SUB-THEME	RELATED REGULATORY BODY/ LEGISLATION	lssue/ 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
Compliance & Assurance	OfS A1	ACA.02.03	Approval of Access and Participation Plan	Vice-Chancellor	Senate		
Compliance & Assurance	OfS A2	ACA.02.04	Approval of Access and Participation Statement	Vice-Chancellor	Senate		
Quality Assurance	OfS B1	ACA.02.05	Responsibility for provision of high quality	Vice-Chancellor	Audit & Risk Committee		Quality Assurance Framework (in
	OfS B2		academic experience and reliable standards		Senate		development)
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	Academic Quality and Standards Committee		
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
tudent 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
itudent 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
tudent complaints	OfS C2 CUC 3.7	ACA.06.05	Oversight of student complaints and casework	Senate	Academic Quality and Standards Committee		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
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 Sub-Group		Ordinance 5.1 Ordinance 7.1 Committee Terms of Reference
Quality Assurance	OfS B4.3	ACA.10.01	Approval of decision record logs/ pass lists for UG and PGT awards	Senate	Senate Sub-Group		Ordinance 5.1 Ordinance 7.1 Committee Terms of Reference

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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	Academic Quality & Standards Committee	Course Proposal Scrutiny Panel		Academic Quality & Standards Committee course approval process (paper S.68/14-15)
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	Course Proposal Scrutiny Panel Academic Quality & Standards Committee	Academic Departments		Financial Procedure 11
Quality Assurance	OfS B1 OfS B4	ACA.12.01	Approval of withdrawal or suspension of courses	Academic Quality & Standards Committee	Course Proposal Scrutiny 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	Academic Quality & Standards Committee	Partnerships Committee		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	Partnerships Committee		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	Academic Quality & Standards Committee		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?
Quality Assurance	OfS A OfS B Ofsted	ACA.15.01	Approval of degree apprenticeships	Senate	Partnerships Committee		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
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)		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 of the University's Transparent Approach to Costing (TRAC) return to the OfS	Finance & General Purposes Committee	Audit & Risk Committee		Committee Terms of Reference

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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		Ordinance 4.4 Financial Procedure 7 Financial Procedure 11 Code of Practice on Corporate Governance
Student accommodation rates	СМА	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	СМА	FIN.18.02	Approval Nomination Agreements for off- campus student housing	Finance & General Purposes Committee	Warwick Accommodation Strategic Planning Group		Committee Terms of Reference
Student administration charges	СМА	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	СМА	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	СМА	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

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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	Secretary to Council		
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		
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		Policy for Academic Freedom and Freedom of Expression (in development) Regulation 29
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		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	Secretary to Council's Office		

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Control and accountability	OfS F4	GOV.12.09	Provision of information to the Designated Data Body	University Executive Board	Strategic Planning and Analytics Office		
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	Secretary to Council		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
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 University Information Management Executive 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
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)		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		

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	REGULATORY BODY/ LEGISLATION	identifier		AUTHORITY (Body/individual responsible for final approval within designated limits)	AUTHORITY/SIGN OFF (Body/individual responsible for recommending approval, or for prior sign-off, in whole or in part within designated limits)		
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 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
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 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	RES.10.01	Oversight of Export Control	Council Senate	Research Governance & Ethics Committee		Export Control Policy UK Export Control regulations

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Export Control	UK Export Control	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,	RES.11.01	Research Sponsorship approval	Research Governance & Ethics Committee	Research Sponsorship & Oversight Sub- Committee		UK Policy Framework for Health & Social Care Research, 2017 Research Code of Practice Financial Procedure 14
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
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

UB-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
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