

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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SUB-THEME	RELATED REGULATORY BODY/ LEGISLATION	Issue/ decision identifier	ISSUE/ DECISION	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)	£ LIMITS	SOURCES
Welfare and wellbeing of students	OFS E6	ACA.01.01	Oversight of welfare/wellbeing of students	Senate	University Executive Board		Ordinance 4.4 Ordinance 5.1 Committee Terms of Reference
Compliance & Assurance	OFS A1	ACA.02.03	Approval of Access and Participation Plan	Vice-Chancellor	Education and Student Experience Committee		Committee Terms of Reference
Compliance & Assurance	OFS A2	ACA.02.04	Approval of Access and Participation Statement	Vice-Chancellor	Senate		
Quality Assurance	OFS B1 OFS B2	ACA.02.05	Responsibility for provision of high quality academic experience and reliable standards	Vice-Chancellor	Audit & Risk Committee Senate		Education Quality Framework
Quality Assurance	OFS B3	ACA.02.06.01	Responsibility for the delivery of successful outcomes for students	Vice-Chancellor	Senate		
Quality Assurance	OFS B4	ACA.02.07	Responsibility for Assessment, Awards (credible and comparable), English proficiency	Vice-Chancellor	Senate		
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)	Vice-Chancellor	Audit & Risk Committee Senate		
Quality Assurance	OFS B6	ACA.02.09	Approval of Teaching Excellence and Student Outcomes Framework Submission	Vice-Chancellor	University Executive Board		
Quality Assurance	OFS B8	ACA.02.10	Responsibility for consistency of awards with any applicable sector-recognised standards	Vice-Chancellor	Audit & Risk Committee Senate		Committee Terms of Reference
Compliance & Assurance	OFS C3	ACA.02.11	Approval of Student Protection Plan	Vice-Chancellor	Senate		
Quality Assurance	OFS F2	ACA.02.12	Responsible for publication and provision to OfS of arrangements for a student to transfer	Senate	Quality and Standards Subcommittee		
Student complaints	OFS C2 CUC 3.7	ACA.06.01	Authority to manage Stage 1 student complaints	Senate	Academic School, Department or Service Area		Student Complaints Resolution Procedure
Student complaints	OFS C2 CUC 3.7	ACA.06.02	Authority to manage Stage 2 student complaints	Senate	Heads of Department/Centre/Activity		Student Complaints Resolution Procedure
Student complaints	OFS C2 CUC 3.7	ACA.06.03	Determination of whether a student complaint can be considered at Stage 3	Senate	Provost		Student Complaints Resolution Procedure
Student complaints	OFS C2 CUC 3.7	ACA.06.04	Authority to refer back, reject or uphold a Stage 3 Student Complaint	Senate	Student Complaints Resolution Procedure Panel		Student Complaints Resolution Procedure
Student complaints	OFS C2 CUC 3.7	ACA.06.05	Oversight of student complaints and casework	Senate	Quality and Standards Subcommittee		Committee Terms of Reference
Academic Governance	OFS B4.3 OFS B5	ACA.08.01	Approval of establishment of Degrees	Council	Senate		Ordinance 4.4 Ordinance 5.1 Ordinance 8 Committee Terms of Reference

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Quality Assurance	OFS B4.3	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 Awarding Panel		Ordinance 5.1 Ordinance 7.1 Committee Terms of Reference
Quality Assurance	OFS B4.3	ACA.09.02	Granting of Posthumous Awards in the event of a student death	Senate	Board of Examiners Senate Awarding Panel		Ordinance 8 Regulation 12
Quality Assurance	OFS B4.3	ACA.10.01	Approval of decision record logs/ pass lists for UG and PGT awards	Senate	Senate Awarding Panel		Ordinance 5.1 Ordinance 7.1 Committee Terms of Reference
Quality Assurance	OFS B4.3	ACA.10.02	Approval of pass lists for PGR awards	Senate	Vice-Chancellor		Ordinance 5.1 Ordinance 7.1 Committee Terms of Reference
Quality Assurance	OFS B1 OFS B4	ACA.11.01	Design and approval of new courses / amendments to existing courses	Quality and Standards Subcommittee	Curriculum Approval Panel		Paper S.68/14-15 Course Approval Online System Committee Terms of Reference
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	Curriculum Approval Panel Quality and Standards Subcommittee	Academic Departments		Financial Procedure 11
Quality Assurance	OFS B1 OFS B4	ACA.12.01	Approval of withdrawal or suspension of courses	Quality and Standards Subcommittee	Curriculum Approval Panel		Discontinuation of Courses Policy and Procedure
Quality Assurance	OFS B1 OFS B4	ACA.12.02	Approval of withdrawal or suspension of courses involving a partner organisation	Quality and Standards Subcommittee	Education Partnerships Oversight Panel		Discontinuation of Courses Policy and Procedure
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	Quality and Standards Subcommittee Education Partnerships Oversight Panel		Committee Terms of Reference Financial Procedure 11?
Quality Assurance	OFS B5 CUC 6.5	ACA.14.02	Approval of collaborative provision / academic partnerships for high risk proposals	Senate	Quality and Standards Subcommittee		Committee Terms of Reference Financial Procedure 11?
Quality Assurance	CUC 6.5	ACA.14.03	Oversight of significant partnership or working arrangements with other organisations	Vice-Chancellor	Audit & Risk Committee Senate Finance & General Purposes Committee		Committee Terms of Reference Financial Procedure 11?

