.		Financial Procedure 18
CAP	CAPITAL PROGRAMME	CAP.02	Capital Projects			CAP.02.04	Other variations from approved construction budget or cashflow	Council	Finance & General Purposes Committee	Financial Plan Committee	FPC/ FGPC approve new or additional expenditure not included in the Financial Plan within delegated authorities and subject to cashflow remaining within limits set in approved Financial Strategy.	<£5m FPC <£10m FGPC	Financial Procedure 18
CAP	CAPITAL PROGRAMME	CAP.03	Capital Projects			CAP.03.01	Procurement, management and delivery of general infrastructure projects	Council	University Estate & Environment Committee	Estates Office	Projects related to general infrastructure managed by Estates Office within approved budget, approved by UEEC.		Financial Procedure 18
CAP	CAPITAL PROGRAMME	CAP.03	Capital Projects			CAP.03.02	Oversight of public realm and infrastructure projects	Council	University Estate & Environment Committee	Public Realm and Infrastructure Capital Programme Board	Public Realm and Infrastructure Capital Programme Board scrutinises public realm and infrastructure projects and assures UEEC.		Financial Procedure 18
CAP	CAPITAL PROGRAMME	CAP.03	Capital Projects			CAP.03.03	Approval of external siting of any work of art or the siting of any permanent commission	University Executive Board	University Executive Board	Art Collection Committee	Art Collection Committee approves budget, artistic and local strategic elements. Review by Public Realm Programme Board or relevant stakeholders as necessary inc. Health & Safety approval, Campus Safety approval. UEB gives final approval as necessary.		Committee Terms of Reference

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CAP	CAPITAL PROGRAMME	CAP.04	Capital Projects		FIN.07, CAP.02.02, EST.07.01	CAP.04.01	Approval of major capital projects	Council	Council	Finance & General Purposes Committee Financial Plan Committee University Estate & Environment Committee	Release of funding at every RIBA stage will require approval. FGPC approves release of funding and/or rephasing of release of resources for expenditure on projects in the approved Capital Plan of up to £20m, subject to review of business plan & risk register, project remaining on budget and University cashflow remaining within limits set in approved Financial Strategy. FGPC may approve a proposal to amalgamate or delegate RIBA financial stage gate approvals or the release of funds for projects with total budget up to £5m, where the Director of Capital Programmes and GFD agree that the risk profile is sufficiently low to warrant a different approach. FGPC approves new and/or additional capital expenditure not included in Financial Plan, to respond to unforeseen strategic opportunity / risks with an aggregate approval cap of £10m per annum. FPC approves release of funding and/ or rephasing of release of resources forexpenditure on projects in the approved Capital Plan of up to £5m, subject to review of business plan & risk register, project remaining on budget and University cashflow remaining within limits set in approved Financial Strategy. FPC approves new capital and/or revenue expenditure not included in Financial Plan, to respond to unforeseen strategic opportunity / risks, with an aggregate approval cap of £5m per annum. FGPC may approve further delegated authority to spend above this amount in-year. University Estate and Environment Committee (UEEC) approves the University's quality, design and environmental standards for capital projects, as well as the location and design for major capital projects. UEEC oversees the progress of projects via reports from the PPGs.	>£1m <20m	Financial Procedure 18 Capital Programme Major Project Management Procedure
CAP	CAPITAL PROGRAMME	CAP.05	Capital Projects			CAP.05.01	Approval of Initial Statement of Need for major capital projects (RIBA Stage 0 to 1 gateway)	Council	Finance & General Purposes Committee	Financial Plan Committee Space Management Committee	Space Management Committee (SMC) oversees the use of non-residential, non-commercial spaces, and approves Initial Statements of Need (ISONS) for major capital projects within its remit subject to the granting of funding from Financial Plan Committee for this work.	>£1m	Financial Procedure 18
CAP	CAPITAL PROGRAMME	CAP.06	Capital Projects			CAP.06.01	Approval of location/site of major capital projects	Council	Finance & General Purposes Committee	University Estate & Environment Committee	University Estate and Environment Committee (UEEC) approves the University's quality, design and environmental standards for capital projects, as well as the location and design for major capital projects.	>£1m	Financial Procedure 18 Capital Programme Major Project Management Procedure Committee Terms of Reference
CAP	CAPITAL PROGRAMME	CAP.07	Capital Projects		EST.07.01	CAP.07.01	Approval of Outline Proposal for major capital projects (RIBA Stage 1 to 2 gateway)	Council	Finance & General Purposes Committee	University Estate & Environment Committee Financial Plan Committee	Financial Plan Committee (FPC) approves outline proposals and detailed business plans.	>£1m	
CAP	CAPITAL PROGRAMME	CAP.08	Capital Projects			CAP.08.01	Approval of Detailed Business Plan (RIBA Stage 2 to 3 gateway)	Council	Finance & General Purposes Committee	University Estate & Environment Committee Financial Plan Committee	Financial Plan Committee (FPC) approves outline proposals and detailed business plans.	>£1m	Financial Procedure 18
CAP	CAPITAL PROGRAMME	CAP.09	Capital Projects			CAP.09.01	Oversight of value for money of capital projects	Council	Audit & Risk Committee	Finance & General Purposes Committee	UEEC consulted/receives reports.		
CAP	CAPITAL PROGRAMME	CAP.10	Capital Projects			CAP.10.01	Post-investment reviews for investments/projects >£10m	Council	Audit & Risk Committee	Finance & General Purposes Committee	FGPC receives post-investment reviews on investments of >£10m. PIRs for investments <£10m are considered as part of usual post-project methodology	>£10m	Committee Terms of Reference
EST	ESTATES	EST.01	Estates related strategies			EST.01.01	Estates related strategies (including, but not limited to: Accommodation, Carbon, Energy, Environmental and Social Sustainability, Travel and Transport)	Council	Council	University Executive Board	UEEC consulted/reviews.		
EST	ESTATES	EST.02	Maintenance of buildings, premises and grounds			EST.02.01	Provision and maintenance of buildings, premises and grounds	Council	University Estate & Environment Committee	Financial Plan Committee Director of Estates	Council has delegated authority for provision and maintenance of buildings to UEEC and Director of Estates.		Financial Regulation H Code of Practice on Corporate Governance Committee Terms of Reference
EST	ESTATES	EST.03	Naming of University buildings			EST.03.01	Approval of naming proposals not agreed as donor assets	Council	University Estate & Environment Committee	Space Management Committee Vice-Chancellor and University Executive Board Director of Development Estates Director	A name should be assessed for compliance with the Space Management Committee submitted for consideration by the Vice-Chancellor and University Executive Board, Director of Development, Estates Director and then recommended to the University Estate and Environment Committee. Ultimate responsibility for approving naming proposals, not agreed as donor assets, lies with the University Estate and Environment Committee.		Campus Infrastructure Naming Policy Committee Terms of Reference
EST	ESTATES	EST.03	Naming of University buildings			EST.03.02	Approval of naming proposals in recognition of a donor	Council	University Estate & Environment Committee	Director of Development Estates Director	The Director of Development will establish thresholds for naming opportunities in recognition of donations, in consultation with the Vice Chancellor. The Director of Development (in consultation with the Director of Estates) will make a recommendation for approval to the University Estate and Environment Committee.		Donor Naming and Recognition Policy Campus Infrastructure Naming Policy Committee Terms of Reference Solicitation and Acceptance of Gifts Policy
EST	ESTATES	EST.04	Acquisition of freehold and leasehold property			EST.04.01	Acquisition of freehold and leasehold property	Council	Finance & General Purposes Committee	University Estate & Environment Committee	Subject to: Release of funding by FGPC. Consent of Council if acquisition exceeds £20m or significant departure from approved Capital Plan.		Financial Regulation H Committee Terms of Reference

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EST	ESTATES	EST.05	Disposal of freehold and leasehold property			EST.05.01	Disposal of freehold and leasehold property	Council	Council Finance & General Purposes Committee	University Estate & Environment Committee	Subject to approval of FGPC and Council. If transaction exceeds £5m approval also required from relevant banks.		Financial Regulation H Committee Terms of Reference
EST	ESTATES	EST.06	Campus environmental sustainability			EST.06.01	Campus environmental sustainability	Council	Council	University Estate & Environment Committee University Executive Board	Sustainability Committee monitors compliance with Environmental Policy and performance against environmental targets, reporting to UEEC.		Environmental Policy Committee Terms of Reference
EST	ESTATES	EST.07	Quality, design and environmental standards and locations for major land, campus or capital developments and maintenance projects		EST.02.01	EST.07.01	Approval of the RIBA Stage 3 Design for major land, campus or capital developments and maintenance projects	Council	Finance & General Purposes Committee	University Estate & Environment Committee	UEEC approves or recommends to FGPC/ Council. PPGs recommend design to UEEC.	>£1m	
EST	ESTATES	EST.08	Space use			EST.08.01	Approval of Space Principles for the University	Council	University Estate & Environment Committee	Space Management Committee	SMC recommends to UEEC. UEEC approves and informs Council.		
FIN	BUDGETARY & FINANCIAL MATTERS	FIN.01	University banking			FIN.01.01	Appointment of University Bankers	Council	Council	Finance & General Purposes Committee			Financial Procedure 23 Committee Terms of Reference
FIN	BUDGETARY & FINANCIAL MATTERS	FIN.01	University banking			FIN.01.02	Opening of new Banking facilities	Council	Finance & General Purposes Committee	Vice-Chancellor and Group Finance Director	FGPC has delegated authority to the Vice-Chancellor and Group Finance Director to authorise the opening of bank accounts in line with the University's approved Treasury Management Policy and subject to the provisions of the University statutes.		Financial Procedure 23 Committee Terms of Reference
FIN	BUDGETARY & FINANCIAL MATTERS	FIN.02	University banking		FIN.09.01 FIN.11.01	FIN.02.01	Operation of University bank accounts	Council	Council	Finance & General Purposes Committee	Mandates for operation of bank accounts approved by FGPC. Bank payments: authority to make payments is set out in FP15 (and in accordance with bank mandates). Bank deposits: authority to place deposits is set out in FP23 (and in accordance with bank mandates)		Financial Procedure 1 Financial Procedure 23 Committee Terms of Reference Bank Mandates
FIN	BUDGETARY & FINANCIAL MATTERS	FIN.02	University banking			FIN.02.02	Responsibility for day-to-day banking arrangements	Council	Finance & General Purposes Committee	Group Finance Director Finance Director	The Group Finance Director is accountable for managing University cash, investments and borrowing in line with the University's Financial Strategy, treasury and investment policies and funder terms. The GFD has delegated day-to-day responsibility to the Finance Director.		Financial Procedure 23
FIN	BUDGETARY & FINANCIAL MATTERS	FIN.02	University banking			FIN.02.03	Authority to act on the University's behalf to register the Institution for all and any taxes as necessary to meet its obligations wherever they arise	Council	Finance & General Purposes Committee	Group Finance Director	Group Finance Director authorised to act on the University's behalf to register the Institution for all and any taxes as necessary to meet its obligations wherever they arise and holds signing authority for all taxes. The Group Head of Tax and the Chief People Officer are authorised to act on the University's behalf and hold signing authority in relation to those tax matters within their remit.		Financial Procedure 22
FIN	BUDGETARY & FINANCIAL MATTERS	FIN.03	Financial Sustainability	CUC		FIN.03.01	Approval of the University annual capital and revenue budget and Financial Plan	Council	Council	Finance & General Purposes Committee	Council may not delegate responsibility. Financial Plan Committee develops, with delegated authority from UEB and with robust scrutiny and challenge, the University's Financial Plan (including the Capital Plan) under oversight of UEB. This forms the basis of annual budget and Financial Plan which Council approves.		CUC Higher Education Code of Governance Committee Terms of Reference
FIN	BUDGETARY & FINANCIAL MATTERS	FIN.04	Financial Sustainability	OFS D	GOV.12.02	FIN.04.01	Approval of financial forecast submissions to the OFS	Council	Council	Finance & General Purposes Committee	Forms part of OFS Annual Accountability Return.		OFS Terms and Conditions of Funding Committee Terms of Reference
FIN	BUDGETARY & FINANCIAL MATTERS	FIN.05	Financial Sustainability	CUC 2.6	GOV.12.02	FIN.05.01	Approval of the Financial Statements (including: Public Benefit Statement, Statement of Internal Control, Statement of Primary Responsibilities of the Council)	Council	Council	Finance & General Purposes Committee Audit & Risk Committee	Council may not delegate responsibility. Forms part of OFS Annual Accountability Return. FGPC oversees preparation of Financial Statements. A&RC considers elements of Financial Statements with external auditors.		OFS Terms and Conditions of Funding Committee Terms of Reference
FIN	BUDGETARY & FINANCIAL MATTERS	FIN.05	Financial Sustainability	OFS D CUC 2.6	GOV.12.02	FIN.05.02	Approval and oversight of the University's Transparent Approach to Costing (TRAC) return to the OFS's and its process and governance.	Audit & Risk Committee Financial Plan Committee	Vice-Chancellor	TRAC Steering Group	The TRAC Steering Group reviews the final TRAC return and rates and recommends them for approval and sign-off by the Vice-Chancellor. A&RC oversees the process used to produce the University's TRAC return, being assured that they comply with the mandatory sector requirements. FPC receives the TRAC return for assurance that the institution is compliant with the TRAC return requirements.		Committee Terms of Reference
FIN	BUDGETARY & FINANCIAL MATTERS	FIN.06	Setting of provisional budget envelopes / targets for the main budgetary groups and subsequent revisions to those envelopes			FIN.06.01	Setting of provisional budget envelopes / targets for the main budgetary groups and subsequent revisions to those envelopes	Council	Finance & General Purposes Committee	Financial Plan Committee	FPC approves the setting of provisional budget envelopes / targets for the main budgetary groups (ARC, CCSG, PSG (and its constituent sub-groups) and Land & Property Activities and subsequent revisions to those envelopes. Note that final budget envelopes are only confirmed after the Financial Plan is approved by Council.		Code of Practice on Corporate Governance Committee Terms of Reference
FIN	BUDGETARY & FINANCIAL MATTERS	FIN.06	Distribution and allocation of resources for academic and non-academic purposes, in accordance with the University Financial Plan			FIN.06.02	Approval of reallocation of resources within agreed budget envelope	Finance & General Purposes Committee	University Executive Board	University Executive Board Members			Code of Practice on Corporate Governance Committee Terms of Reference
FIN	BUDGETARY & FINANCIAL MATTERS	FIN.06	Distribution and allocation of resources for academic and non-academic purposes, in accordance with the University Financial Plan		GOV.28.01	FIN.06.03	Scrutiny of business plans and the impact of significant in-year changes to resource allocation upon other teams and functions	Council	Finance & General Purposes Committee	University Executive Board			Committee Terms of Reference
FIN	BUDGETARY & FINANCIAL MATTERS	FIN.07	Release of funding and/or rephasing of release of resources for expenditure on projects in the approved Capital Plan		CAP.04.01	FIN.07.01	Release of funding and/or rephasing of release of resources for expenditure on projects in the approved Capital Plan of up to £20m	Council	Council	Finance & General Purposes Committee Financial Plan Committee	Release of funds in capital plan - each release: FPC, £5m; FGPC £20m. Release of resources in excess of £20m must be approved by Council.	>£20m	Financial Procedure 18 Committee Terms of Reference Code of Practice on Corporate Governance