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Quality Assurance	OFS A OFS B Ofsted	ACA.15.01	Approval of degree apprenticeships	Senate	Quality and Standards Subcommittee Apprenticeships Oversight Panel		Committee Terms of Reference Financial Procedure 11
Pension Arrangements	The Pensions Regulator	APP.19.01	Pension arrangements for all employees	Council	Finance & General Purposes Committee		Financial Procedure 17 Committee Terms of Reference
Pension Arrangements	The Pensions Regulator	APP.19.02	Acting for the University in relation to the University Pension Scheme	Finance & General Purposes Committee	University Executive Board		Financial Procedure 17 Committee Terms of Reference
Pension Arrangements	The Pensions Regulator	APP.19.03	Responsibility for the University Pension Scheme	Finance & General Purposes Committee	UPS Pension Trustee Limited		Scheme Rules Trustee Company's Articles of Association
Financial Sustainability	CUC	FIN.03.01	Approval of the University annual capital and revenue budget and Financial Plan	Council	Finance & General Purposes Committee		CUC Higher Education Code of Governance Committee Terms of Reference
Financial Sustainability	OFS D	FIN.04.01	Approval of financial forecast submissions to the OfS	Council	Finance & General Purposes Committee		OfS Terms and Conditions of Funding Committee Terms of Reference
Financial Sustainability	CUC 2.6	FIN.05.01	Approval of the Financial Statements (including: Public Benefit Statement, Statement of Internal Control, Statement of Primary Responsibilities of the Council)	Council	Finance & General Purposes Committee Audit & Risk Committee		OfS Terms and Conditions of Funding Committee Terms of Reference
Financial Sustainability	OFS D CUC 2.6	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.	Vice-Chancellor	TRAC Steering Group		Committee Terms of Reference
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	Financial Plan Committee	Fees Working Group		Ordinance 4.4 Financial Procedure 7 Financial Procedure 11 Code of Practice on Corporate Governance Committee Terms of Reference
Student accommodation rates	CMA	FIN.18.01	Approval of rents of campus student accommodation	Finance & General Purposes Committee	Student Rents Working Party		Committee Terms of Reference
Student accommodation rates	CMA	FIN.18.02	Approval Nomination Agreements for off-campus student housing	Finance & General Purposes Committee	Warwick Accommodation Strategic Planning Group		Committee Terms of Reference

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Student administration charges	CMA	FIN.19.01	Approval of administration charges associated to late payment of residential charges or academic fees	Finance & General Purposes Committee	Group Finance Director		Code of Practice on Corporate Governance. Regulation 45
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	Finance & General Purposes Committee	Finance Office		Regulation 45 Financial Procedure 7
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	Finance & General Purposes Committee	Academic Fee Payments Sub-Committee		Regulation 45 Financial Procedure 7
Governing Instruments	OFS E1	GOV.02.01	New, amended or repealed Statutes	Privy Council	Council Senate		Article 10 Statute 6
Governing Instruments	OFS E1	GOV.03.01	New, amended or repealed Ordinances	Council	Senate		Statute 6 Ordinance 4.4
Governing Instruments	OFS B4 OFS E1	GOV.04.01	New, amended or repealed Regulations	Senate			Ordinance 4.4 Ordinance 5.1
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))	Vice-Chancellor	Audit & Risk Committee		OFS Terms and Conditions of Funding Code of Practice on Corporate Governance
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))	Provost	Audit & Risk Committee		OFS Terms and Conditions of Funding Code of Practice on Corporate Governance
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	Vice-Chancellor	University Secretary		
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	Vice-Chancellor	Registrar Director of Education Policy and Quality		