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FIN	BUDGETARY & FINANCIAL MATTERS	FIN.07	Approval of resources not included in the University Financial Plan		CAP.04.01	FIN.07.02	Approval with aggregate approval cap of £10m per annum of new and/or additional expenditure (both revenue and capital) not included in Financial Plan	Council	Council	Finance & General Purposes Committee	Finance & General Purposes Committee has delegated authority to approve, with an aggregate approval cap of £10m per annum of new and/or additional expenditure (both revenue and capital) not included in Financial Plan.	<£10m pa	Financial Procedure 18 Committee Terms of Reference Code of Practice on Corporate Governance
FIN	BUDGETARY & FINANCIAL MATTERS	FIN.07	Approval of resources not included in the University Financial Plan		CAP.04.01	FIN.07.03	Approval with aggregate approval cap of £5m per annum of new capital and/or revenue expenditure not included in Financial Plan	Council	Council	Financial Plan Committee	Financial Plan Committee has delegated authority from UEB to approve, with an aggregate approval cap of £5m per annum of new capital and/or revenue expenditure not included in Financial Plan. FPC only considers bids over £100k; anything below £100k should be considered by the lead Budget Holder for inclusion in their budget envelope.	>£100k <£5m pa	Financial Procedure 18 Committee Terms of Reference Code of Practice on Corporate Governance
FIN	BUDGETARY & FINANCIAL MATTERS	FIN.08	Investment Management			FIN.08.01	Approval of major changes to Investment Policy, associated decisions and maintaining budgetary control	Council	Council	Finance & General Purposes Committee	Investment Sub-Committee advises FGPC on matters related to treasury and investment.		Code of Practice on Corporate Governance Committee Terms of Reference
FIN	BUDGETARY & FINANCIAL MATTERS	FIN.08	Investment Management			FIN.08.02	Approval of the University Investment Strategy and allocation of funds for investment	Council	Council	Finance & General Purposes Committee	Investment Sub-Committee advises FGPC on matters related to treasury and investment.		Code of Practice on Corporate Governance Committee Terms of Reference
FIN	BUDGETARY & FINANCIAL MATTERS	FIN.09	Treasury Management		FIN.02.01	FIN.09.01	Approval of major changes to Treasury Management Policy	Council	Council	Finance & General Purposes Committee	Investment Sub-Committee recommends Treasury Management Policy to FPGC. Group Finance Director presents annual report to FGPC on treasury management.		Financial Procedure 23 Treasury Management Policy Committee Terms of Reference
FIN	BUDGETARY & FINANCIAL MATTERS	FIN.09	Treasury Management			FIN.09.04	Monitoring of investment income against budget	Council	Finance & General Purposes Committee	University Executive Board Investment Sub-Committee	UEB and ISC monitor investment income against budget.		Committee Terms of Reference
FIN	BUDGETARY & FINANCIAL MATTERS	FIN.10	Treasury Management			FIN.10.01	Appointment of professional Treasury Management Advisers	Council	Finance & General Purposes Committee	Investment Sub-Committee	Professional Treasury Management Advisers appointed by FGPC on advisement of Investment Sub-Committee.		Financial Procedure 23
FIN	BUDGETARY & FINANCIAL MATTERS	FIN.11	Treasury Management		FIN.02.01	FIN.11.01	Investment of funds in accordance with the approved Treasury Management Policy	Council	Finance & General Purposes Committee	Authorised Signatories	Authorisation for investment of funds in line with the Treasury Management Policy is governed by the bank mandates for payments and deposits.		Financial Procedure 15 Financial Procedure 23 Treasury Management Policy Bank Mandates
FIN	BUDGETARY & FINANCIAL MATTERS	FIN.12	University borrowing			FIN.12.01	Approval of loans and borrowing	Council	Council	Finance & General Purposes Committee	Material changes in financial commitments reported to OfS.		OfS Terms and Conditions of Funding Financial Regulation G Committee Terms of Reference
FIN	BUDGETARY & FINANCIAL MATTERS	FIN.13	Accounting Policies		FIN.05.01	FIN.13.01	Approval of accounting policies	Council	Council	Finance & General Purposes Committee	Changes in accounting policy approved in context of the annual Financial Statements.		Committee Terms of Reference
FIN	BUDGETARY & FINANCIAL MATTERS	FIN.14	Financial Regulations and Procedures			FIN.14.01	Approval of the University's Financial Regulations and Procedures	Council	Council	Finance & General Purposes Committee	Financial Regulations and Procedures maintained and updated by the Group Finance Director. Financial Control and Compliance Group (FCCG) reviews and recommends to FGPC.		Financial Regulations Financial Procedures Committee Terms of Reference
FIN	BUDGETARY & FINANCIAL MATTERS	FIN.15	Tuition fees and other academic fees, and associated fees policies	OFS G1 OFS C1 CMA		FIN.15.01	Approval of, and alterations to, tuition fees and other academic fees, and associated fees policies	Council Senate	Financial Plan Committee	Fees Working Group	Responsibility for approval of tuition fees for accredited courses is delegated from the University Executive Board (UEB) to FPC on the recommendation of Fees Working Group, as per FP7. Delegation is limited to the approval of fees within the context of the financial planning assumptions approved by FGPC on behalf of Council. Non-accredited courses are approved in line with FP11.		Ordinance 4.4 Financial Procedure 7 Financial Procedure 11 Code of Practice on Corporate Governance Committee Terms of Reference
FIN	BUDGETARY & FINANCIAL MATTERS	FIN.16	Write off of bad debt related to tuition fees			FIN.16.01	Write off of bad debt related to tuition fees	Council	Council	Finance & General Purposes Committee		>£50k	Financial Procedure 7
FIN	BUDGETARY & FINANCIAL MATTERS	FIN.16	Write off of bad debt related to tuition fees			FIN.16.02	Write off of bad debt related to tuition fees	Council	Finance & General Purposes Committee	Group Finance Director or Finance Director		Up to £50k	Financial Procedure 7
FIN	BUDGETARY & FINANCIAL MATTERS	FIN.16	Write off of bad debt related to tuition fees			FIN.16.03	Write off of bad debt related to tuition fees	Council	Finance & General Purposes Committee	Deputy Finance Director		Up to £25k	Financial Procedure 7
FIN	BUDGETARY & FINANCIAL MATTERS	FIN.16	Write off of bad debt related to tuition fees			FIN.16.04	Write off of bad debt related to tuition fees	Council	Finance & General Purposes Committee	Head of Student Finance		Up to £5k	Financial Procedure 7
FIN	BUDGETARY & FINANCIAL MATTERS	FIN.16	Write off of bad debt related to tuition fees			FIN.16.05	Write off of bad debt related to tuition fees	Council	Finance & General Purposes Committee	Student Finance Manager		Up to £1k	Financial Procedure 7
FIN	BUDGETARY & FINANCIAL MATTERS	FIN.16	Write off of bad debt related to tuition fees			FIN.16.06	Write off of bad debt related to tuition fees	Council	Finance & General Purposes Committee	Credit Controllers in Student Finance Office		Up to £500	Financial Procedure 7
FIN	BUDGETARY & FINANCIAL MATTERS	FIN.17	Write off of non-student bad debt			FIN.17.01	Write off of non-student bad debt	Council	Council	Finance & General Purposes Committee		>£50k	Financial Procedure 8
FIN	BUDGETARY & FINANCIAL MATTERS	FIN.17	Write off of non-student bad debt			FIN.17.02	Write off of non-student bad debt	Council	Finance & General Purposes Committee	Group Finance Director or Finance Director		Up to £50k	Financial Procedure 8
FIN	BUDGETARY & FINANCIAL MATTERS	FIN.17	Write off of non-student bad debt			FIN.17.03	Write off of non-student bad debt	Council	Finance & General Purposes Committee	Deputy Finance Director or Financial Controller		Up to £25k	Financial Procedure 8
FIN	BUDGETARY & FINANCIAL MATTERS	FIN.17	Write off of non-student bad debt			FIN.17.04	Write off of non-student bad debt	Council	Finance & General Purposes Committee	Finance Manager (AR) or Accounts Receivable Manager		Up to £500	Financial Procedure 8
FIN	BUDGETARY & FINANCIAL MATTERS	FIN.17	Write off of non-student bad debt			FIN.17.05	Write off of non-student bad debt	Council	Finance & General Purposes Committee	Team Leader (AR) or Finance Assistant (AR)		Up to £100	Financial Procedure 8
FIN	BUDGETARY & FINANCIAL MATTERS	FIN.18	Student accommodation rates	CMA		FIN.18.01	Approval of rents of campus student accommodation	Council	Finance & General Purposes Committee	Student Rents Working Party	Working Party on Student Rents works with Students' Union to recommend a schedule of rents and let lengths for on campus accommodation to FGPC.		Committee Terms of Reference
FIN	BUDGETARY & FINANCIAL MATTERS	FIN.18	Student accommodation rates	CMA		FIN.18.02	Approval Nomination Agreements for off-campus student housing	Council	Finance & General Purposes Committee	Warwick Accommodation Strategic Planning Group	Nomination Agreements for off-campus housing considered by Warwick Accommodation Strategic Planning Group and recommended to the FGPC. Delegation is limited to the approval of student rents within the context of the financial planning assumptions.		Committee Terms of Reference

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FIN	BUDGETARY & FINANCIAL MATTERS	FIN.19	Student administration charges	CMA		FIN.19.01	Approval of administration charges associated to late payment of residential charges or academic fees	Council	Finance & General Purposes Committee	Group Finance Director	FGPC has delegated authority to Group Finance Director, to approve amount of administration fee to be charged when payment of a residential charge or academic fee is not made within 21 days of its due date.		Code of Practice on Corporate Governance. Regulation 45
FIN	BUDGETARY & FINANCIAL MATTERS	FIN.20	Deferral or payment in instalments of student payments	CMA		FIN.20.01	Approval for student payments to be deferred and/or made as part of an instalment plan outside of normal terms and conditions	Council	Finance & General Purposes Committee	Finance Office	Approval of arrangements is delegated to the Head of Student Finance.		Regulation 45 Financial Procedure 7
FIN	BUDGETARY & FINANCIAL MATTERS	FIN.20	Deferral or payment in instalments of student payments	CMA		FIN.20.02	Approval of student temporary withdrawal in the case of non-payment of academic related fees following repeated reminders or failure to submit a non-standard payment plan proposal	Council	Finance & General Purposes Committee	Academic Fee Payments Sub-Committee	Where student academic related debts remain unpaid following repeated reminder letters, cases are referred to the Academic Fee Payments Sub-Committee which can agree a non-standard payment plan proposal, if submitted, or recommend temporary withdrawal.		Regulation 45 Financial Procedure 7
FIN	BUDGETARY & FINANCIAL MATTERS	FIN.21	Insurance			FIN.21.01	Insurance (level and scope)	Council	Finance & General Purposes Committee	Finance & General Purposes Committee	Day-to-day insurance matters and annual renewal process managed by Insurance Services Manager.		Financial Regulation 1 Annual Insurance Report to FGPC
FIN	BUDGETARY & FINANCIAL MATTERS	FIN.21	Insurance			FIN.21.02	Approval of final insurance renewal terms	Council	Finance & General Purposes Committee	Finance Director, subject to approval of material changes being delegated to Chair of FGPC and Group Finance Director	Approval for final insurance renewal terms often delegated from FGPC to Finance Director, subject to approval of material changes being delegated to Chair of FGPC and Group Finance Director.		Financial Regulation 1 Annual Insurance Report to FGPC
FIN	BUDGETARY & FINANCIAL MATTERS	FIN.22	External audit			FIN.22.01	Approval of external statutory audit fee	Council	Council	Audit & Risk Committee	Group Finance Director negotiates annual audit fee and recommends to A&RC. A&RC consults Council if proposed fee represents a significant increase to the fee included in the agreed contract with the auditors, which is tendered on a regular basis.		OFS Audit Code of Practice Financial Procedure 2 Committee Terms of Reference
FIN	BUDGETARY & FINANCIAL MATTERS	FIN.23	External audit			FIN.23.01	Authority to engage external auditors for non-audit services (<£20k)	Council	Council Audit & Risk Committee	Group Finance Director (on behalf of Audit & Risk Committee)	Authority to engage external auditors for non-audit services is delegated to the Group Finance Director or nominee.	<£20k	OFS Audit Code of Practice Financial Procedure 2 Financial Procedure 15 Committee Terms of Reference
FIN	BUDGETARY & FINANCIAL MATTERS	FIN.23	External audit			FIN.23.02	Authority to engage external auditors for non-audit services (>£20k)	Council	Chair of Audit & Risk Committee Vice-Chancellor	Group Finance Director	Where relevant appointments are proposed, any assignment will require the approval of the GFD, and also the approval of the Vice-Chancellor and the Chair of the Audit and Risk Committee for assignments over £20,000 (excluding VAT), prior to commencing the University's normal approval process. Procurement must comply with FP15 in consultation with the Finance Office.	All >£20k	OFS Audit Code of Practice Financial Procedure 15 Committee Terms of Reference
FIN	BUDGETARY & FINANCIAL MATTERS	FIN.24	Income-generating non-research contracts		GOV.05.01	FIN.24.01	Approval of income-generating non-research contracts	University Executive Board	Authorised signatories: Group Finance Director or Finance Director Deputy Finance Director (Assurance) Vice-Chancellor Provost Registrar Designated signatories in Legal and Compliance Services are authorised to sign standard University confidentiality agreements	Relevant University Committee	Principal authorised signatories for income-generating non-research contracts are: Group Finance Director and Finance Director Vice-Chancellor, Provost and Registrar are also authorised signatories. Major activities/ developments/ventures require full business case to be submitted to the Finance Office and then to the relevant University Committee. Contracts which require University seal must be authenticated by two authorised persons, including: Members of the Council, Secretary to Council, Group Finance Director or Finance Director (see GOV.05.01). Legal & Compliance Services review the terms of the contract to ensure these meet the University's requirements and to advise on the risks posed by non-standard contract terms. They will also support departments with negotiation and drafting where a non-standard contract is required. Designated signatories in Legal and Compliance Services are authorised to sign standard University confidentiality agreements. Any variation to the standard terms must be approved and signed by a main signatory.		Ordinance 13 Financial Procedure 11
FIN	BUDGETARY & FINANCIAL MATTERS	FIN.25	Procurement			FIN.25.01	Procurement of goods and services within each Department/Centre/Activity	University Executive Board	University Executive Board	Heads of Department/Centre/Activity	Heads responsible for purchases within their Department/Centre/Activity. Responsibilities may be delegated to nominated individuals in consultation with the Finance Office. Finance Office keeps a record of this delegation of authority.		Financial Procedure 15
FIN	BUDGETARY & FINANCIAL MATTERS	FIN.25	Procurement			FIN.25.02	Procurement of goods and services >£35k	University Executive Board	Procurement and Insurance Office		Purchases over £35k require competitive tendering process, facilitated by the Procurement and Insurance Office.	>£35k	Financial Procedure 15
FIN	BUDGETARY & FINANCIAL MATTERS	FIN.25	Procurement			FIN.25.03	Procurement of goods and services >£50k	University Executive Board	Authorised Finance personnel	Group Finance Director or Finance Director Deputy Finance Director Head of Procurement and Insurance Office	Purchase orders in excess of £50k require approval by one of the following: Group Finance Director or Finance Director Deputy Finance Director Head of Procurement and Insurance Office	>£50k	Financial Procedure 15
GOV	GOVERNANCE, MANAGEMENT & CONTROL	GOV.01	Governing Instruments			GOV.01.01	Amendments to Charter	Privy Council	Privy Council	Council	Council may not delegate responsibility.		Article 13 Statute 6
GOV	GOVERNANCE, MANAGEMENT & CONTROL	GOV.02	Governing Instruments	OFS E1		GOV.02.01	New, amended or repealed Statutes	Privy Council	Privy Council	Council Senate	Council may not delegate responsibility. Senate to recommend on Statutes regarding academic endeavour.		Article 10 Statute 6
GOV	GOVERNANCE, MANAGEMENT & CONTROL	GOV.03	Governing Instruments	OFS E1		GOV.03.01	New, amended or repealed Ordinances	Council	Council	Senate	Senate must be consulted on Ordinances regarding academic endeavour.		Statute 6 Ordinance 4.4
GOV	GOVERNANCE, MANAGEMENT & CONTROL	GOV.04	Governing Instruments	OFS B4 OFS E1		GOV.04.01	New, amended or repealed Regulations	Council	Senate		Senate manages University Regulations (approves changes). Council has power to disallow/delay any Regulation (notes changes to Regulations as part of report from Senate).		Ordinance 4.4 Ordinance 5.1
GOV	GOVERNANCE, MANAGEMENT & CONTROL	GOV.04	Governing Instruments			GOV.04.02	Updates to nomenclature or operational details in Regulations	Council	Senate	Secretary to Senate	The Secretary to Senate has delegated authority from the Vice-Chancellor to approve updates to nomenclature or operational details in Regulations.		

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GOV	GOVERNANCE, MANAGEMENT & CONTROL	GOV.05	Custody and use of the Seal			GOV.05.01	Custody and use of the Seal	Council	Council	Secretary to Council	Application of seal authenticated by signature of two authorised persons, including: Council members, Secretary to Council, Group Finance Director or Finance Director. Seal and signature process managed by Secretary to Council.		Ordinance 4.4 Ordinance 13 Code of Practice on Corporate Governance
GOV	GOVERNANCE, MANAGEMENT & CONTROL	GOV.06	Execution of the responsibilities of the Chancellor			GOV.06.01	Execution of the responsibilities of the Chancellor	Council	Chancellor	Pro-Chancellor	A Pro-Chancellor can perform all functions of Chancellor in their absence or during a vacancy in office.		Article 5
GOV	GOVERNANCE, MANAGEMENT & CONTROL	GOV.07	Execution of the responsibilities of the Vice-Chancellor			GOV.07.01	Execution of the responsibilities of the Vice-Chancellor	Council	Vice-Chancellor	Provost Pro-Vice-Chancellors	Provost and Pro-Vice-Chancellors can perform functions of the Vice-Chancellor as they may delegate, or, if the Vice-Chancellor should be incapacitated, the Council may delegate.		Article 5
GOV	GOVERNANCE, MANAGEMENT & CONTROL	GOV.08	Execution of the responsibilities of the Council			GOV.08.01	Execution of the responsibilities of the Council on any urgent items of business that cannot be considered at a meeting or by correspondence	Council	Council	Authorised Council Sub-Group	An authorised Council sub-group comprising: Chair of Council; Vice-Chair of Council; Treasurer; Vice-Chancellor; Provost; Registrar; and Group Finance Director can act on behalf of the Council on any urgent items of business that cannot be considered at a meeting or by correspondence. Sub-group decisions must be reported to next meeting of Council.		Code of Practice on Corporate Governance Committee Terms of Reference
GOV	GOVERNANCE, MANAGEMENT & CONTROL	GOV.09	Investigation of activities within the remit of Audit & Risk Committee			GOV.09.01	Investigation of activities within the remit of Audit & Risk Committee	Council	Council	Audit & Risk Committee	Council has authorised A&RC to investigate activities within its Terms of Reference and seek information it requires from any employee.		Code of Practice on Corporate Governance Committee Terms of Reference
GOV	GOVERNANCE, MANAGEMENT & CONTROL	GOV.10	Instigation and negotiation of any significant legal proceedings			GOV.10.02	Instigation and negotiation of any significant legal proceedings, in pursuance of the management and protection of University property and reputation and the maintenance of good order	Council	Council	Finance & General Purposes Committee			Code of Practice on Corporate Governance Committee Terms of Reference
GOV	GOVERNANCE, MANAGEMENT & CONTROL	GOV.11	Control and accountability	OFS D OFS E2 OFS E3 OFS E4 OFS E5 OFS F3 CUC Element 1 CUC Element 2		GOV.11.01	Accountable Officer (Office for Students (OFS))	Council	Vice-Chancellor	Audit & Risk Committee	The Vice-Chancellor is the Accountable Officer (Office for Students (OFS)). Issues related to control and accountability are scrutinised by A&RC.		OFS Terms and Conditions of Funding Code of Practice on Corporate Governance
GOV	GOVERNANCE, MANAGEMENT & CONTROL	GOV.11	Control and accountability	OFS D OFS E2 OFS E3 OFS E4 OFS E5 OFS F3 CUC Element 1 CUC Element 2		GOV.11.02	Interim Accountable Officer (Office for Students (OFS))	Council	Provost	Audit & Risk Committee	In the event of a prolonged absence or sudden departure, the Council must identify an Interim Accountable Officer (Provost) and notify the OFS.		OFS Terms and Conditions of Funding Code of Practice on Corporate Governance
GOV	GOVERNANCE, MANAGEMENT & CONTROL	GOV.11	Effectiveness (of governing body and governance structures)	CUC 5		GOV.11.03.01	Responsible for effectiveness (of governing body and governance structures): Council, Council Committees and Joint Council and Senate Committees	Council	Vice-Chancellor	University Secretary	For Council and Council Committees; Joint Council and Senate Committees		
GOV	GOVERNANCE, MANAGEMENT & CONTROL	GOV.11	Effectiveness (of governing body and governance structures)	CUC 5		GOV.11.03.02	Responsible for effectiveness (of governing body and governance structures): Senate, Senate Committees and Joint Council and Senate Committees	Council	Vice-Chancellor	Registrar Director of Education Policy and Quality	For Senate and Senate Committees and Joint Council and Senate Committees		
GOV	GOVERNANCE, MANAGEMENT & CONTROL	GOV.11	Academic Freedom	CUC 2.7, CUC 2.8		GOV.11.04	Compliance with regulatory duties on Academic Freedom and Freedom of Expression	Council	Senate	Academic Freedom Review Committee University Executive Board			Freedom of Speech and Academic Freedom Policy Regulation 29 Ordinance 11
GOV	GOVERNANCE, MANAGEMENT & CONTROL	GOV.11	Safeguarding and promoting institutional reputation and autonomy	CUC 3		GOV.11.05	Responsibility for safeguarding and promoting institutional reputation and autonomy	Council	Council	Vice-Chancellor			
GOV	GOVERNANCE, MANAGEMENT & CONTROL	GOV.11	Engagement	CUC 6		GOV.11.06	Responsibility for promoting and ensuring the social, cultural, economic and environmental impact of the institution, and ensuring that institutional success and achievements are reported to stakeholders	Council	Council	Vice-Chancellor			
GOV	GOVERNANCE, MANAGEMENT & CONTROL	GOV.11	Control and accountability	OFS C4		GOV.11.07	Execution of a Student Protection Direction issued by the OFS	Council	Vice-Chancellor	University Executive Board			
GOV	GOVERNANCE, MANAGEMENT & CONTROL	GOV.12	Control and accountability	OFS D OFS E1		GOV.12.01	Approval of OFS Annual Accountability Returns: Approval of returns related to internal and external auditors	Council	Council	Audit & Risk Committee	Returns and approval limits set out in annual correspondence by the OFS. A&RC approve returns related to internal and external auditors.		OFS Terms and Conditions of Funding Committee Terms of Reference
GOV	GOVERNANCE, MANAGEMENT & CONTROL	GOV.12	Control and accountability	OFS D OFS E1	FIN.05.01	GOV.12.02	Approval of OFS Annual Accountability Returns: Oversight of preparation of the Annual Financial Statements	Council	Council	Finance & General Purposes Committee	FGPC oversees preparation of the annual Financial Statements, which form part of the OFS Accountability Return.		OFS Terms and Conditions of Funding Committee Terms of Reference
GOV	GOVERNANCE, MANAGEMENT & CONTROL	GOV.12	Control and accountability	OFS D OFS E1		GOV.12.03	Approval of OFS Annual Accountability Returns	Council	Council	Accountable Officer	Accountable Officer usually approves an assurance return.		OFS Terms and Conditions of Funding Committee Terms of Reference