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Academic Freedom	CUC 2.7, CUC 2.8	GOV.11.04	Compliance with regulatory duties on Academic Freedom and Freedom of Expression	Senate	Academic Freedom Review Committee University Executive Board		Freedom of Speech and Academic Freedom Policy Regulation 29 Ordinance 11
Safeguarding and promoting institutional reputation and autonomy	CUC 3	GOV.11.05	Responsibility for safeguarding and promoting institutional reputation and autonomy	Council	Vice-Chancellor		
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	Vice-Chancellor		
Control and accountability	OFS C4	GOV.11.07	Execution of a Student Protection Direction issued by the OfS	Vice-Chancellor	University Executive Board		
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	Audit & Risk Committee		OFS Terms and Conditions of Funding Committee Terms of Reference
Control and accountability	OFS D OFS E1	GOV.12.02	Approval of OfS Annual Accountability Returns: Oversight of preparation of the Annual Financial Statements	Council	Finance & General Purposes Committee		OFS Terms and Conditions of Funding Committee Terms of Reference
Control and accountability	OFS D OFS E1	GOV.12.03	Approval of OfS Annual Accountability Returns	Council	Accountable Officer		OFS Terms and Conditions of Funding Committee Terms of Reference
Control and accountability	OFS D	GOV.12.04	Accountability for Financial Sustainability	Finance & General Purposes Committee	Audit & Risk Committee		
Control and accountability	OFS Prevent	GOV.12.05	Approval of Prevent monitoring and accountability return	Council	Audit & Risk Committee		
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	Audit & Risk Committee	Group Finance Director		
Market Exit	OFS C3	GOV.12.07	Implementation of the Student Protection Plan (if needed)	Senate	University Executive Board		
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	Vice-Chancellor	Governance, Assurance and Risk Group		
Control and accountability	OFS F4	GOV.12.09	Provision of information to the Designated Data Body	University Executive Board	Strategic Planning and Analytics Office		

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Control and accountability	OFS F1	GOV.12.10	Publication of Transparency Information		Strategic Planning and Analytics Office		
Conflicts of Interests	CUC 3.2	GOV.14.01	Oversight of Conflicts of Interests of Members of Council	Council	University Secretary		Code of Practice on Corporate Governance Financial Procedure 1 Personal Conflicts of Interest Policy Personal Relationships Policy
Conflicts of Interests	CUC 3.2	GOV.14.02	Oversight of Conflicts of Interests of Independent/External Committee/Board Members	Council	Committee Secretariats		
Conflicts of Interests	CUC 3.2	GOV.14.03	Oversight of Conflicts of Interests of Committee Members	Council	Chairs of Committees		Code of Practice on Corporate Governance Financial Procedure 1 Personal Conflicts of Interest Policy Personal Relationships Policy
Conflicts of Interests	CUC 3.2	GOV.14.04	Oversight of Conflicts of Interests of Staff	Council	Heads of Department/Centre/Activity		Code of Practice on Corporate Governance Financial Procedure 1 Financial Procedure 10 Personal Conflicts of Interest Policy Personal Relationships Policy
Conflicts of Interests	CUC 3.2	GOV.14.05	Oversight of Conflicts of Interests related to Research	Council	Director of Research & Impact Services Heads of Department		Code of Practice on Corporate Governance Financial Procedure 1 Personal Conflicts of Interest Policy Personal Relationships Policy
Control and accountability	UK GDPR	GOV.21.01	Oversight of compliance with UK General Data Protection Regulation (UK GDPR)	Audit & Risk Committee University Executive Board	Heads of Department/Centre/Activity Information Security and Data Protection Committee		GDPR Information Management Policies Committee Terms of Reference
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	Director of Legal & Compliance Services		GDPR Information Management Policies Committee Terms of Reference

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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)	University Executive Board	Director of Legal & Compliance Services		Financial Procedure 11
Control and accountability	CMA, OfS C1	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)	Vice-Chancellor Audit & Risk Committee	Heads of Department		
Governance Management	H&S legislation	GOV.23.01	Approval of Health & Safety policies and procedures	Vice-Chancellor	University Executive Board Health & Safety Executive Committee Policy Oversight Group People Committee		Code of Practice on Corporate Governance Health & Safety Policies Committee Terms of Reference
Governance Management	Equality Act 2010, CUC 4	GOV.24.01	Approval of Equality & Diversity policies and procedures	Council Senate	University Executive Board Social Inclusion Committee Social Inclusion Strategy Committee Policy Oversight Group People Committee		CUC HE Code of Governance Equality & Diversity Policies Committee Terms of Reference
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	Finance & General Purposes Committee	Finance & General Purposes Committee		Companies Act 2006 Financial Procedure 12 Committee Terms of Reference Governance and Services Agreement
University trading entities	CUC 2.6, Companies Act 2006	REL.01.02	Authority to sign a special resolution	Finance & General Purposes Committee	Nominated Officer		Companies Act 2006 Financial Procedure 12 Committee Terms of Reference Governance and Services Agreement
University trading entities	CUC 2.6	REL.02.01	Approve relevant appointments to the Boards of the University's trading entities	Finance & General Purposes Committee	Finance & General Purposes Committee		Financial Procedure 12 Committee Terms of Reference Articles of Association
University trading entities	CUC 2.6	REL.03.01	Approve Governance and Services Agreements between the University and its related entities	Finance & General Purposes Committee	Finance & General Purposes Committee		Financial Procedure 12 Committee Terms of Reference Governance and Services Agreements
University trading entities	CUC 2.6	REL.04.01	Approve the Financial Statements of the University's wholly owned subsidiary companies and other entities	Finance & General Purposes Committee	Subsidiary Company Board		Financial Procedure 12 Committee Terms of Reference Governance and Services Agreements