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GOV	GOVERNANCE, MANAGEMENT & CONTROL	GOV.12	Control and accountability	OFS D		GOV.12.04	Accountability for Financial Sustainability	Council	Finance & General Purposes Committee	Audit & Risk Committee			
GOV	GOVERNANCE, MANAGEMENT & CONTROL	GOV.12	Control and accountability	OFS Prevent		GOV.12.05	Approval of Prevent monitoring and accountability return	Council	Council	Audit & Risk Committee	The Director of Operations and Community Wellbeing oversees development of the Prevent Duty Accountability and Data Return. The University Executive Board reviews the Prevent monitoring and accountability return.		
GOV	GOVERNANCE, MANAGEMENT & CONTROL	GOV.12	Control and accountability	OFS G2		GOV.12.06	Compliance with any terms and conditions attached to financial support received from the OFS and UK Research and Innovation (UKRI) under sections 41(1) and/or 94(2) of HERA	Council	Audit & Risk Committee	Group Finance Director	Day to day responsibility delegated to GFD		
GOV	GOVERNANCE, MANAGEMENT & CONTROL	GOV.12	Market Exit	OFS C3		GOV.12.07	Implementation of the Student Protection Plan (if needed)	Council	Senate	University Executive Board			
GOV	GOVERNANCE, MANAGEMENT & CONTROL	GOV.12	Control and accountability	OFS G3		GOV.12.08	Payment of 1. Annual registration fee and other OFS fees (in accordance with regulations made by the Secretary of State) and 2. The fees charged by the designated bodies	Council	Vice-Chancellor	Governance, Assurance and Risk Group			
GOV	GOVERNANCE, MANAGEMENT & CONTROL	GOV.12	Control and accountability	OFS F4		GOV.12.09	Provision of information to the Designated Data Body	Council	University Executive Board	Strategic Planning and Analytics Office			
GOV	GOVERNANCE, MANAGEMENT & CONTROL	GOV.12	Control and accountability	OFS F1		GOV.12.10	Publication of Transparency Information	Council		Strategic Planning and Analytics Office	Published on web with APP		
GOV	GOVERNANCE, MANAGEMENT & CONTROL	GOV.13	Control and accountability			GOV.13.01	Approval of the Scheme of Delegation	Council	Council	University Secretary	Light touch annual review undertaken by Council. In-depth review, co-ordinated by the University Secretary, undertaken every five years.		Code of Practice on Corporate Governance
GOV	GOVERNANCE, MANAGEMENT & CONTROL	GOV.14	Conflicts of Interests	CUC 3.2	GOV.11.03	GOV.14.01	Oversight of Conflicts of Interests of Members of Council	Council	Council	Secretary to Council	Secretary to Council maintains register of interests for Council members.		Code of Practice on Corporate Governance Financial Procedure 1 Personal Conflicts of Interest Policy Personal Relationships Policy
GOV	GOVERNANCE, MANAGEMENT & CONTROL	GOV.14	Conflicts of Interests	CUC 3.2	GOV.11.03	GOV.14.02	Oversight of Conflicts of Interests of Independent/External Committee/Board Members	Council	Council	Committee Secretariats	Secretariats for Council and Senate sub-committees and Subsidiary Boards advised to request independent/external members of sub-committees complete register of interest forms.		
GOV	GOVERNANCE, MANAGEMENT & CONTROL	GOV.14	Conflicts of Interests	CUC 3.2	GOV.11.03	GOV.14.03	Oversight of Conflicts of Interests of Committee Members	Council	Council	Chairs of Committees	Members of committees disclose conflicts of interest to the Chair at the start of each committee meeting.		Code of Practice on Corporate Governance Financial Procedure 1 Personal Conflicts of Interest Policy Personal Relationships Policy
GOV	GOVERNANCE, MANAGEMENT & CONTROL	GOV.14	Conflicts of Interests	CUC 3.2		GOV.14.04	Oversight of Conflicts of Interests of Staff	Council	Council	Heads of Department/Centre/Activity	Staff required to disclose conflicts of interests to Head of Department/Centre/Activity, who maintains a departmental register. Personal relationships to be disclosed to the People Team in accordance with Personal Relationships Policy. Heads of Department/Centre/Activity to disclose conflicts of interest to Vice-Chancellor, Provost, Registrar, Group Finance Director, Commercial Director, Chief People Officer or Chief Information & Transformation Officer as appropriate. Provost, Registrar, Group Finance Director, Commercial Director, Chief People Officer and Chief Information & Transformation Officer to disclose conflicts to Vice-Chancellor. Vice-Chancellor to disclose conflicts to the Chair of Council.		Code of Practice on Corporate Governance Financial Procedure 1 Financial Procedure 10 Personal Conflicts of Interest Policy Personal Relationships Policy
GOV	GOVERNANCE, MANAGEMENT & CONTROL	GOV.14	Conflicts of Interests	CUC 3.2	GOV.11	GOV.14.05	Oversight of Conflicts of Interests related to Research	Council	Council	Director of Research & Impact Services Heads of Department	Director of Research & Impact Services to be notified of conflicts of interest related to research.		Code of Practice on Corporate Governance Financial Procedure 1 Personal Conflicts of Interest Policy Personal Relationships Policy
GOV	GOVERNANCE, MANAGEMENT & CONTROL	GOV.15	Whistleblowing			GOV.15.01	Oversight of Whistleblowing Policy and Procedures	Council	Council	Audit & Risk Committee			Whistleblowing Policy and Procedure
GOV	GOVERNANCE, MANAGEMENT & CONTROL	GOV.15	Whistleblowing			GOV.15.02	Whistleblowing disclosure	Council	Audit & Risk Committee	Head of Department/Centre/Activity or Personal Tutor (for students) University Secretary Vice-Chancellor	Whistleblowing disclosures to be made to the Head of Department/Centre/Activity or Personal Tutor (for students) in first instance. Where this is not possible disclosure to the University Secretary. If disclosure relates to the University Secretary then Vice-Chancellor to be contacted.		Whistleblowing Policy and Procedure
GOV	GOVERNANCE, MANAGEMENT & CONTROL	GOV.16	Gifts received in the name of the University			GOV.16.01	Review of gifts received in the name of the University up to £100k	Council	Council	Director of Development & Alumni Engagement	Development & Alumni Engagement Office reviews gifts received in the name of the University up to £100k. In general, gifts below £100k will not be referred to FEC but remain subject to the same criteria of acceptance as outlined in the Policy on the Solicitation and Acceptance of Gifts. In exceptional circumstances, the Director of Development & Alumni Engagement may consult with the Chair of the Fundraising Ethics Committee about whether a gift below £100k should be referred for the consideration of the full Committee. This can be delegated to the Deputy Director of Development (Alumni and Supporter Engagement) in certain circumstances.	<£100k	Solicitation and Acceptance of Gifts Policy Financial Procedure 9 Committee Terms of Reference
GOV	GOVERNANCE, MANAGEMENT & CONTROL	GOV.16	Gifts received in the name of the University			GOV.16.02	Review of gifts received in the name of the University above £100k	Council	Council	Fundraising Ethics Committee	Gifts received in the name of the University above £100k are referred to FEC if there is reason to believe that there is high risk a gift may conflict with the Policy on the Solicitation and Acceptance of Gifts.	>£100k	Solicitation and Acceptance of Gifts Policy Financial Procedure 9 Committee Terms of Reference

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GOV	GOVERNANCE, MANAGEMENT & CONTROL	GOV.16	Gifts received in the name of the University			GOV.16.03	Monitoring of performance/use of donated funds/endowments	Council Foundation Trustees	Council Foundation Trustees	Finance & General Purposes Committee	FGPC monitors performance/use of donated funds/endowments.		Solicitation and Acceptance of Gifts Policy Financial Procedure 9 Committee Terms of Reference
GOV	GOVERNANCE, MANAGEMENT & CONTROL	GOV.16	Refunds of gifts received in the name of the University			GOV.16.04	Refunds of gifts received in the name of the University above £100k	Council	Council	Director of Development & Alumni Engagement Group Finance Director	Any refunds of gifts above £100k must be approved by the Director of Development & Alumni Engagement in consultation with the Group Finance Director. All refunds that are not as a result of an administrative error should be reported to the Registrar.	>£100k	Financial Procedure 9
GOV	GOVERNANCE, MANAGEMENT & CONTROL	GOV.16	Refunds of gifts received in the name of the University			GOV.16.05	Refunds of gifts received in the name of the University below £100k	Council	Council	Director of Development and Alumni Engagement	Refunds of gifts below £100k are approved by the Director of Development and Alumni Engagement. This can be delegated to the Deputy Director of Development (Alumni and Supporter Engagement) either in the absence of the DoD, or where there are no ethical issues arising, or when ethical issues arise but a format for addressing these has been discussed and approved previously by FEC.	<£100k	Financial Procedure 9
GOV	GOVERNANCE, MANAGEMENT & CONTROL	GOV.17	Gifts received by individuals in the course of their work			GOV.17.01	Oversight of gifts received in the name of individuals	University Executive Board	Head of Department/Centre/Activity		Accepting a gift can create a conflict of interest. "Minor gifts" with an estimated cumulative annual value of less than £50 do not need to be disclosed. Gifts above this threshold must be disclosed to the Head of Department/Centre/Activity who will advise on action to take and who maintains an ongoing "Gifts Register".	Cumulative annual value >£50	Financial Procedure 1 Financial Procedure 9 Anti-Bribery Policy
GOV	GOVERNANCE, MANAGEMENT & CONTROL	GOV.18	Intellectual property			GOV.18.01	Oversight of policies/procedures related to exploitation of the University's Intellectual Property (IP)	Council	Council	Finance & General Purposes Committee	Warwick Innovations manages day-to-day exploitation of IP issues. FGPC oversees policies/procedures related to exploitation of the University's IP. Senate should be consulted on IP matters related to academic staff and students.		Regulation 28 Financial Procedure 13 Financial Procedure 11 Committee Terms of Reference
GOV	GOVERNANCE, MANAGEMENT & CONTROL	GOV.19	Powers of the Assembly			GOV.19.01	Ability to make recommendations to Council and Senate on any matter relating to the University	Council Senate	Assembly		Assembly comprises: -All staff employed on academic, research only and teaching only terms and conditions from the date of their appointment. -Staff employed on levels 1 – 9 terms and conditions from the date of their appointment. Although not a decision-making body, the Assembly can make recommendations to Council and Senate on any University matter.		Statute 9 Committee Terms of Reference
GOV	GOVERNANCE, MANAGEMENT & CONTROL	GOV.20	Approval by Chair's Action			GOV.20.01	Authority to act on behalf of the Committee to approve certain items of business which require a formal decision before the next available meeting of the Committee	Council Senate	Council Senate	Committee Chairs	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.		
GOV	GOVERNANCE, MANAGEMENT & CONTROL	GOV.21	Control and accountability	UK GDPR		GOV.21.01	Oversight of compliance with UK General Data Protection Regulation (UK GDPR)	Council	Audit & Risk Committee University Executive Board	Heads of Department/Centre/Activity Information Security and Data Protection Committee	Heads of Department/Centre/Activity responsible for operational compliance within their area. Information Security and Data Protection Committee resolves challenges associated with implementation/ maintenance of GDPR and provides assurance to UEB and A&RC.		GDPR Information Management Policies Committee Terms of Reference
GOV	GOVERNANCE, MANAGEMENT & CONTROL	GOV.21	Control and accountability	UK GDPR		GOV.21.02	Responsibility for compliance with UK General Data Protection Regulation (UK GDPR): designated Data Protection Officer for the University	Council	Council	Director of Legal & Compliance Services	Director of Legal & Compliance Services is the Data Protection Officer for the University.		GDPR Information Management Policies Committee Terms of Reference
GOV	GOVERNANCE, MANAGEMENT & CONTROL	GOV.21	Control and accountability	UK GDPR		GOV.21.03	Authority to enter into, execute, publish in relation to any documents relating to UK General Data Protection Regulation (UK GDPR) (data protection and freedom of information)	Council	University Executive Board	Director of Legal & Compliance Services	The Director of Legal & Compliance Services, as University Data Protection Officer has authority to sign nil-value data sharing agreement.		Financial Procedure 11
GOV	GOVERNANCE, MANAGEMENT & CONTROL	GOV.22	Control and accountability	CMA, OFS C1	ACA.06, GOV.01	GOV.22.01	Responsibility for Compliance with consumer protection law (Competition & Markets Authority: information provision, terms and conditions inc. rules and regulations, complaint handling processes and practices)	Council	Vice-Chancellor Audit & Risk Committee	Heads of Department			
GOV	GOVERNANCE, MANAGEMENT & CONTROL	GOV.23	Governance Management	H&S legislation	GOV.25.02	GOV.23.01	Approval of Health & Safety policies and procedures	Council	Vice-Chancellor	University Executive Board Health & Safety Executive Committee Policy Oversight Group People Committee	Council has delegated oversight of H&S matters to Vice-Chancellor. Facilitated through the University Executive Board/ Policy Oversight Group/ People Committee, on advice of H&S Executive Committee. H&S policies approved in accordance with standard process.		Code of Practice on Corporate Governance Health & Safety Policies Committee Terms of Reference

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GOV	GOVERNANCE, MANAGEMENT & CONTROL	GOV.24	Governance Management	Equality Act 2010, CUC 4	GOV.25.02	GOV.24.01	Approval of Equality & Diversity policies and procedures	Council Senate	Council Senate	University Executive Board Social Inclusion Committee Social Inclusion Strategy Committee Policy Oversight Group People Committee	Council must promote E&D throughout the institution. Social Inclusion Committee advises Council, Senate and other bodies on all matters related to E&D. People Committee has responsibility for the promotion of diversity, equity, and inclusion throughout the University's workforce, ensuring inclusive leadership, behaviours, policies and practices that foster a supportive and respectful work environment. E&D policies are approved in accordance with standard process.		CUC HE Code of Governance Equality & Diversity Policies Committee Terms of Reference
GOV	GOVERNANCE, MANAGEMENT & CONTROL	GOV.25	Governance Management		GOV.25.02	GOV.25.01	Approval of policies and procedures related to corporate governance compliance	Council	Audit & Risk Committee	University Executive Board	The Compliance & Assurance Framework provides consistency in how different areas of compliance are managed within the institution, to reduce the likelihood of non-compliance, and to form robust lines of defence for assurance. The Framework will be used to ensure that any new and/or changing compliance obligations are considered in the process of approving relevant policies and procedures.		CUC HE Code of Governance Code of Practice on Corporate Governance Compliance & Assurance Framework
GOV	GOVERNANCE, MANAGEMENT & CONTROL	GOV.25	Governance Management			GOV.25.02	Approval of all staff and student related policies	Council	Council	Policy Oversight Group (on behalf of the University Executive Board) Senate (academic impact) Finance & General Purposes Committee (significant impact)	Council has delegated authority to the Policy Oversight Group to review and recommend for approval to UEB all staff and student related policies. Senate consulted on policies that relate to education and research OR have an academic impact. If there is significant financial impact, then approval from FGPC is required.		Code of Practice on Corporate Governance Committee Terms of Reference
GOV	GOVERNANCE, MANAGEMENT & CONTROL	GOV.25	Governance Management			GOV.25.03	Approval of policies relating to education (linked or otherwise to Regulations)	Council	Senate	Education and Student Experience Committee	Assurance provided by Senate sub-committees e.g. Education and Student Experience Committee.		
GOV	GOVERNANCE, MANAGEMENT & CONTROL	GOV.25	Governance Management			GOV.25.04	Approval of policies relating to research (linked or otherwise to Regulations)	Council	Senate	Research Committee	Assurance provided by as required by e.g. RIS, Research Governance and Ethics Committee.		
GOV	GOVERNANCE, MANAGEMENT & CONTROL	GOV.25	Governance Management		GOV.25.02	GOV.25.05	Approval of People policies	Council	Policy Oversight Group (on behalf of the University Executive Board) Senate (academic impact) Finance & General Purposes Committee (significant impact)	People Committee	People Committee approves the development and implementation of People policies, procedures and practice that align with contemporary and best practices, legal requirements, and the strategic objectives of the University. People policies approved in accordance with standard process.		Committee Terms of Reference
GOV	GOVERNANCE, MANAGEMENT & CONTROL	GOV.24	Control and Accountability		GOV.26.01	GOV.25.06	Approval of measures to ensure compliance with relevant employment laws, regulations, and industry standards	Council	University Executive Board	People Committee			Committee Terms of Reference
GOV	GOVERNANCE, MANAGEMENT & CONTROL	GOV.25	Information Management			GOV.25.07	Approval of the Information Management Policy Framework and associated procedures	Council	Council	Audit & Risk Committee	Information Security, Risk and Compliance Team develops and maintains the Information Management Policy Framework. Digital Operations Committee advises and provides assurance to UEB and A&RC as required on the University's digital operations and related infrastructure, programmes, policies and procedures. Information Security and Data Protection Committee advises Digital Operations Committee (and UEB and A&RC as required) on matters relating to information management activities undertaken by the University including Information Governance, Data Protection and IT Security.		Information Management Policy Framework Committee Terms of Reference
GOV	GOVERNANCE, MANAGEMENT & CONTROL	GOV.26	Control and Accountability			GOV.26.01	Oversight of the Compliance & Assurance Framework	Council	Council	Audit & Risk Committee	Head of Compliance and Assurance develops/maintains Compliance and Assurance Framework and Compliance Log. Senate maintains oversight of all academic compliance. UEB oversees Compliance and Assurance Framework. A&RC assures Council that appropriate compliance management is in place.		Compliance & Assurance Framework
GOV	GOVERNANCE, MANAGEMENT & CONTROL	GOV.27	Governance Management		GOV.25.01 GOV.25.02	GOV.27.01	Approval of the Policy Framework	Council	University Executive Board	Policy Oversight Group			Policy Framework
GOV	GOVERNANCE, MANAGEMENT & CONTROL	GOV.28	Governance Management			GOV.28.01	Approval of organisational change proposals related to the structure of academic departments or faculties, ensuring alignment with the University's operating model and organisational design principles, subject to delegated authorities	Council	People Committee	People Committee	All proposals should be well socialised and review by UEB may be necessary in some cases, after People Committee. Proposals with a financial impact must be reviewed and approved by Finance and General Purposes Committee in addition to People Committee.		Committee Terms of Reference
GOV	GOVERNANCE, MANAGEMENT & CONTROL	GOV.29	Fraud, Bribery and other Financial Crime	Fraud Act 2006 Economic Crime and Corporate Transparency Act 2023		GOV.29.01	Oversight of Anti-Fraud Policy	Council	Council	Audit & Risk Committee Policy Oversight Group			Financial Procedure 3 Committee Terms of Reference
GOV	GOVERNANCE, MANAGEMENT & CONTROL	GOV.29	Fraud, Bribery and other Financial Crime	Fraud Act 2006 Economic Crime and Corporate Transparency Act 2023		GOV.29.02	Suspected fraud disclosure	Council	Audit & Risk Committee	Head of Department/Centre/Activity or Personal Tutor (for students)	Suspected fraud to be reported to the Head of Department/Centre/Activity or Personal Tutor (for students) in first instance. Concerns may be reported through the whistleblowing process. The Audit & Risk Committee is responsible for ensuring that all significant losses have been properly investigated and reported to internal and external auditors, Council and the OFS where required.		Financial Procedure 3 Committee Terms of Reference Anti-Fraud Policy
INT	INTERNATIONAL	INT.01	Agency Agreements including fee rates			INT.01.01	Approval of Agency Agreements including fee rates	Academic Resourcing Committee	Student Recruitment Strategy Steering Group	Finance Office	Student Recruitment Strategy Steering Group responsible for all policy related to overseas recruitment agents and offices.		Committee Terms of Reference
INT	INTERNATIONAL	INT.02	International collaborations		ACA.14.01	INT.02.01	Approval of international collaborations related to Research	Council Senate	Council Senate	Research Committee	Collaborations related to Research facilitated by Research Committee. Income-generating contracts must go through processes outlined in Financial Procedure 11 (non-research) and Financial Procedure 14 (research) as appropriate. Academic Strategy Committee considers, at an early stage, proposed new opportunities for research and education partnerships.		Committee Terms of Reference Financial Procedure 11 Financial Procedure 14