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Research ethics	Ethical frameworks and funder requirements. 'The concordat to support research integrity' UUK	RES.03.01	Research ethical approval	Council Senate	Research Governance & Ethics Committee		Ethical Principles for Research Funding & Partnerships Research Compliance Policies Ethical Scrutiny Framework Research Code of Practice Financial Procedure 14 Committee Terms of Reference
Human Tissue Authority	Human Tissue Act 2004	RES.04.01	Responsibility for Human Tissue Authority	Council Senate	Registrar or designated individual		Human Tissue Act 2004 Committee Terms of Reference
Research Excellence Framework (REF)	REF Code of Practice	RES.09.01	Responsibility for Research Excellence Framework (REF)	REF Executive Steering Group	REF Submission Steering Group		REF Code of Practice
Export Control	UK Export Control Regulations	RES.10.01	Oversight of Export Control	Council Senate	Research Governance & Ethics Committee		Export Control Policy UK Export Control regulations
Export Control	UK Export Control Regulations	RES.10.02	Accountability for Export Control	University Executive Board	Individual researcher or staff member who intends to export goods		Export Control Policy UK Export Control regulations
Research Sponsorship	UK Policy Framework for Health & Social Care Research, 2017	RES.11.01	Research Sponsorship approval	Research Governance & Ethics Committee	Sponsorship & Oversight Sub-Committee		UK Policy Framework for Health & Social Care Research, 2017 Research Code of Practice Financial Procedure 14 Committee Terms of Reference
Research involving animals	Animals (Scientific Procedures) Act, 1986	RES.12.01	Review of all applications for research involving 'Protected animals'	Research Governance & Ethics Committee	Animal Welfare & Ethical Review Body (AWERB)		Animals (Scientific Procedures) Act, 1986 Research Code of Practice Financial Procedure 14 Committee Terms of Reference
University vision, mission, Strategy and associated plans	CUC 2	SPD.01.01	Approval of the University vision, mission, Strategy and associated plans	Council Senate	University Executive Board		University Strategy Code of Practice on Corporate Governance Committee Terms of Reference
University vision, mission, Strategy and associated plans	CUC 2	SPD.01.02	Monitoring and implementation of the University Strategy	Council	University Executive Board		University Strategy Code of Practice on Corporate Governance Committee Terms of Reference

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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	Senate	Academic Resourcing Committee Academic Strategy Committee		University Strategy Code of Practice on Corporate Governance Committee Terms of Reference
University vision, mission, Strategy and associated plans	CUC 2	SPD.01.04	Oversight of major transformational programmes	University Executive Board	Steering Committee		University Strategy Code of Practice on Corporate Governance Committee Terms of Reference
University vision, mission, Strategy and associated plans	CUC 2	SPD.02.01	Setting and reviewing of transformational Key Performance Indicators	Council	University Executive Board		University Strategy Annual report to Council on progress against KPIs Committee Terms of Reference
Risk and Resilience	CUC 2	SPD.03.01	Approval of the Risk Management Framework and associated policies and procedures	Council	Audit & Risk Committee		Risk Management Policy Strategic Risk Register Risk Appetite Statements
Risk and Resilience	CUC 2	SPD.03.02	Oversight of all academic-related risks	Audit & Risk Committee	Senate		Risk Management Policy Strategic Risk Register Risk Appetite Statements Committee Terms of Reference
Risk and Resilience	CUC 2	SPD.03.03	Oversight of Strategic Risk Register	Council	University Executive Board		Risk Management Policy Strategic Risk Register Risk Appetite Statements
University brand	CUC 3.5, CUC 6.2	SPD.05.01	Development and approval of University brand	University Executive Board	Chief Communications and Marketing Officer		Financial Procedure 11 Financial Procedure 15
Assurance of Students' Union governance	Education Act CUC 3.6	SU.01.01	Assurance of Students' Union governance	Council	Students' Union		Education Act Ordinance 10
Student's Union Memorandum and Articles of Association	Education Act	SU.02.01	Approval of Memorandum and Articles of Association	Council	Students' Union		Education Act Ordinance 10
Student complaints	OFS C2 CMA	SU.04.01	Oversight of Student complaints relating to the Student's Union	Senate	Student Complaints Resolution Procedure		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).