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INT	INTERNATIONAL	INT.02	International collaborations		ACA.14.01	INT.02.02	Approval of international collaborations related to Education	Council Senate	Council Senate	Quality and Standards Subcommittee	Collaborations related to Education facilitated by Quality and Standards Subcommittee. Income-generating contracts must go through processes outlined in Financial Procedure 11 (non-research) and Financial Procedure 14 (research) as appropriate. Academic Strategy Committee considers, at an early stage, proposed new opportunities for research and education partnerships.		Committee Terms of Reference Financial Procedure 11 Financial Procedure 14
REL	RELATED ENTITIES	REL.01	University trading entities	CUC 2.6, Companies Act 2006		REL.01.01	Approve the structure, establishment and winding up of all University trading/related entities	Council	Finance & General Purposes Committee	Finance & General Purposes Committee	All University's subsidiaries abide by requirements of the Companies Act 2006.		Companies Act 2006 Financial Procedure 12 Committee Terms of Reference Governance and Services Agreement
REL	RELATED ENTITIES	REL.01	University trading entities	CUC 2.6, Companies Act 2006		REL.01.02	Authority to sign a special resolution	Council	Finance & General Purposes Committee	Nominated Officer	If a special resolution is passed, then the signatory for the University is the Nominated Officer for each subsidiary.		Companies Act 2006 Financial Procedure 12 Committee Terms of Reference Governance and Services Agreement
REL	RELATED ENTITIES	REL.02	University trading entities	CUC 2.6		REL.02.01	Approve relevant appointments to the Boards of the University's trading entities	Council	Finance & General Purposes Committee	Finance & General Purposes Committee	FGPC appoints representatives of the University and independent members on to the subsidiary boards. Representatives of other shareholders are appointed by the relevant shareholder.		Financial Procedure 12 Committee Terms of Reference Articles of Association
REL	RELATED ENTITIES	REL.03	University trading entities	CUC 2.6		REL.03.01	Approve Governance and Services Agreements between the University and its related entities	Council	Finance & General Purposes Committee	Finance & General Purposes Committee	Governance and Services Agreements considered by the Nominated Officer and recommended to FGPC.		Financial Procedure 12 Committee Terms of Reference Governance and Services Agreements
REL	RELATED ENTITIES	REL.04	University trading entities	CUC 2.6		REL.04.01	Approve the Financial Statements of the University's wholly owned subsidiary companies and other entities	Council	Finance & General Purposes Committee	Subsidiary Company Board	Financial Statements of subsidiaries approved by relevant subsidiary board and recommended to FGPC (as shareholder).		Financial Procedure 12 Committee Terms of Reference Governance and Services Agreements
RES	RESEARCH	RES.01	Research Strategy			RES.01.01	Approval of Research Strategy	Council	Council	Senate	Research Committee oversees development of the Research Strategy. Academic Strategy Committee provides oversight on behalf of UEB.		University Strategy Committee Terms of Reference
RES	RESEARCH	RES.02	Research integrity			RES.02.01	Approval of Research Integrity Statement	Council Senate	Council Senate	Research Governance & Ethics Committee	Research Integrity Statement approved by Council on annual basis and published on University website.		Research Code of Practice Concordat to Support Research Integrity Financial Procedure 14 Committee Terms of Reference
RES	RESEARCH	RES.03	Research ethics	Ethical frameworks and funder requirements. The concordat to support research integrity' UUK		RES.03.01	Research ethical approval	Council Senate	Council Senate	Research Governance & Ethics Committee	Research Governance & Ethics Committee and its sub-committees ensure appropriate ethical review of research. Specific ethical approval obtained from NHS REC, Overseas REC when applicable.		Ethical Principles for Research Funding & Partnerships Research Compliance Policies Ethical Scrutiny Framework Research Code of Practice Financial Procedure 14 Committee Terms of Reference
RES	RESEARCH	RES.04	Human Tissue Authority	Human Tissue Act 2004		RES.04.01	Responsibility for Human Tissue Authority	Council Senate	Council Senate	Registrar or designated individual	University licensed with Human Tissue Authority to use human samples for research. Specific ethical approval obtained from NHS or Overseas Ethics Committee, when applicable.		Human Tissue Act 2004 Committee Terms of Reference
RES	RESEARCH	RES.05	Research governance policies		GOV.25.02	RES.05.01	Approval of research governance policies	Council Senate	Council Senate	Research Governance & Ethics Committee	Research Governance & Ethics Committee recommends to Council and Senate on policies related to research governance, consulting Research Committee (and other committees as required).		Committee Terms of Reference
RES	RESEARCH	RES.06	Research misconduct			RES.06.01	Responsibility for research misconduct	Council Senate	Council Senate	Registrar	Registrar is designated Research Integrity Officer.		Code of Practice for the Investigation of Research Misconduct
RES	RESEARCH	RES.07	Research grants and contracts pre-award			RES.07.01	Research grant and contract pre-award approval - no limit	Council Senate	Council Senate	Vice-Chancellor	Authorised Officers can sign off grant proposals, research contracts and acceptance of research awards (see limits)	No limit	Financial Procedure 14
RES	RESEARCH	RES.07	Research grants and contracts pre-award			RES.07.02	Research grant and contract pre-award approval - no limit	Council	Council Senate	Provost	Authorised Officers can sign off grant proposals, research contracts and acceptance of research awards (see limits)	No limit	Financial Procedure 14
RES	RESEARCH	RES.07	Research grants and contracts pre-award			RES.07.03	Research grant and contract pre-award approval - no limit	Council	Council Senate	Registrar	Authorised Officers can sign off grant proposals, research contracts and acceptance of research awards (see limits)	No limit	Financial Procedure 14
RES	RESEARCH	RES.07	Research grants and contracts pre-award			RES.07.04	Research grant and contract pre-award approval - no limit	Council	Council Senate	Group Finance Director	Authorised Officers can sign off grant proposals, research contracts and acceptance of research awards (see limits)	No limit	Financial Procedure 14
RES	RESEARCH	RES.07	Research grants and contracts pre-award			RES.07.05	Research grant and contract pre-award approval - no limit	Council	Council Senate	Finance Director	Authorised Officers can sign off grant proposals, research contracts and acceptance of research awards (see limits)	No limit	Financial Procedure 14
RES	RESEARCH	RES.07	Research grants and contracts pre-award			RES.07.06	Research grant and contract pre-award approval - no limit	Council	Council Senate	Deputy Finance Directors	Authorised Officers can sign off grant proposals, research contracts and acceptance of research awards (see limits)	No limit	Financial Procedure 14

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RES	RESEARCH	RES.07	Research grants and contracts pre-award			RES.07.07	Research grant and contract pre-award approval - see limits	Council	Council Senate	Director of Research & Impact Services	Authorised Officers can sign off grant proposals, research contracts and acceptance of research awards (see limits)	<£3m; or where the University's share of a larger award is <£3m or where the University is responsible for the administration of a joint award of <£3m	Financial Procedure 14
RES	RESEARCH	RES.07	Research grants and contracts pre-award			RES.07.08	Research grant and contract pre-award approval - see limits	Council	Council Senate	Associate Director of R&IS	Authorised Officers can sign off grant proposals, research contracts and acceptance of research awards (see limits)	<£3m; or where the University's share of a larger award is <£3m or where the University is responsible for the administration of a joint award of <£3m	Financial Procedure 14
RES	RESEARCH	RES.07	Research grants and contracts pre-award			RES.07.09	Research grant and contract pre-award approval - see limits	Council	Council Senate	Assistant Directors of R&IS	Authorised Officers can sign off grant proposals, research contracts and acceptance of research awards (see limits)	<£3m; or where the University's share of a larger award is <£3m or where the University is responsible for the administration of a joint award of <£3m	Financial Procedure 14
RES	RESEARCH	RES.07	Research grants and contracts pre-award			RES.07.10	Research grant and contract pre-award approval - see limits	Council	Council Senate	Research Support Managers Heads of Research Support	Non-Disclosure/Confidentiality Agreements Materials Transfer Agreements (MTA) Data Sharing Agreements Clinical Site Agreements Research grants and contracts, award documents and collaboration agreements including studentship & Knowledge Transfer Partnership agreements (up to £500k with predetermined "Fast-Track" Funders; and up to £250k for all other public and charity funders and all industry funders/partners)	<£500k for Fast Track Funders <£250k for all other public/charity funders and all industrial partners	Financial Procedure 14
RES	RESEARCH	RES.07	Research grants and contracts pre-award			RES.07.11	Research grant and contract pre-award approval - see limits	Council	Council Senate	Research Support & Development Managers Research Support Managers Heads of Research Support	Grant applications	Grant application <£500k	Financial Procedure 14
RES	RESEARCH	RES.07	Research grants and contracts pre-award			RES.07.12	Research grant and contract pre-award approval - see limits	Council	Council Senate	Director of Research & Impact Services Provost Group Finance Director	Where a Department/Centre/Activity charges less than Full Economic Cost, case must be submitted by the Head of Department to Director of Research & Impact Services who may decide to approve the pricing or refer the decision to the Provost and Group Finance Director.		Financial Procedure 14
RES	RESEARCH	RES.08	Research grants and contracts pre-award			RES.08.01	Research contract and grant post-award claims	Council Senate	Council Senate	Research Finance Office	Post award process managed by Research Finance Office (or PGR Funding Team where applicable) in consultation with Principal Investigator.		Financial Procedure 14
RES	RESEARCH	RES.09	Research Excellence Framework (REF)	REF Code of Practice		RES.09.01	Responsibility for Research Excellence Framework (REF)	Council Senate	REF Executive Steering Group	REF Submission Steering Group	R&IS provide secretarial and governance duties for REF-ESG and REF-SSG in line with the University's REF Code of Practice		REF Code of Practice
RES	RESEARCH	RES.10	Export Control	UK Export Control Regulations		RES.10.01	Oversight of Export Control	Council Senate	Council Senate	Research Governance & Ethics Committee	Oversight of export control matters provided by the Research Governance & Ethics Committee, which reports directly to the University Council and Senate		Export Control Policy UK Export Control regulations
RES	RESEARCH	RES.10	Export Control	UK Export Control Regulations		RES.10.02	Accountability for Export Control	Council	University Executive Board	Individual researcher or staff member who intends to export goods	The responsibility for compliance with Export Control regulations ultimately rests with the individual researcher or staff member who intends to export goods, technology, software, or knowledge outside of the UK, or use technology imported from the United States of America. Research & Impact Services (R&IS) is responsible for owning and updating the Export Control Policy, as required to reflect changing internal and external guidelines. See Export Control Policy for other responsibilities.		Export Control Policy UK Export Control regulations

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Full Scheme of Delegation - November 2025

Theme identifier	Theme title	Sub-theme identifier	SUB-THEME	RELATED REGULATORY BODY/ LEGISLATION	SCHEME XREF	Issue/ decision identifier	ISSUE/ DECISION	GOVERNANCE OVERSIGHT (Body responsible for oversight)	RESERVED POWER AND/OR FINAL AUTHORITY (Body/individual responsible for final approval within designated limits)	RECOMMENDATION AND PREVIOUS AUTHORITY/SIGN OFF (Body/individual responsible for recommending approval, or for prior sign-off, in whole or in part within designated limits)	CONTEXT, PROCESS & DELIVERY	E LIMITS	SOURCES
RES	RESEARCH	RES.11	Research Sponsorship	UK Policy Framework for Health & Social Care Research, 2017		RES.11.01	Research Sponsorship approval	Council Senate	Research Governance & Ethics Committee	Sponsorship & Oversight Sub-Committee	Sponsorship & Oversight Sub-Committee reviews and provides approval for all projects requiring the Institution to act as a research sponsor under the policy.		UK Policy Framework for Health & Social Care Research, 2017 Research Code of Practice Financial Procedure 14 Committee Terms of Reference
RES	RESEARCH	RES.12	Research involving animals	Animals (Scientific Procedures) Act, 1986		RES.12.01	Review of all applications for research involving 'Protected animals'	Council Senate	Research Governance & Ethics Committee	Animal Welfare & Ethical Review Body (AWERB)	Animal Welfare & Ethical Review Body (AWERB) reviews all applications for research involving 'Protected animals' as defined under the Animals (Scientific Procedures) Act 1986. This includes research that requires Home Office licences and un-licensed research.		Animals (Scientific Procedures) Act, 1986 Research Code of Practice Financial Procedure 14 Committee Terms of Reference
SPD	STRATEGY & POLICY DEVELOPMENT	SPD.01	University vision, mission, Strategy and associated plans	CUC 2		SPD.01.01	Approval of the University vision, mission, Strategy and associated plans	Council	Council Senate	University Executive Board	Senate contribution regarding academic strategic priorities.		University Strategy Code of Practice on Corporate Governance Committee Terms of Reference
SPD	STRATEGY & POLICY DEVELOPMENT	SPD.01	University vision, mission, Strategy and associated plans	CUC 2		SPD.01.02	Monitoring and implementation of the University Strategy	Council	Council	University Executive Board	University Strategy monitored and implemented by UEB.		University Strategy Code of Practice on Corporate Governance Committee Terms of Reference
SPD	STRATEGY & POLICY DEVELOPMENT	SPD.01	University vision, mission, Strategy and associated plans	CUC 2		SPD.01.03	Approval of academic strategic priorities within the the University vision, mission, Strategy and associated plans	Council	Senate	Academic Resourcing Committee Academic Strategy Committee	Academic Strategy Committee provides oversight and governance as appropriate for major and strategic academic investments.		University Strategy Code of Practice on Corporate Governance Committee Terms of Reference
SPD	STRATEGY & POLICY DEVELOPMENT	SPD.01	University vision, mission, Strategy and associated plans	CUC 2		SPD.01.04	Oversight of major transformational programmes	Finance & General Purposes Committee	University Executive Board	Steering Committee	FGPC oversees on behalf of Council major transformational programmes, ensuring value-for-money through regular performance monitoring.		University Strategy Code of Practice on Corporate Governance Committee Terms of Reference
SPD	STRATEGY & POLICY DEVELOPMENT	SPD.02	University vision, mission, Strategy and associated plans	CUC 2		SPD.02.01	Setting and reviewing of transformational Key Performance Indicators	Council	Council	University Executive Board	Detailed performance measures contained in sub-strategies (e.g. Research / Education Strategy). Relevant University Committees consulted on KPIs relating to their Terms of Reference.		University Strategy Annual report to Council on progress against KPIs Committee Terms of Reference
SPD	STRATEGY & POLICY DEVELOPMENT	SPD.03	Risk and Resilience	CUC 2		SPD.03.01	Approval of the Risk Management Framework and associated policies and procedures	Council	Council	Audit & Risk Committee	A&RC assures Council that appropriate risk management processes are in place. Risk Management policies approved in accordance with standard process.		Risk Management Policy Strategic Risk Register Risk Appetite Statements
SPD	STRATEGY & POLICY DEVELOPMENT	SPD.03	Risk and Resilience	CUC 2		SPD.03.02	Oversight of all academic-related risks	Council	Audit & Risk Committee	Senate	A&RC maintains oversight of all risks in academic departments and reports to Senate. Academic Strategy Committee, on behalf of UEB, oversees Faculty Risk Registers and academic-related risks within the University's Strategic Risk Registers, and develops and monitors mitigations where required.		Risk Management Policy Strategic Risk Register Risk Appetite Statements Committee Terms of Reference
SPD	STRATEGY & POLICY DEVELOPMENT	SPD.03	Risk and Resilience	CUC 2		SPD.03.03	Oversight of Strategic Risk Register	Council	Council	University Executive Board	Head of Risk and Resilience develops/maintains risk management processes. Risk and Resilience Team oversees operationalisation of risk management processes. UEB oversees Strategic Risk Register.		Risk Management Policy Strategic Risk Register Risk Appetite Statements
SPD	STRATEGY & POLICY DEVELOPMENT	SPD.04	University Masterplan		CAP EST	SPD.04.01	Approval of the University Masterplan	Council	Council	University Estate & Environment Committee	UEEC recommends to Council the University Masterplan and related strategies.		Committee Terms of Reference
SPD	STRATEGY & POLICY DEVELOPMENT	SPD.05	University brand	CUC 3.5, CUC 6.2	FIN.25.01	SPD.05.01	Development and approval of University brand	Council	University Executive Board	Chief Communications and Marketing Officer	Director of Brand, Campaigns and Marketing		Financial Procedure 11 Financial Procedure 15
SU	STUDENTS' UNION	SU.01	Assurance of Students' Union governance	Education Act CUC 3.6		SU.01.01	Assurance of Students' Union governance	Council	Council	Students' Union	Code of Practice (pursuant to the Education Act) issued by Council, with the agreement of Students' Union. Students' Union demonstrate compliance to Council on annual basis.		Education Act Ordinance 10
SU	STUDENTS' UNION	SU.02	Student's Union Memorandum and Articles of Association	Education Act		SU.02.01	Approval of Memorandum and Articles of Association	Council	Council	Students' Union	Memorandum and Articles of Association subject to review by Council at intervals of not more than five years.		Education Act Ordinance 10
SU	STUDENTS' UNION	SU.03	Students' Union Accounts			SU.03.01	Noting of Students' Union Accounts	Council	Finance & General Purposes Committee	Students' Union	The annual budget for the Students' Union and accounts for the Union and Union Company(ies) presented to a meeting of the Finance and General Purposes Committee of the University Council each year.		Ordinance 10 Committee Terms of Reference
SU	STUDENTS' UNION	SU.04	Student complaints	OFS C2 CMA	GOV.24, ACA.06	SU.04.01	Oversight of Student complaints relating to the Student's Union	Senate	Senate	Student Complaints Resolution Procedure	Complaints which exhaust Students' Union Complaints Policy referred to University's Student Complaints Resolution Procedure (see 4.5).		Ordinance 10 Students' Union Complaints Policy Student Complaints Resolution Procedure

Annex 1: Material Matters and Reportable Events Definitions

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/material reputational or financial implication.

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 material matter (which may also constitute a 'reportable event' to the OfS) is outlined below.

Material matters 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.

A 'reportable event', as set out by the OfS, is any event or circumstance that, in the judgement of the OfS, materially affects or could materially affect the University's legal form or business model, and/or its willingness or ability to comply with its conditions of registration.

All material matters and reportable events must be reported to the Council. If there is any ambiguity as to whether an item of business is material, please contact the Secretary to Council (universitycouncil@warwick.ac.uk).